Code/Requirement	Reviewer Checklist Items
AE.1.3.US Each facility located in an ozone nonattainment area with stationary sources of NOx or VOCs is required to provide the state with a statement showing actual emissions of NOx and VOC from the sources. (CAAA90, Section 182(a)(3))[Revised December 1997].	(NOTE: This checklist item is to be used only when a state has not implemented an equivalent state regulation.) Verify that the first statement, or inventory, was submitted by November 1993. Verify that the inventory is complete. Verify that statements have been submitted at least once a year after the initial statement indicating any changes or lack of change. (NOTE: See 40 CFR 81 for attainment status.)
AE.1.4.US A risk management program (RMP) is required when there are processes involving regulated substances above specific threshold levels. (40 CFR 68.2(c), 68.10, 68.12, 68.150. and 68.190)[Revised July 1999; Revised January 2005].	(NOTE: The requirements for an RMP must be met no later than: - 21 June 1999 - 3 yr after the date on which a regulated substance is first listed under 40 CFR 68.130 [see Appendix 1-1a] - the date on which a regulated substance is first present above a threshold quantity in a process.) (NOTE: The effective date of 40 CFR 68 is stayed from 21 June 1999 to 21 December 1999 with respect to regulated flammable hydrocarbon substances when the substance is intended for use as a fuel and does not exceed 67,000 lb in a process that is not manufacturing the fuel, does not contain greater than a threshold quantity of another regulated substance, and is not collocated or interconnected to another covered process.) Determine if any processes or activities exceed the threshold quantities (see Appendix 1-1a). (NOTE: Unlike the Title V permit program, applicability is determined by the amount of the chemical actually stored/used in a process.) (NOTE: If there are several propane tanks, chlorine cylinders, etc., which do not individually exceed the threshold quantities, they may still be covered under this regulation based on their proximity to each other. USEPA has defined close proximity as "a release from one could lead to a release from the other." If they are in close proximity, the summed
AE.1.5.US Federal actions must conform to applicable implementation plans. (40 CFR 93.150, 93.151, 93.153(a) through 93.153(e), 93.153(i), 93.153(k), 93.154, and 93.157)[Added April 2009].	Verify that no department, agency or instrumentality of the Federal Government engages in, supports in any way or provides financial assistance for, license or permit, or approve any activity which does not conform to an applicable implementation plan (i.e., the State Implementation Plan [SIP]). Verify that the determination that a Federal action conforms to the applicable implementation plan is done. (NOTE: Where multiple Federal agencies have jurisdiction for various aspects of a project, a Federal agency may choose to adopt the analysis of another Federal agency or develop its own analysis in order to make its conformity determination. (NOTE: The conformity status of a Federal action automatically lapses 5 years from the date a final conformity determination is reported under 40 CFR 93.155 [see checklist item AE.1.7.US], unless the Federal action has been completed or a continuous program has been commenced to implement that Federal action within a reasonable time. Ongoing Federal activities at a given site showing continuous progress are not new actions and do not require periodic redeterminations so long as such activities are within the scope of the final conformity determination reported under 40 CFR 93.155 [see checklist item AE.1.7.US]. If, after the conformity

AE.1.6.US When certain parameters are met, Federal actions can be presumed to conform with the applicable implementation plans. (40 CFR 93.153(g) through 893.153(j))[Added April 2009].	Verify that Federal agencies meet the following criteria for establishing activities that are presumed to conform by fulfilling one of the following requirements: - clearly demonstrate using appropriate methods that the total of direct and indirect emissions from the type of activities which would be presumed to conform would not: - cause or contribute to any new violation of any standard in any area - interfere with provisions in the applicable SIP for maintenance of any standard - increase the frequency or severity of any existing violation of any standard in any area - delay timely attainment of any standard or any required interim emission reductions or other milestones in any area including, where applicable, emission levels specified in the applicable SIP for purposes of one of the following: - a demonstration of reasonable further progress - a demonstration of attainment - a maintenance plan - the Federal agency provides documentation that the total of direct and indirect emissions from such future actions would be below the emission rates for a conformity determination, based, for example, on similar actions taken over recent years. Verify that, in addition to meeting the above criteria for establishing exemptions, the following procedures are followed to presume that activities will conform: -
AE.1.7.US When making a conformity determination, certain actions are required on the part of the Federal agency. (40 CFR 93.155 and 93.156)[Added April 2009].	(NOTE: See AE.1.5.US for details on when a conformity determination is required.) Verify that a Federal agency making a conformity determination under 40 CFR 93.158 provides to the appropriate EPA Regional Office(s), State and local air quality agencies and, where applicable, affected Federal land managers, the agency designated under section 174 of the Act and the MPO a 30 day notice which describes the proposed action and the Federal agency's draft conformity determination on the action. Verify that the Federal agency notifies the appropriate EPA Regional Office(s), State and local air quality agencies and, where applicable, affected Federal land managers, the agency designated under section 174 of the Clean Air Act and the MPO within 30 days after making a final conformity determination. Verify that, upon request by any person regarding a specific Federal action, a Federal agency makes available for review its draft conformity determination with supporting materials which describe the analytical methods and conclusions relied upon in making the applicability analysis and draft conformity determination. Verify that a Federal agency makes public its draft conformity determination by placing a notice by prominent advertisement in a daily newspaper of general circulation in the
AE.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations concerning air quality have been issued since the finalization of the manual. Determine if the facility has activities or facilities that are regulated but not addressed in the checklists. Verify that the facility is in compliance with all applicable and newly issued regulations.
AE.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
AE.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.

AE.21.27.US Owners or operators of an emergency stationary SI internal combustion engine must meet specific monitoring requirements. (40 CFR 60.4237)[Added April 2008].	Verify that, starting on 1 July 2010, if the emergency stationary SI internal combustion engine that is >/= 500 HP built on or after 1 July 2010, does not meet the standards applicable to non-emergency engines, the owner or operator installs a non-resettable hour meter. Verify that, starting on 1 January 2011, if the emergency stationary SI internal combustion engine that is >/= 130 HP and < 500 HP that was built on or after 1 January 2011, does not meet the standards applicable to non-emergency engines, the owner or operator installs a non-resettable hour meter. Verify that owners or operators of an emergency stationary SI internal combustion engine that is < 130 HP, was built on or after 1 July 2008, and does not meet the standards applicable to non-emergency engines, install a non-resettable hour meter upon startup of the emergency engine.
AE.21.28.US Owners or operators of a stationary SI internal combustion engine must meet specific compliance requirements. (40 CFR 60.4243)[Added April 2008].	Verify that, owners or operators of a stationary SI internal combustion engine manufactured after 1 July 2008 which must comply with the limitations in 40 CFR 60.4233(a) through 60.4233(c) (see checklist items AE.21.20.US through AE.21.22.US): - purchase an engine certified to the emission standards in 40 CFR 60.4231(a) through 60.4231(c) (see checklist items AE.21.20.US through AE.21.22.US) for the same engine class and maximum engine power - meet the requirements as specified in 40 CFR 1068, subparts A through D, as they apply - one of the following requirements - if operating and maintaining the certified stationary SI internal combustion engine and control device according to the manufacturer's emission-related written instructions, keep records of conducted maintenance to demonstrate compliance, but no performance testing is required for owners or operators - if not operating and maintaining the certified stationary SI internal combustion engine and control device according to the manufacturer's emission-related written instructions, the engine is considered a non-certified engine, compliance is demonstrated as follows and as is appropriate: - the owner or operator of a stationary SI internal combustion engine < 100 HP keeps a maintenance plan
AE.21.29.US Owners or operators of a stationary SI ICE must meet recordkeeping requirements. (40 CFR 60.4245(a) and 60.4245(b))[Added April 2008].	Verify that records of the following information are maintained: - all notifications submitted to regulators and all documentation supporting any notification - maintenance conducted on the engine - if the stationary SI internal combustion engine is a certified engine, documentation from the manufacturer that the engine is certified to meet the emission standards and information as required in 40 CFR 90 (see text, applies to manufacturers) and 40 CFR 1048 - if the stationary SI internal combustion engine is not a certified engine or is a certified engine operating in a non-certified manner and subject to 40 CFR 60.4243(a)(2) (see checklist item AE.21.28.US), documentation that the engine meets the emission standards. Verify that, for all stationary SI emergency ICE >/= 500 HP manufactured on or after 1 July 2010, that do not meet the standards applicable to non-emergency engines, the owner or operator keeps records of the hours of operation of the engine that is recorded through the non-resettable hour meter. Verify that for all stationary SI emergency ICE >/= 130 HP and < 500 HP manufactured on or after 1 July 2011 that do not meet the standards applicable to non-emergency engines, the owner or operator keeps records of the hours of operation of the engine that is
AE.21.30.US Owners or operators of a stationary SI ICE must meet notification requirements. (40 CFR 60.4245(c) and 60.4245(d))[Added April 2008].	Verify that owners and operators of stationary SI ICE >/= 500 HP that have not been certified by an engine manufacturer to meet the emission standards in 40 CFR 60.4231 (see checklist items AE.21.20.US through AE.21.25.US) submit an initial notification including the following information: - name and address of the owner or operator - the address of the affected source - engine information including make, model, engine family, serial number, model year, maximum engine power, and engine displacement - emission control equipment - fuel used. Verify that owners and operators of stationary SI ICE that are subject to performance testing submit a copy of each performance test within 60 days after the test has been completed.

AE.55.1.US When gasoline is sold, offered for sale, supplied, offered for supply, dispensed, transported, or introduced into commerce, certain parameters for lead content must be met. (40 CFR 80.22(b) [Revised February 1996]).	Determine what grades of gasoline are used, where they are dispensed, and what controls are in place to ensure proper fueling of vehicles by interviewing personnel. Verify that after 31 December 1995 no gasoline is sold, offered for sale, supplied, offered for supply, dispensed, transported, or introduced into commerce unless it contains lead additives of less than 0.05 g/gal.
AE.55.3.US Fuel pumps dispensing oxygenated gasoline or diesel fuel are required to meet specific labeling requirements. (40 CFR 80.35 and 80.570)[Revised May 1997, Revised July 2010].	Determine if the dispensing facility is located in an area with an oxygenated gasoline program with a minimum oxygen content per 1 gal or minimum oxygen content requirements in conjunction with a credit program. Verify that, if located in such an area, each gasoline pump dispensing oxygenated gasoline at a retail outlet has a label attached during the control period that states: The gasoline dispensed from this pump is oxygenated and will reduce CO pollution from motor vehicles. Verify that the labels for each gasoline pump dispensing oxygenated gasoline at a retail outlet are: - in block letters of no less than 20-point bold type - in a color contrasting with the intended background - placed on the vertical surface of the pump on each side with gallonage and price meters and is on the upper two-thirds of the pump, clearly visible to the public. (NOTE: Consult with state and local authorities concerning control areas and control periods.) Verify that, from 1June 2006 through 30 November 2010, any retailer or wholesale purchaser-consumer who sells, dispenses, or offers for sale or dispensing, motor vehicle diesel fuel subject to the 15 ppm sulfur standard of affixes the following conspicuous and legible label, in block letters of no less than 24-point bold type, and printed in a color contrasting with the
AE.55.4.US During 1992 and later, high ozone seasons, and regulatory control periods gasoline shall not be sold, offered for sale, imported, dispensed, supplied, or transported that exceeds specific Reid vapor pressure standards. (40 CFR 80.27(a)(2) and 80.27(d))[Citation Revised July 2003].	Verify that the following monitoring parameters are met: retailers and wholesale purchaser-consumers: during the high ozone season (1 June to 15 September of any year) importers, distributors, resellers, or carriers: during the regulatory control period (1 May to 15 September of any year). Verify that a standard of 9.0 psi is not exceeded for all designated volatility attainment areas. Verify that the standards outlined in Appendix 1-1 are met for any designated volatility nonattainment areas (see 40 CFR 81). (NOTE: Gasoline that contains denatured, anhydrous ethanol of at least 9 percent and no more than 10 percent may exceed the Reid vapor pressure standards outlined in Appendix 1-1 by 1.0 psi).
AE.55.5.US No diesel fuel for use in motor vehicles may be sold, supplied, or dispensed unless it meets specific criteria. (40 CFR 80.500, 80.501(a), 80.510(a) through 80.510(f), 80.520(a), and 80.520(b))[Revised May 1997; Revised July 2003; Revised July 2006; Revised October 2006, Revised July 2010].	(NOTE: This checklist item applies to the following fuels and additives: - motor vehicle diesel fuel - nonroad, locomotive, or marine diesel fuel - diesel fuel additives - heating oil - ECA marine fuel - other distillate fuels - motor oil that is used as or intended for use as fuel in diesel motor vehicles or nonroad diesel engines or is blended with diesel fuel for use in diesel motor vehicles or nonroad diesel engines, including locomotive and marine diesel engines, at any downstream location.) (NOTE: This checklist item does not apply to distillate fuel that is designated for export outside the United States, identified for export by a transfer document, and that is exported.) Verify that all motor vehicle diesel fuel meets the following per-gallon standards: - sulfur content of 15 parts per million (ppm) maximum, except as provided in paragraph (c) of this section; - cetane index and aromatic content: - a minimum cetane index of 40 - a maximum aromatic content of 35 volume percent. Verify that all motor vehicle diesel fuel is free of visible evidence of dye solvent red 164 (which has a characteristic red color in diesel fuel), except for motor vehicle diesel fuel that is used in a manner that is tax exempt under section 4082 of the Internal Revenue Code. Verify that all motor vehicle diesel fuels are free of yellow

AE.55.6.US After 1 July 1996, retailers and wholesale purchaser-consumers (see definitions) handling over 10,000 gal/mo of fuel are required to provide specific equipment on dispensing pumps. (40 CFR 80.22(j))[Revised September 1996].	Determine if the retailers and wholesale purchaser-consumers handles over 10,000 gal/mo of fuel. Verify that each pump from which gasoline or methanol is introduced into motor vehicles is equipped with a nozzle that dispenses fuel at a flow rate not exceeding 10 gal/min. (NOTE: After 1 January 1998 this requirements applies to every retailer and whole sale purchaser-consumer regardless of size.) (NOTE: This requirement does not apply to pumps that are shown to be dedicated to heavy-duty vehicles, boats, or airplanes.)
AE.55.7.US Retailers and wholesale purchaser-consumers of diesel fuel must meet specific labeling requirements. (40 CFR 80.570 through 80.574)[Added October 2006, Revised July 2010].	Verify that the required labels are placed on the vertical surface of each pump housing and on each side that has gallon and price meters. Verify that the labels are on the upper two-thirds of the pump, in a location where they are clearly visible. (NOTE: Alternative labels may be used as approved by EPA.) Verify that, from 1 June 2006 through 30 November 2010, any retailer or wholesale purchaser-consumer who sells, dispenses, or offers for sale or dispensing, motor vehicle diesel fuel subject to the 15 ppm sulfur standard must affix the following conspicuous and legible label, in block letters of no less than 24-point bold type, and printed in a color contrasting with the background, to each pump stand: ULTRA-LOW SULFUR HIGHWAY DIESEL FUEL (15 ppm Sulfur Maximum) Required for use in all model year 2007 and later highway diesel vehicles and engines. Recommended for use in all diesel vehicles and engines. Verify that, from 1 June 2006, through 30 November 2010, any retailer or wholesale purchaser-consumer who sells, dispenses, or offers for sale or dispensing, motor vehicle diesel fuel subject to the 500 ppm sulfur standard prominently and conspicuously displays, in the immediate area of each pump stand from which motor vehicle fuel subject to the 500 ppm sulfur standard is offered
AE.55.8.US GDF with a monthly throughput of less than 10,000 gal of gasoline must meet specific emissions limitations and management practice requirements. (40 CFR 63.11111(a), 63.11111(b), 63.11111(f), 63.11111(g), 63.11112, 63.11113, and 63.11116)[Added April 2008; Revised July 2008].	Determine if the GDF has a monthly throughput of less than 10,000 gallons of gasoline. (NOTE: This checklist item applies to each gasoline cargo tank during the delivery of product to a GDF and also includes each storage tank. This checklist item does not apply to the loading of aviation gasoline storage tanks at airports and the aviation gasoline is not included in the gasoline throughput amounts.) (NOTE: Owners or operators of sources to which this checklist item applies are not required to obtain a permit under 40 CFR 70 or 40 CFR 71 because they are required to meet these requirements. However, the owner/operator must still apply for and obtain a permit under 40 CFR 70 or 40 CFR 71 if the facility meets one or more of the applicability criteria in 40 CFR 70.3(a), 70.3(b), or 71.3(a) and 71.3(b).) Verify that gasoline is not handled in a manner that would result in vapor releases to the atmosphere for extended periods of time. Verify that the following measure are taken, but are not limited to, the following: - minimize gasoline spills - clean up spills as expeditiously as practicable - cover all open gasoline containers and all gasoline storage tank fill-pipes with a gasketed seal when not in use - minimize gasoline sent to open waste collection systems that collect and transport gasoline to
AE.55.9.US GDF with a monthly throughput of 10,000 gal or more of gasoline must meet specific emissions limitations and management practice requirements. (40 CFR 63.11111(a), 63.11111(c), 63.11111(f), 63.11111(g), 63.11112, 63.11113, 63.11117, and 63.11124(a))[Added April 2008; Revised July 2008].	Determine if the GDF has a monthly throughput of 10,000 gal of gasoline or more. (NOTE: This checklist item applies to each gasoline cargo tank during the delivery of product to a GDF and also includes each storage tank. This checklist item does not apply to the loading of aviation gasoline storage tanks at airports and the aviation gasoline is not included in the gasoline throughput amounts.) (NOTE: Owners or operators of sources to which this checklist item applies are not required to obtain a permit under 40 CFR 70 or 40 CFR 71 because they are required to meet these requirements. However, the owner/operator must still apply for and obtain a permit under 40 CFR 70 or 40 CFR 71 if the facility meets one or more of the applicability criteria in 40 CFR 70.3(a), 70.3(b), or 71.3(a) and 71.3(b).) Verify that gasoline is not handled in a manner that would result in vapor releases to the atmosphere for extended periods of time. Verify that the following measure are taken, but are not limited to, the following: - minimize gasoline spills - clean up spills as expeditiously as practicable - cover all open gasoline containers and all gasoline storage tank fill-pipes with a gasketed seal when not in use - minimize gasoline sent to open waste collection systems that collect and transport gasoline to

AE.55.10.US GDF with a monthly throughput of 100,000 gal or more of gasoline must meet specific emissions limitations and management practice requirements. (40 CFR 63.11111(a), 63.11111(d), 63.11111(f), 63.11111(g), 63.11112, 63.11113, 63.11118(a) through 63.11118(d), and 63.11124(b))[Added April 2008; Revised July 2008].	Determine if the GDF has a monthly throughput of 100,000 gal of gasoline or more. (NOTE: This checklist item applies to each gasoline cargo tank during the delivery of product to a GDF and also includes each storage tank. This checklist item does not apply to the loading of aviation gasoline storage tanks at airports and the aviation gasoline is not included in the gasoline throughput amounts.) (NOTE: Owners or operators of sources to which this checklist item applies are not required to obtain a permit under 40 CFR 70 or 40 CFR 71 because they are required to meet these requirements. However, the owner/operator must still apply for and obtain a permit under 40 CFR 70 or 40 CFR 71 if the facility meets one or more of the applicability criteria in 40 CFR 70.3(a), 70.3(b), or 71.3(a) and 71.3(b).) Verify that gasoline is not handled in a manner that would result in vapor releases to the atmosphere for extended periods of time. Verify that the following measure are taken, but are not limited to, the following: - minimize gasoline spills - clean up spills as expeditiously as practicable - cover all open gasoline containers and all gasoline storage tank fill-pipes with a gasketed seal when not in use - minimize gasoline sent to open waste collection systems that collect and transport gasoline to
AE.55.11.US GDF with a monthly throughput of 100,000 gal or more of gasoline must meet specific testing, notification, recordkeeping, and reporting requirements. (40 CFR, 63.11118(e), 63.1118(f), 63.11118(g), 63.11120, 63.11124(b), 63.11125, and 63.11126)[Added April 2008].	(NOTE: See checklist item AE.55.9.US for applicability and compliance date information.) Verify that, as applicable, each owner or operator of a required vapor balance system complies with the following requirement at initial installation and every 3 years thereafter: - demonstrate compliance with the leak rate and cracking pressure requirements for pressure-vacuum vent valves installed on the gasoline storage tanks using the following test methods: - California Air Resources Board Vapor Recovery Test Procedure TP-201.1E,--Leak Rate and Cracking Pressure of Pressure/Vacuum Vent Valves, adopted October 8, 2003 - alternative test methods and procedures in accordance with the alternative test method requirements in 40 CFR 63.7(f) - demonstrate compliance with the static pressure performance requirement for the vapor balance system by conducting a static pressure test on the gasoline storage tanks using the following test methods: - California Air Resources Board Vapor Recovery Test Procedure TP-201.3,--Determination of 2-Inch WC Static Pressure Performance of Vapor Recovery Systems of Dispensing Facilities, adopted April 12, 1996, and amended March 17, 1999 - alternative test methods and procedures in accordance with the alternative test method requirements in 40 CFR 63.7(f).
AE.55.12.US ECA marine fuel must have a maximum per-gallon sulfur content of 1,000 ppm. (40 CFR 80.510(k))[Added July 2010].	Verify that beginning 1 June 2014, all ECA marine fuel is subject to a maximum per-gallon sulfur content of 1,000 ppm.
AE.57.1.US Storage tanks at organic liquids distribution (OLD) operation affected sources must meet specific emissions limitations. (40 CFR 63.2334, 63.2338, 63.2346(a))[Added April 2004; Revised January 2007].	(NOTE: This checklist item applies if the facility owns or operates an OLD operation that is located at, or is part of, a major source of HAP emissions. An OLD operation may occupy an entire plant site or be collocated with other industrial (e.g., manufacturing) operations at the same plant site. This checklist item applies to each new, reconstructed, or existing OLD operation affected source. The affected source is the collection of activities and equipment used to distribute organic liquids into, out of, or within a facility that is a major source of HAP. The affected source is composed of: - all storage tanks storing organic liquids - all transfer racks at which organic liquids are loaded into or unloaded out of transport vehicles and/or containers - all equipment leak components in organic liquids service that are associated with: - storage tanks storing organic liquids - transfer racks loading or unloading organic liquids - pipelines that transfer organic liquids directly between two storage tanks that are subject 40 CFR Subpart EEEE - pipelines that transfer organic liquids directly between a storage tank subject to this subpart and a transfer rack subject to 40 CFR 63, Subpart EEEE - pipelines that transfer organic liquids directly between two transfer racks that are subject to 40 CFR 63, Subpart EEEE -

AE.57.2.US Transfer racks at OLD operation affected sources must meet specific emissions limitations. (40 CFR 63.2346(b) and 63.2346(e) through 63.2346(j))[Added April 2004; Revised January 2007; Revised July 2008].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that for each transfer rack that is part of the collection of transfer racks that meets the total actual annual facility-level organic liquid loading volume criterion for control in Table 2, items 7 through 10 9 see Appendix 1-11b), the following are met for each arm in the transfer rack loading an organic liquid whose organic HAP content meets the organic HAP criterion for control: - meet the emission limits specified in Appendix 1-11b and comply with the applicable requirements for transfer racks specified in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999), for meeting emission limits - route emissions to fuel gas systems or back into a process as specified in 40 CFR part 63, subpart SS - use a vapor balancing system that routes organic HAP vapors displaced from the loading of organic liquids into transport vehicles to the storage tank from which the liquid being loaded originated or to another storage tank connected to a common header - use a vapor balancing system that routes the organic HAP vapors displaced from the loading of organic liquids into containers directly (e.g., no intervening tank or containment area such as a room) to the storage tank from which the liquid being loaded originated or to another
AE.57.3.US Pumps, valves, and sampling connections at OLD operation affected sources must meet specific emissions limitations. (40 CFR 63.2346(c) and 63.2346(f) through 63.2346(j))[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that, for each pump, valve, and sampling connection that operates in organic liquids service for at least 300 h/yr, the facility complies with the applicable requirements under 40 CFR 63, Subpart TT (control level 1) (40 CFR 63.1000 through 63.1018), Subpart UU (control level 2) (40 CFR 63.1019 through 63.1039), or Subpart H. (NOTE: Pumps, valves, and sampling connectors that are insulated to provide protection against persistent subfreezing temperatures are subject to the "difficult to monitor" provisions in the applicable subpart selected by the owner or operator. This applies only if the affected source has at least one storage tank or transfer rack that meets the applicability criteria for control in Appendix 1-11b.) Verify that, if the facility elects to demonstrate compliance with a percent reduction requirement in Appendix 1-11b using TOC rather than organic HAP, the facility first demonstrates, subject to approval of the Administrator, that TOC is an appropriate surrogate for organic HAP in this case; the percent destruction of organic HAP is equal to or higher than the percent destruction of TOC. Verify that a demonstration of compliance with percent reduction is conducted prior to or during the initial
AE.57.4.US Transport vehicles at OLD operation affected sources must meet specific emissions limitations. (40 CFR 63.2346(d) and 63.2346(f) through 63.2346(j))[Added April 2004; Revised April 2007].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that for each transport vehicle equipped with vapor collection equipment that is loaded at a transfer rack that is subject to control based on the criteria specified in Appendix 1-11b the steps in 40 CFR 60.502(e) are followed to ensure that organic liquids are loaded only into vapor-tight transport vehicles and comply with the provisions in 40 CFR 60.502(f) through (i), except substitute the term ``transport vehicle'' at each occurrence of the term ``tank truck'' or ``gasoline tank truck'' in those paragraphs. (NOTE: 40 CFR 60.502(e) requires that loadings of liquid product into gasoline tank trucks be limited to vapor-tight gasoline tank trucks using the following procedures: - the owner or operator obtains the vapor tightness documentation described in 40 CFR 60.505(b) for each gasoline tank truck which is to be loaded at the affected facility - the owner or operator requires the tank identification number to be recorded as each gasoline tank truck is loaded at the affected facility - the owner or operator cross-checks each tank identification number with the file of tank vapor tightness documentation within 2 weeks after the corresponding tank is loaded, unless either of the following conditions is maintained: - if less than an average of

AE.57.5.US OLD operation affected sources must meet general compliance requirements. (40 CFR 63.2350)[Added April 2004; Revised July 2006].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that the facility is in compliance with the emission limitations, operating limits, and work practice standards at all times when the following equipment is in OLD operation: - all storage tanks storing organic liquids - all transfer racks at which organic liquids are loaded into or unloaded out of transport vehicles and/or containers - all equipment leak components in organic liquids service that are associated with pipelines and with storage tanks and transfer racks storing, loading, or unloading organic liquids - all transport vehicles while they are loading or unloading organic liquids at transfer racks. Verify that the facility always operates and maintains the affected source, including air pollution control and monitoring equipment, according to the provisions in 40 CFR 63.6(e)(1)(i). Verify that the facility has developed and implemented a written startup, shutdown, and malfunction (SSM) plan in accordance with 40 CFR 63.6(e)(3).
AE.57.6.US OLD operation affected sources must conduct certain performance tests, design evaluations, and performance evaluations. (40 CFR 63.2354)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that, for each performance test conducted, the procedures specified in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999) are used. Verify that, for each design evaluation conducted, the procedures specified in 40 CFR 63, Subpart SS are used. Verify that, for each performance evaluation of each continuous monitoring system (CMS) conducted, the requirements in 40 CFR 63.8(e) are met. Verify that, for nonflare control devices, each performance test is conducted according to the requirements in 40 CFR 63.7(e)(1), and either 40 CFR 63.988(b), 40 CFR 63.990(b), or 40 CFR 63.995(b), using the procedures specified in 40 CFR 63.997(e). Verify that three separate test runs are conducted for each performance test on a nonflare control device as specified in 40 CFR 63.7(e)(3) and in 63.997(e)(1)(v) as follows. - each performance test consists of three separate runs using the applicable test method - each run is conducted for at least 1 h and under the conditions specified - for the purpose of determining compliance with an applicable standard, the arithmetic means of results of the three runs applies - in the event that a sample is accidentally lost or conditions occur in which one of the three runs must be
AE.57.7.US OLD operation affected sources must conduct certain performance tests and initial compliance demonstrations by certain dates. (40 CFR 63.2358)[Added April 2004; Revised July 2008].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that initial performance tests and design evaluations are conducted according to the schedule in 40 CFR 63.7(a)(2), or by the compliance date specified in any applicable State or Federal new source review construction permit to which the affected source is already subject, whichever is earlier. Verify that, for storage tanks and transfer racks at existing affected sources complying with the emission limitations listed in Appendix 1-11b initial compliance with the emission limitations is demonstrated within 180 days after 5 February 2007 except as follows: - for storage tanks with existing internal or external floating roof complying with item 1.a.ii in Appendix 1-11b and item 1.a in Appendix 1-11d, the initial compliance demonstration is done the next time the storage tank is emptied and gassed, but not later than 3 February 2014 - for storage tanks complying with item 1.a.ii or 6.a.ii in Appendix 1-11b and item 1.b, 1.c, or 2 in Appendix 1-11d compliance must be done within 180 days after 25 April 2011. Verify that, for storage tanks and transfer racks at reconstructed or new affected sources complying with the emission limitations listed in Appendix 1-11b, the initial compliance demonstration with the emission limitations is
AE.57.8.US OLD operation affected sources must conduct follow-up performance tests. (40 CFR 63.2362)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that, for nonflare control devices, subsequent performance testing is conducted as required in Appendix 1-11e, item 1, at any time the EPA requests the facility to, in accordance with section 114 of the CAA. Verify that for each transport vehicle that the facility owns that is equipped with vapor collection equipment and loads organic liquids at an affected transfer rack, the facility performs the vapor tightness testing required in Appendix 1-11e, item 2, on that transport vehicle at least once per year. Verify that, for facility-owned transport vehicles that do not have vapor collection equipment, current certification is maintained in accordance with the U.S. DOT pressure test requirements in 49 CFR 180 for cargo tanks or 49 CFR 173.31 for tank cars.

AE.57.9.US OLD operation affected sources must meet monitoring, operation, and maintenance requirements. (40 CFR 63.2362)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that the facility installs, operates, and maintains a CMS on each control device required in order to achieve compliance. Verify that, if you use a continuous parameter monitoring system (CPMS), the facility complies with the applicable requirements for CPMS in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999) for the control device being used. Verify that, if a continuous emissions monitoring system (CEMS) is used, the facility complies with the requirements in 40 CFR 63.8. Verify that, for nonflare control devices controlling storage tanks and low throughput transfer racks, a monitoring plan is submitted according to the requirements in 40 CFR 63, Subpart SS for monitoring plans.
AE.57.10.US OLD operation affected sources must demonstrate initial compliance with emissions limits, operating limits, and work practice standards. (40 CFR 63.2370)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that the facility demonstrates initial compliance with each emission limitation and work practice standard that applies as specified in Appendices 1-11f and 1-11g subpart. Verify that the facility demonstrates initial compliance with the operating limits requirements specified in 40 CFR 63.2346(e) (see checklist items AE.57.1.US and AE.57.2.US) by establishing the operating limits during the initial performance test or design evaluation. Verify that the facility submits the results of the initial compliance demonstration in the Notification of Compliance Status according to the requirements in 40 CFR 63.2382(b) (see checklist item AE.57.10.US).
AE.57.11.US OLD operation affected sources must demonstrate initial compliance with monitoring requirements. (40 CFR 63.2374)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that monitoring and the collection of data is done according to 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999). Verify that, when using a control device to comply, the facility monitors continuously or collects data at all required intervals at all times that the emission source and control device are in OLD operation, except for CMS malfunctions (including any malfunction preventing the CMS from operating properly), associated repairs, and required quality assurance or control activities (including, as applicable, calibration checks and required zero and span adjustments). Verify that data recorded during CMS malfunctions, associated repairs, required quality assurance or control activities, or periods when emissions from organic liquids are not routed to the control device in data averages and calculations used to report emission or operating levels. Verify that data recorded during CMS malfunctions, associated repairs, required quality assurance or control activities, or periods when emissions from organic liquids are not routed to the control device is not used in fulfilling a minimum data availability requirement, if applicable. (NOTE: Data collected during all other periods, including periods of SSM, is used in
AE.57.12.US OLD operation affected sources must demonstrate continuous compliance. (40 CFR 63.2378)[Added April 2004; Revised July 2006].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that continuous compliance is demonstrated with each emission limitation, operating limit, and work practice standard in Appendices 1-11b through 1-11d that applies according to the methods specified in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999) and in Appendices 1-11h through 1-11j. Verify that the requirements in 40 CFR 63.6(e)(1) and 63.6(e)(3) are met during periods of startup, shutdown, malfunction, or nonoperation of the affected source or any part thereof. Verify that the emission limitations apply at all times except during periods of nonoperation of the affected source (or specific portion thereof) resulting in cessation of the emissions. Verify that the owner or operator does not shut down control devices or monitoring systems that are required or utilized for achieving compliance during periods of SSM while emissions are being routed to such items of equipment if the shutdown would contravene requirements applicable to such items of equipment. (NOTE: This does not apply if the item of equipment is malfunctioning. This also does not apply if the owner or operator shuts down the compliance equipment (other than monitoring systems) to avoid damage due to a

AE.57.13.US OLD operation affected sources must submit certain notifications. (40 CFR 63.2382)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that each notification in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999), Appendix 1-11L is submitted according to schedule. Verify that, if the affected source is started before 3 February 2004, the Initial Notification is submitted no later than 120 calendar days after 3 February 2004. Verify that, if a new or reconstructed affected source is started on or after 3 February 2004, the Initial Notification is submitted no later than 120 days after initial startup. Verify that, if the facility is required to conduct a performance test, the Notification of Intent to conduct the test is submitted at least 60 calendar days before it is initially scheduled to begin. Verify that, if the facility is required to conduct a performance test, design evaluation, or other initial compliance demonstration as specified in Appendices 1-11e through 1-11g, a Notification of Compliance Status is submitted. Verify that the Notification of Compliance Status includes the information required in 40 CFR 63.999(b) and the following information: - the results of any applicability determinations, emission calculations, or analyses used to identify and quantify organic HAP emissions from the affected source - the results of emissions profiles, performance
AE.57.14.US OLD operation affected sources must submit certain reports. (40 CFR 63.2386)[Added April 2004].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that each report in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999), Appendix 1-11k, Appendix 1-11L is submitted as applicable. Verify that, unless the Administrator has approved a different schedule for submission of reports, each report is submitted according to Appendix 1-11k and by the dates shown in 40 CFR 63, Subpart SS, or by the dates shown in Appendix 1-11L, whichever are applicable: Verify that the first Compliance report covers the period beginning on the compliance date that is specified for a affected source in 40 CFR 63.2342 and ending on 30 June or 31 December, whichever date is the first date following the end of the first calendar half after the compliance date that is specified for the affected source in 40 CFR 63.2342. Verify that the first Compliance report is postmarked no later than 31 July or 31 January, whichever date follows the end of the first calendar half after the compliance date that is specified for the affected source in 40 CFR 63.2342. Verify that each subsequent Compliance report covers the semiannual reporting period from 1 January through 30 June or the semiannual reporting period from 1 July through 31 December. Verify that each subsequent Compliance
AE.57.15.US OLD operation affected sources requiring control must keep certain records. (40 CFR 63.2390(b) and 63.2394)[Added April 2004; Revised January 2007].	(NOTE: See AE.57.1.US for the statements of applicability for this regulation.) Verify that the facility keeps all records identified in 40 CFR 63, Subpart SS (40 CFR 63.980 through 63.999) and in Appendix 1-11L that are applicable, including records related to notifications and reports, SSM, performance tests, CMS, and performance evaluation plans. Verify that the records required to show continuous compliance are kept as required in 40 CFR 63, Subpart SS and in Appendix 1-11h through Appendix 1-11j, with each emission limitation, operating limit, and work practice standard that applies. Verify that, for each transport vehicle into which organic liquids are loaded at a transfer rack that is subject to control based on the criteria specified in Appendix 1-11b, items 7 through 10, the following records are kept: - for transport vehicles equipped with vapor collection equipment, the documentation described in 40 CFR 60.505(b), except that the test title is: Transport Vehicle Pressure Test-EPA Reference Method 27 - for transport vehicles without vapor collection equipment, current certification in accordance with the U.S. DOT pressure test requirements in 49 CFR 180 for cargo tanks or 49 CFR 173.31 for tank cars. (NOTE: Instead of keeping the above records for each transport vehicle into which organic

AE.57.16.US Storage tanks at organics liquid distribution (OLDS) operation affected sources which are otherwise exempted, must meet notification, recordkeeping, and reporting. (40 CFR 63.2338 and 63.2343)[Added January 2007; Revised July 2008].	Verify that, for each storage tank having a capacity of less than 18.9 m3 (5,000 gal) and for each transfer rack that only unloads organic liquids (i.e., no organic liquids are loaded at any of the transfer racks), documentation is kept that verifies that each storage tank and transfer rack is not required to be controlled. Verify that the documentation is kept up-to-date (i.e., all such emission sources at a facility are identified in the documentation regardless of when the documentation was last compiled) and must be in a form suitable and readily available for expeditious inspection and review according to 40 CFR 63.10(b)(1), including records stored in electronic form in a separate location. (NOTE: The documentation may consist of identification of the tanks and transfer racks on a plant site plan or process and instrumentation diagram (P&ID).) Verify that, for each storage tank having a capacity of 18.9 m3 (5,000 gal) or more that is not subject to control based on the criteria in Appendix 1-11b, items 1 ? 6, the following information is submitted in either the Notification of Compliance Status or the first Compliance report, whichever is due first: - 40 CFR 63.2386(c)(1) (see checklist item AE.57.14.US) - 40 CFR 63.2386(c)(2) (see checklist item AE.57.14.US) - 40 CFR 63.2386(c)(3) (see checklist item
AE.85.1.US When selling Class I or Class II substances suitable for use as a refrigerant in containers of less than 20 lb specific signs are required to be displayed. (40 CFR 82.42(c)).	Verify that a sign is displayed stating the following: - It is a violation of federal laws to sell containers of Class I and Class II refrigerant of less than 20 lb of such refrigerant to anyone who is not properly trained and certified to operate approved refrigerant recycling equipment. (NOTE: See Appendix 1-13 for a list of Class I and Class II substances.) (NOTE: In the 4 December 1996 Federal Register, page 64424, portable fire extinguishing equipment containing HCFCs for nonresidential applications was exempted from the ban on sales and distribution.)
AE.85.2.US Certain restrictions concerning the use of CFC and halon substitutes are required to be met. (40 CFR 82.174(b) through 82.174(d)).	Verify that no personnel uses a substitute which they know, or have reason to know, was manufactured, processed, or imported in violation of Federal regulations. Verify that, when a substitute is used, it is an acceptable substitute and is used according to the use restriction outlined in Appendix 1-14. Verify that unacceptable substitutes are not used (see Appendix 1-15). (NOTE: In the 4 December 1996 Federal Register, page 64424, portable fire extinguishing equipment containing HCFCs for nonresidential applications was exempted from the ban on sales and distribution.)
AE.85.3.US As of 1 January 2015, the use of Class II substances (see Appendix 1-13) is forbidden except in certain situations. (42 USC 7671d(a)).	Verify that a program is underway to eliminate the use of Class II substances unless: - the substance has been reused or recycled - it is used and entirely consumed (except for trace quantities) in the production of other chemicals - it is used as a refrigerant in appliances manufactured prior to 1 January 2020.
AE.85.4.US No Class I or Class II substances suitable for use in motor vehicles as a refrigerant (see Appendix 1-13) can be sold or distributed in any container that is less than 20 lb to any person unless that person is trained and certified. (40 CFR 82.34(b) and 82.42(b)(3)).	Determine if any of the Class I or Class II substances listed in Appendix 1-13 are sold or distributed in any container that is less than 20 lb. Verify that these substances are only sold or distributed to certified individual by reviewing records of sales and distribution. Verify that distribution and sales records for these substances are kept for 3 yr. (NOTE: Sales of these substances can be made to an uncertified individual if the purchaser is purchasing small containers for resale only and the purchaser certifies it as such.)

AE.85.5.US No person may sell or offer for sale for use as a refrigerant any class I or class II substance consisting wholly or in part of used refrigerant unless certain parameters are met. (40 CFR 82.150(b) and 82.154(g))[Added February 1997; Revised October 2003; Revised April 2004].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and motor vehicle air conditioners (MVAC). In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Verify that no person sells or offers for sale for use as a refrigerant any class I or class II substance consisting wholly or in part of used refrigerant unless: - the class I or class II substance has been reclaimed - one of the following is true: - the class I or class II substance was used only in an MVAC or MVAC-like appliance and is to be used only in an MVAC or MVAC-like appliance - the class I or class II substance is contained in an appliance that is sold or offered for sale together with the class I or class II substance. Verify that no person sells or offers for sale for use as a refrigerant any class I or class II substance consisting wholly or in part
AE.85.6.US No person may import, a class II controlled substance without meeting specific parameters. (40 CFR 82.15(b))[Added April 2003; Revised October 2006].	Verify that, as of 21 January 2003, no person imported class II controlled substances (other than transhipments, heels, or used class II controlled substances) for which EPA has apportioned baseline production and consumption allowances, in excess of the quantity of unexpended consumption allowances, or conferred unexpended HCFC-141b exemption allowances held by that person in that control period, unless the substances are for use in a process resulting in their transformation or their destruction, or unless they are produced using an exemption (NOTE: Every kilogram of excess import constitutes a separate violation.) Verify that, as of 21 January 2003, no person imported, at any time in any control period, a used class II controlled substance for which EPA has apportioned baseline production and consumption allowances, without having submitted a petition to the Administrator and receiving a non-objection notice in accordance with 40 CFR 82.24(c)(3) and 82.24(c)(4). Verify that a person issued a non-objection notice for the import of an individual shipment of used class II controlled substances does not transfer or confer the right to import, and does not import any more than the exact quantity (in kilograms) of the used class II controlled substance stated in the non-objection notice.
AE.85.7.US Containers in which class I or Class II substances are stored or transported and all products containing a class I substance must meet specific labeling requirements. (40 CFR 82.102 82.106, 82.108, 82.110, 82.112)[Added July 2004].	(NOTE: The labeling requirements apply to: - all containers in which a class I or class II substance is stored or transported - all products containing a class I substance - all products directly manufactured with a process that uses a class I substance, unless otherwise exempted by this subpart or, unless the Administrator determines for a particular product that there are no substitute products or manufacturing processes for such product that do not rely on the use of a class I substance, that reduce overall risk to human health and the environment, and that are currently or potentially available.) (NOTE: If the Administrator makes a determination for a particular product that there are no substitute products or manufacturing processes for such product that do not rely on the use of a class I substance, then the requirements of this subpart are effective for such product no later than 1 January 2015.) (NOTE: As of 1 January 2015, or one year after any determination between 15 May 1993 and 1 January 2015, by the Administrator for a particular product that there are substitute products or manufacturing processes for such product that do not rely on the use of a class I or class II substance, that reduce the overall risk to human health and the environment, and that are currently or

AE.90.1.US Certain personnel are required to be trained and certified in the use of CFCs and Halons. (40 CFR 82.34(a), 82.42(a), 82.42(b)(1), 82.42(b)(2), and 82.42(b)(4))[Revised December 1997; Revised April 2004].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Determine if personnel are servicing/repairing MVAC or MVAC-like appliances for consideration. Verify that the individual who does the repair and/or servicing is certified and that the equipment being used is approved by the USEPA. Verify that the USEPA administration has been notified that there is an individual onsite who has been trained and certified and is performing MVAC repair. Verify that records are kept of where the refrigerant is sent and personnel certification for 3 yr. (NOTE: Certifications are not transferable.) (NOTE: The term for payment is not clearly defined. For Federal facilities, the interpretation will be that, if the personnel repairing or servicing MVACs are paid
AE.90.2.US Certain recycling and recovery equipment is required to be certified by an approved equipment testing organization. (40 CFR 82.150(b) and 82.158)[Revised June 1996; Revised July 2003; Revised October 2003; Revised April 2004; Revised July 2008].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) (NOTE: Effective 22 September 2003, all manufacturers and importers of recycling and recovery equipment intended for use during the maintenance, service, or repair of appliances except MVACs and MVAC-like appliances or during the disposal of appliances except small appliances, MVACs, and MVAC-like appliances, shall have had such equipment certified by an approved equipment testing organization. All manufacturers and importers of recycling and recovery equipment intended for use during the maintenance, service, or repair of MVAC-like appliances shall have had equipment certified pursuant to 40 CFR 82.36(a).) Verify that equipment manufactured or imported on or
AE.90.3.US As of 11 May 2004, no person maintaining, servicing, repairing, or disposing of appliances may knowingly vent or otherwise release into the environment any refrigerant from such appliances. (40 CFR 82.150(b) and 82.154(a))[Revised April 2004].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Verify that, as of 11 May 2004, no person maintaining, servicing, repairing, or disposing of appliances knowingly vents or otherwise releases into the environment any refrigerant from such appliances. (NOTE: The knowing release of refrigerant subsequent to its recovery from an appliance shall be considered a violation of this prohibition.) (NOTE: De minimis releases associated with good faith attempts to recycle or recover refrigerants are not subject to this prohibition. Releases shall be considered de minimis only if they occur when one of the following is true: - the required practices set forth in 40 CFR 82.156 (see checklist items AE.90.7.US through AE.90.9.US, AE.90.14.US

AE.90.4.US No person can open appliances, except MVACs and MVAC-like appliances, for maintenance, service, or repair; and no person can dispose of appliances, except for small appliances, MVAC, and MVAC-like appliances, unless specific requirements are met. (40 CFR 82.150(b) and 82.154(b))[Revised April 2004].	Verify that no person opens appliances except MVACs and MVAC-like appliances for maintenance, service, or repair: - without observing the required practices in 40 CFR 82.156 (see checklist items AE.90.7.US through AE.90.9.US, AE.90.14.US through AE.90.16.US, AE.90.18.US, and AE.90.19.US) - without using equipment that is certified for that type of appliance under 40 CFR 82.158 (see checklist item AE.90.2.US). Verify that no person disposes of appliances except for small appliances, MVACs, and MVAC-like appliances: - without observing the required practices in 40 CFR 82.156 (see checklist items AE.90.7.US through AE.90.9.US, AE.90.14.US through AE.90.16.US, AE.90.18.US, and AE.90.19.US) - without using equipment that is certified for that type of appliance under 40 CFR 82.158 (see checklist item AE.90.2.US). (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery
AE.90.5.US Facilities maintaining, servicing, or repairing appliances, except for MVACs, and facilities disposing of appliances, except for small appliances and MVACs, are required to submit certification to the USEPA. (40 CFR 82.150(b) and 82.162(a))[Revised April 2004; Revised January 2010].	Verify that, no later than 12 August 1993, or within 20 days of commencing business, persons maintaining, servicing, or repairing appliances except for MVACs, and persons disposing of appliances except for small appliances and MVACs, certify to the Administrator that such person has acquired certified recovery or recycling equipment and is complying with the applicable requirements of 40 CFR 82, Subpart F (40 CFR 182.150 ? 82.169; see checklist items AE.85.5.US, AE.90.2.US through AE.90.9.US, AE.90.14.US through AE.90.19.US, and AE.95.1.US through AE.95.3.US.) (NOTE: Certified recovery or recycling equipment may include system-dependent equipment but must include self-contained equipment, if the equipment is to be used in the maintenance, service, or repair of appliances except for small appliances. The owner or lessee of the recovery or recycling equipment may perform this certification for his or her employees.) Verify that certification takes the form of a statement signed by the owner of the equipment or another responsible officer and sets forth: - the name and address of the purchaser of the equipment, including the county name - the name and address of the establishment where each piece of equipment is or will be located - the number of service
AE.90.6.US When recovering refrigerant from small appliances, MVACs, and MVAC-like appliances for the purpose of disposal of these appliances, appropriate recovery equipment must be used. (40 CFR 82.150(b) and 82.162(c))[Revised April 2004].	Verify that certification has been submitted to the USEPA that appropriate recovery equipment has been acquired. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)

AE.90.7.US At least one piece of certified, self-contained recovery equipment must be available when opening or disposing of certain items. (40 CFR 82.150(b), 82.156(b), 82.156(d), and 82.156(e))[Revised January 1995; Revised April 2004].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Verify that all persons opening appliances, except for small appliances, MVACs, and MVAC-like appliances, for maintenance, service, or repair have at least one piece of certified, self-contained recovery or recycling equipment available at their place of business. Verify that all persons disposing of appliances, except small appliances, MVACs, and MVAC-like appliances, have at least one piece of certified, self-contained recovery or recycling equipment available at their place of business. (NOTE: Persons who maintain, service, repair, or dispose of only appliances that they own and that contain pump-out units are exempt from this requirement to have at least one piece of
AE.90.8.US System-dependent equipment must not be used with appliances normally containing more than 15 lb of refrigerant. (40 CFR 82.150(b) and 82.156(c))[Revised April 2004].	Verify that system-dependent equipment is not used with appliances normally containing more than 15 lb of refrigerant. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)
AE.90.9.US Appliances being opened for service, maintenance, repair, or disposal must be evacuated according to specific parameters. (40 CFR 82.150(b) and 82.156(a))[Revised January 1995; Revised October 2003; Revised April 2004].	Verify that all persons disposing of appliances, except for small appliances, MVACs, and MVAC-like appliances, evacuate the refrigerant, including all the liquid refrigerant, in the entire unit to a recovery or recycling machine certified pursuant to 40 CFR 82.158 (see checklist item AE.90.2.US). Verify that all persons opening appliances, except for MVACs and MVAC-like appliances, for maintenance, service, or repair must evacuate the refrigerant, including all the liquid refrigerant, in either the entire unit or the part to be serviced (if the latter can be isolated) to a system receiver (e.g., the remaining portions of the appliance, or a specific vessel within the appliance) or a recovery or recycling machine certified pursuant to 40 CFR 82.158 (see checklist item AE.90.2.US). Verify that a technician verifies that the applicable level of evacuation has been reached in the appliance or the part before it is opened, regardless if it is being opened for disposal, maintenance, service, or repair. Verify that persons opening appliances, except for small appliances, MVACs, and MVAC-like appliances, for maintenance, service, or repair evacuate to the levels in Appendix 1-16 before opening the appliance, unless one of the following is true: - evacuation of the appliance to the atmosphere is not to be performed
AE.90.14.US When taking the final step in the disposal process of a small appliance, room air-conditioning, MVACs, or MVAC-like appliances, specific standards must be met. (40 CFR 82.150(b), 82.156(f), 82.166(i), and 82.166(m))[Revised April 2004].	Verify that the following steps are performed when taking the final step in the disposal process of a small appliance, room air-conditioning, MVACs, or MVAC-like appliances: - recover any remaining freon refrigerant from the appliance - check that the refrigerant has been evacuated from the appliance or shipment of appliances by reviewing a signed statement from the person from whom the appliance or shipment of appliances is obtained that all refrigerant has been recovered. Verify that copies of signed statements are retained for 3 yr. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)

AE.90.15.US When recovering refrigerant for the purpose of disposal, specific standards must be met. (40 CFR 82.150(b), 82.156(g) and 82.156(h))[Revised April 2004].	Verify that, if refrigerant is recovered from MVACs and MVAC-like appliances for the purpose of disposal of the appliance, the system pressure is reduced to or below 102 mm of Hg vacuum. Verify that, when recovering refrigerant from small appliances for the purpose of disposal of the appliance, one of the following is done: - recovers 90 percent of the refrigerant when the compressor in the appliance is operating - recovers 80 percent of the refrigerant in the appliance when the compressor in the appliance is not operating - evacuates the small appliance to 4 in. of Hg vacuum. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)
AE.90.16.US Leaking commercial refrigeration equipment must be repaired when specific limits are exceeded. (40 CFR 82.150(b), 82.156(i)(1), 82.156(i)(3), 82.156(i)(6), 82.156(i)(8) through 82.156(i)(10))[Revised October 1995; Revised April 2005].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Verify that, if the facility owns commercial refrigeration equipment normally containing more than 50 lb of refrigerant, all leaks are repaired if the equipment is leaking at a rate such that the loss of refrigerant will exceed 35 percent of the total charge during a 12-mo period. Verify that leaks have been repaired within 30 days of discovery or within 30 days of when the leak should have been discovered, if the facility intentionally shielded themselves from information that would have revealed a leak. (NOTE: The following are exemptions to the leak repair requirements: - a 1-yr retrofit or retirement plan for the leaking equipment with the following information is developed no later than 30
AE.90.17.US Technicians are required to be certified through an approved technician certification program. (40 CFR 82.150(b) and 82.161(a))[Added January 1995; Revised October 2003; Revised April 2004].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) (NOTE: Apprentices are exempt from this requirement if the apprentice is closely and continually supervised by a certified technician while performing any maintenance, service, repair, or disposal that could reasonably be expected to release refrigerant from appliances into the environment.) Verify that all technicians are certified by an approved technician certification program as follows: - technicians who maintain, service, or repair small appliances are properly certified as Type I technicians - technicians who maintain, service, or repair medium-, high-, or very high-pressure appliances, except small appliances, MVACs, and MVAC-like appliances, or dispose of medium-, high-

AE.90.18.US Leaking industrial process refrigeration equipment must be repaired when specific limits are exceeded. (40 CFR 82.150(b), 82.156(i)(2), 82.156(i)(6), through 82.156(i)(10))[Added October 1995; Revised April 2005].	(NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.) Verify that, if there is any industrial process refrigeration equipment onsite normally containing more than 50 lb of refrigerant, all leaks are repaired if the equipment is leaking at a rate such that the loss of refrigerant will exceed 35 percent of the total charge during a 12-mo period. Verify that leaks have been repaired within 30 days of discovery or within 30 days of when the leak should have been discovered, if the facility intentionally shielded themselves from information that would have revealed a leak. (NOTE: The following are exemptions to the leak repair requirements: - a 1-yr retrofit or retirement plan containing the following information is developed for the leaking
AE.90.19.US Owners of Federally owned commercial or comfort cooling appliances are allowed an additional year to complete a retrofit or retirement of an appliance if specific requirements are met. (40 CFR 82.150(b) and 82.156(i)(8))[Added October 1995; Revised April 2004].	Verify that, if the activity has been allowed a 1-yr extension beyond the initial 1-yr retrofit period, the following criteria are met: - a delivery time of more than 30 wk from the beginning of the official procurement process is quoted due to an appropriations/procurements problem - the USEPA is notified within 6 mo of the expiration of the 30-day period with an explanation of why more than 1 yr is needed - records are kept to document that these criteria are met. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)
AE.90.20.US Motor vehicle disposal facilities may not use refrigerant extracted from a MVAC or MVAC-like appliance bound for disposal to charge or recharge a MVAC or MVAC-like appliance unless the refrigerant is properly treated. (40 CFR 82.34(d))[Added December 1997].	Verify that refrigerant extracted from an MVAC or an MVAC-like appliance which is bound for disposal and located at a motor vehicle disposal facility is not used to charge or recharge an MVAC or MVAC-like appliance, unless, prior to such charging or recharging, the refrigerant is either: - recovered and reclaimed - recovered either by a certified technician or by an employee, owner, or operator of, or contractor to, the disposal facility; and subsequently recycled by the facility that charges or recharges the refrigerant into an MVAC or MVAC-like appliance. (NOTE: Any refrigerant extracted from an MVAC or an MVAC-like appliance bound for disposal and located at a motor vehicle disposal facility but not subsequently reclaimed may, prior to its subsequent re-use, be sold only to a certified technician. Any certified technician who obtains such a refrigerant may re-use such refrigerant only in an MVAC or MVAC-like appliance, and only if it has been reclaimed or properly recycled.)

AE.90.21.US Personnel testing, maintaining, servicing, repairing, or disposing of halon-containing equipment or using such equipment for technician training may not knowingly vent or otherwise release into the environment any halons used in such equipment. (40 CFR 82.270(b) and 82.270(f))[Added March 1998].	Verify that personnel testing, maintaining, servicing, repairing, or disposing of halon-containing equipment or using such equipment for technician training do not knowingly vent or otherwise release into the environment any halons used in such equipment. (NOTE: De minimis releases associated with good faith attempts to recycle or recover halon are not subject to this prohibition. Release of residual halon contained in fully discharged total flooding fire extinguishing systems would be considered a de minimis release associated with good faith attempts to recycle or recover halon. Release of halons during testing of fire extinguishing systems is not subject to this prohibition if the following conditions are met: - systems or equipment with suitable alternative fire extinguishing agents are not available - system or equipment testing requiring release of extinguishing agent is essential to demonstrate system or equipment functionality - failure of the system or equipment would pose great risk to human safety or the environment - a simulant agent cannot be used in place of the halon during system or equipment testing for technical reasons.) (NOTE: This requirement also does not apply to: - releases of halons associated with research and development of halon alternatives, and releases of halons
AE.90.22.US Technicians who test, maintain, service, repair or dispose of halon-containing equipment are required to meet specific training requirements. (40 CFR 82.270(c))[Added March 1998].	Verify that technicians who test, maintain, service, repair, or dispose of halon-containing equipment are trained regarding halon emissions reduction. (NOTE: Organizations that employ technicians who test, maintain, service, repair or dispose of halon-containing equipment shall take appropriate steps to ensure that technicians hired on or before 6 April 1998 are trained regarding halon emissions reduction by 1 September 1998. Technicians hired after 6 April 1998 shall be trained regarding halon emissions reduction within 30 days of hiring, or by 1 September 1998, whichever is later.)
AE.90.23.US Perform the disposal of halon and/or halon-containing equipment according to specific parameters. (40 CFR 82.270(d) and 82.270(e))[Added March 1998].	Verify that halon-containing equipment is only disposed of by sending it for halon recovery to one of the following: - a manufacturer operating in accordance with NFPA 10 and NFPA 12A standards - a fire equipment dealer operating in accordance with NFPA 10 and NFPA 12A standards - a recycler operating in accordance with NFPA 10 and NFPA 12A standards. (NOTE: This requirement does not apply to ancillary system devices such as electrical detection control components which are not necessary to the safe and secure containment of the halon within the equipment, to fully discharged total flooding systems, or to equipment containing only de minimis quantities of halons.) Verify that halon is only disposed of by sending it for recycling to a recycler operating in accordance with NFPA 10 and NFPA 12A standards, or by arranging for its destruction using one of the following controlled processes: - liquid injection incineration - reactor cracking - gaseous/fume oxidation - rotary kiln incineration - cement kiln - radio frequency plasma destruction a USEPA-approved destruction technology that achieves a destruction efficiency of 98 percent or greater.
AE.95.1.US When selling or distributing any Class I or Class II substance for use as a refrigerant, invoices are required to be retained. (40 CFR 82.150(b), 82.166(a) and 82.166(m))[Revised April 2004].	Verify that facilities which sell or distribute or offer to sell or distribute any refrigerant retains invoices indicating the name of the purchaser, the date of sale, and the quantity of refrigerant purchased. Verify that records are retained for 3 yr. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)

AE.95.2.US Facilities servicing appliances normally containing 50 lb or more of refrigerant are required to supply the owner of the appliance with documentation as to how much refrigerant was added and the owner of the appliance must retain the servicing records. (40 CFR 82.150(b), 82.166(j), 82.166(k), and 82.166(m))[Revised April 2004].	Verify that documentation of servicing and amounts of refrigerant added is provided to the appliance owner and retained for 3 yr. (NOTE: This checklist item applies to any person servicing, maintaining, or repairing appliances. This checklist item also applies to persons disposing of appliances, including small appliances and MVAC. In addition, this checklist item applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.)
AE.95.3.US Keep specific records in relation to leaks for commercial refrigeration or industrial process appliances. (40 CFR 82.150(b), 82.166(n) through 82.166(q))[Added October 1995; Revised April 2004; Revised April 2005].	Verify that, when leaking appliances are not repaired on time, an initial report is submitted to EPA regarding why more than 30 days are needed to complete repairs including: - identification of the facility - the leak rate - the method used to determine the leak rate and full charge - the date a leak rate above the applicable leak rate was discovered - the location of leak(s) to the extent determined to date - any repair work that has been completed thus far and the date that work was completed - the reasons why more than 30 days are needed to complete the work and an estimate of when the work will be completed. Verify that, if changes from the original estimate of when work will be completed result in extending the completion date from the date submitted to EPA, the reasons for these changes are documented and submitted to EPA within 30 days of discovering the need for such a change. Verify that, if the owners or operators intend to establish that the appliance's leak rate does not exceed the applicable allowable leak rate, the owner or operator submits a plan to fix other outstanding leaks for which repairs are planned but not yet completed to achieve a rate below the applicable allowable leak rate. Verify that a plan to fix other outstanding leaks includes the following information: - the identification
AE.95.4.US Specific recordkeeping and reporting requirements must be met by any person who imports class II controlled substances. (40 CFR 82.24(a), 82.24(c)(1) through 82.24(c)(3), and 82.24(c)(5))[Added April 2003; Revised October 2006].	Verify that reports are mailed to the Administrator within 30 days of the end of the applicable reporting period, unless otherwise specified. Verify that revisions of required reports are mailed to the Administrator within 180 days of the end of the applicable reporting period, unless otherwise specified. Verify that records and copies of reports are retained for 3 yr. Verify that quantities of class II controlled substances are stated in terms of kilograms in required reports. (NOTE: Reports and records may be used for purposes of compliance determinations. These requirements are not intended as a limitation on the use of other evidence admissible under the Federal Rules of Evidence. Failure to provide the reports, petitions and records required by this section and to certify the accuracy of the information in the reports, petitions and records required by this section, will be considered a violation. False statements made in reports, petitions and records will be considered violations of Section 113 of the Clean Air Act and under 18 U.S.C. 1001.) Verify that, for each quarter, an importer of a class II controlled substance (including importers of used class II controlled substances) submits to the Administrator a report containing the following information: - summaries of the records required in paragraphs (c)(2)(i)

AE.95.5.US Specific recordkeeping and reporting requirements must be met by any person who transforms or destroys class II controlled substances. (40 CFR 82.24(a) and 82.24(e))[Added April 2003].	Verify that any person who transforms or destroys class II controlled substances produced or imported by another person maintains the following: - copies of the invoices or receipts documenting the sale or transfer of the class II controlled substances to the person - records identifying the producer or importer of the class II controlled substances received by the person - dated records of inventories of class II controlled substances at each plant on the first day of each quarter - dated records of the quantity (in kg) of each class II controlled substance transformed or destroyed - in the case where class II controlled substances were purchased or transferred for transformation purposes, a copy of the person's transformation verification - dated records of the names, commercial use, and quantities (in kilograms) of the resulting chemical(s) when the class II controlled substances are transformed - dated records of shipments to purchasers of the resulting chemical(s) when the class II controlled substances are transformed - in the case where class II controlled substances were purchased or transferred for destruction purposes, a copy of the person's destruction verification. Verify that any person who transforms or destroys class II controlled substances and who has submitted a transformation
AE.95.6.US Specific recordkeeping and reporting requirements must be met by any person who brings into the US a container with a heel of class II controlled substances. (40 CFR 82.24(a) and 82.24(f))[Added April 2003].	Verify that any person who brings into the U.S. a container with a heel of class II controlled substances indicates on its bill of lading or invoice that the class II controlled substance in the container is a heel. (NOTE: Heel means the amount of a controlled substance that remains in a container after it is discharged or off-loaded (that is no more than ten percent of the volume of the container) and that the person owning or operating the container certifies the residual amount will remain in the container and be included in a future shipment, or be recovered for transformation, destruction or a non-emissive purpose.) Verify that any person who brings into the U.S. a container with a heel of class II controlled substances reports quarterly the quantity (in kg) brought into the U.S. and certifies: - that the residual quantity (in kg) in each shipment is no more than 10 percent of the volume of the container - that the residual quantity (in kg) in each shipment will either: - remain in the container and be included in a future shipment - be recovered and transformed - be recovered and destroyed - be recovered for a non-emissive use. Verify that any person who brings into the U.S. a container with a heel of class II controlled substances reports on the final disposition of each shipment within 45 days of
AE.95.7.US Specific recordkeeping and reporting requirements must be met by any person allocated HCFC-141b exemption allowances. (40 CFR 82.24(a) and 82.24(g))[Added April 2003].	Verify that, any person allocated HCFC-141b exemption allowances who confers a quantity of the HCFC-141b exemption allowances to a producer or import and places an order for the production or import of HCFC-141b with a verification that the HCFC-141b will only be used for the exempted purpose and not be resold submits semi-annual reports, due 30 days after the end of the second and fourth respectively, to the Administrator containing the following information: - total quantity (in kg) HCFC-141b received during the 6 mo period - the identity of the supplier of HCFC-141b on a shipment-by-shipment basis during the 6 mo period. Verify that, any person allocated HCFC-141b exemption allowances keeps records of: - letters to producers and importers conferring unexpended HCFC-141b exemption allowances for the specified control period in the notice - orders for the production or import of HCFC-141b under those letters - written verifications that the HCFC-141b was produced or imported for the express purpose of meeting HCFC-141b exemption needs and that the quantity will not be resold.

AE.171.3.US Owners and operators using dry particulate filters or a waterwash system to comply with the emissions limitations for affected aerospace facilities are required to meet specific monitoring requirements. (40 CFR 63.751(c) through 63.751(f))[Added January 1999].	Verify that, while primer or topcoat application operations are occurring, the owner or operator continuously monitors the pressure drop across the system and reads and records the pressure drop once per shift. Verify that, while primer or topcoat application operations are occurring, the owner or operator continuously monitors the water flow rate through the system, and reads and records the water flow rate once per shift. Verify that, when a dry particulate filter or waterwash system is being used while depainting operations are occurring, the owner or operator continuously monitors the pressure drop across the particulate filters or the water flow rate through the waterwash system and reads and records the pressure drop or the water flow rate once per shift. Verify that alternative monitoring methods are not used unless permission has been received from the Administrator. (NOTE: The data may be recorded in reduced or nonreduced form (e.g., PPM pollutant and percent O2 or ng/J of pollutant). But, all emissions data will be converted into units specified in the requirements. The data may be rounded to the same number of significant digits as used in the regulations to specify the emissions limit.)
AE.205.1.US Owners and operators of certain facilities that directly emit greenhouse gases (GHG) are required to report specific information. (40 CFR 98.2(a)(1) through 98.2(a)(3), 98.2(b), 98.2(c), 98.2(i), 98.3(b), 98.3(c), and 98.3(h))[Added January 2010, Revised July 2010].	Verify that the facilities listed in Table A-3 of Appendix 1-40 submit the annual report starting in 2010. Verify that, for the facilities listed in Table A-3 of Appendix 1-40, the annual GHG report covers stationary fuel combustion sources, miscellaneous use of carbonates, and all applicable source categories listed in Table A-3 and A-4 in Appendix 1-40. Verify that the facilities listed in Table A-4 of Appendix 1-40 that emit more than 25,000 metric tons CO2e or more per year submit the annual report starting in 2010. Verify that for the facilities listed in Table A-4 of Appendix 1-40, the annual report covers combined emissions from stationary fuel combustion units, miscellaneous uses of carbonate, and all applicable source categories that are listed in Table A-3 and A-4 of Appendix 1-40. (NOTE: See the text of 40 CFR 98.2(b) for the methodology to use when calculating GHG emissions for comparison to the 25,000 metric tons CO2e/yr emission threshold.) Verify that, for a facility that in any calendar year starting in 2010 meets all three of the following conditions, the annual GHG report covers emissions from stationary fuel combustion sources only: - the facility does not meet the requirements for facilities listed in Tables A-3 and A-4 of Table 1-40 - the aggregate maximum rated heat input
AE.205.2.US Owners and/or operators of facilities required to annually report GHG emissions are required to authorize a designated representative who must fulfill specific tasks. (40 CFR 98.4)[Added January 2010].	Verify that each facility required to annually report GHG emissions has one and only one designated representative, who is responsible for certifying, signing, and submitting GHG emissions reports and any other required submissions for the facility. (NOTE: If the facility is required under any other part of title 40 CFR to submit to the Administrator any other emission report that is subject to any requirement in 40 CFR 75, the same individual is the designated representative responsible for certifying, signing, and submitting the GHG emissions reports and all such other emissions reports under 40 CFR 98.) Verify that the designated representative of the facility is an individual selected by an agreement binding on the owners and operators of the facility. (NOTE: Upon receipt by the Administrator of a complete certificate of representation for a facility, the designated representative identified in the certificate of representation represents and, by his or her representations, actions, inactions, or submissions, legally bind each owner and operator of the facility in all matters pertaining to 40 CFR 98, notwithstanding any agreement between the designated representative and such owners and operators. The owners and operators are bound by any decision or order issued to the designated

AE.205.3.US Owners and/or operators of facilities required to annually report GHG emissions must meet calibration requirements. (40 CFR 98.3(i))[Added January 2010, Revised July 2010].	Verify that flow meters and other devices (e.g., belt scales) that measure data used to calculate GHG emissions are calibrated using the required procedures. (NOTE: See the text of 40 CFR 98.3(i)(2) and 40 CFR 98.3(i)(3) for the equation to use when calibrating flow meters.) Verify that all measurement devices are calibrated according to the manufacturer's recommended procedures, an appropriate industry consensus standard, or a method specified in a relevant subpart of this regulation. Verify that all measurement devices are calibrated to an accuracy of 5 percent. Verify that, for facilities and suppliers that are subject to the GHG reporting requirements on 1 January 2010, the initial calibration was conducted by 1 April 2010. (NOTE: For facilities and suppliers that become subject to this part after 1 April 2010, the initial calibration shall be conducted on the date that data collection is required to begin.) (NOTE: Fuel billing meters are exempted from the calibration requirements, provided that the fuel supplier and any unit combusting the fuel do not have any common owners and are not owned by subsidiaries or affiliates of the same company.) (NOTE: For a flow meter or other measurement device that has been previously calibrated in accordance with 40 CFR 98, an initial
AE.205.4.US Owners and/or operators of facilities required to annually report GHG emissions must meet documentation and recordkeeping requirements. (40 CFR 98.3(g))[Added January 2010].	Verify that an owner/operator required to report GHGs retain all required records for at least 3 yr. (NOTE: The records shall be kept in an electronic or hard-copy format (as appropriate) and recorded in a form that is suitable for expeditious inspection and review. Records may be retained off site if the records are readily available for expeditious inspection and review.) Verify that the following records are retained: - a list of all units, operations, processes, and activities for which GHG emission were calculated - the data used to calculate the GHG emissions for each unit, operation, process, and activity, categorized by fuel or material type, including, but not limited to: - the GHG emissions calculations and methods used - analytical results for the development of site-specific emissions factors - the results of all required analyses for high heat value, carbon content, and other required fuel or feedstock parameters - any facility operating data or process information used for the GHG emission calculations - the annual GHG reports. - missing data computations (NOTE: For each missing data event, also retain a record of the duration of the event, actions taken to restore malfunctioning monitoring equipment, the cause of the event, and the actions taken to prevent or minimize occurrence in the future) - a
AE.205.5.US Owners and operators of stationary fuel combustion sources are required to perform GHG emissions reporting and must report specific information and perform certain monitoring. (40 CFR 98.30, 98.31, 98.36, and 98.37)[Added January 2010].	(NOTE: This checklist item applies to stationary fuel combustion sources which are devices that combust solid, liquid, or gaseous fuel, generally for the purposes of producing electricity, generating steam, or providing useful heat or energy for industrial, commercial, or institutional use, or reducing the volume of waste by removing combustible matter. Stationary fuel combustion sources include, but are not limited to, boilers, simple and combined-cycle combustion turbines, engines, incinerators, and process heaters. This checklist item does not apply to: - portable equipment (see definitions) - emergency generators and emergency equipment (see definitions) - irrigation pumps at agricultural operations - flares, unless otherwise required by provisions of another subpart of 40 CFR 98 to use the methodologies for stationary fuel combustion sources - electricity generating units that are subject to 40 CFR 98, subpart D [40 CFR 98.40 through 98.48].) (NOTE: See AE.205.1.US for additional information on the types of stationary fuel combustion sources required to report.) Verify that the facility reports GHG emissions if there is one or more regulated stationary combustion fuel source onsite. Verify that the facility reports CO2, CH4, and N2O mass emissions from each stationary fuel combustion unit.

AE.205.6.US Owners and operators of municipal solid waste landfills (MSWLF) required to perform GHG emissions reporting must report specific information and perform certain monitoring. (40 CFR 98.340 through 98.347)[Added January 2010].	(NOTE: These requirements apply to municipal solid waste (MSW) landfills that accepted waste on or after January 1, 1980. These requirements do not apply to hazardous waste landfills, construction and demolition landfills, or industrial landfills. These requirements consist of the following sources at MSWLF: landfills, landfill gas collection systems, and landfill gas destruction devices [including flares].) Verify that CH4 generation and CH4 emissions from landfills are reported. Verify that CH4 destruction resulting from landfill gas collection and combustion systems is reported. Verify that that the MSWLF includes in its report the emissions of CO2, CH4, and N2O from each regulated stationary combustion unit (see checklist item AE.205.5.US). (NOTE: See the text of 40 CFR 98.343 for the methods and equations to use when calculating GHG emissions.) Verify that, the quantity of waste landfilled is determined using mass measurement equipment meeting the requirements for commercial weighing equipment as described in "Specifications, Tolerances, and Other Technical Requirements For Weighing and Measuring Devices" NIST Handbook 44 (2009). Verify that, for landfills with gas collection systems, the facility installs, operates, maintains, and calibrates a gas composition monitor
AE.205.7.US Owners and operators of industrial wastewater treatment facilities required to perform GHG emissions reporting must report specific information and perform certain monitoring. (40 CFR 98.350 through 98.357)[Added July 2010].	(NOTE: This source category consists of anaerobic processes used to treat industrial wastewater and industrial wastewater treatment sludge at facilities that perform the following operations: - pulp and paper manufacturing - food processing - ethanol production - petroleum refining. An anaerobic process is a procedure in which organic matter in wastewater, wastewater treatment sludge, or other material is degraded by micro organisms in the absence of oxygen, resulting in the generation of CO2 and CH4.) (NOTE: This source category consists of the following: anaerobic reactors, anaerobic lagoons, anaerobic sludge digesters, and biogas destruction devices (for example, burners, boilers, turbines, flares, or other devices): - an anaerobic reactor is an enclosed vessel used for anaerobic wastewater treatment (e.g., upflow anaerobic sludge blanket, fixed film) - an anaerobic sludge digester is an enclosed vessel in which wastewater treatment sludge is degraded anaerobically - an anaerobic lagoon is a lined or unlined earthen basin used for wastewater treatment, in which oxygen is absent throughout the depth of the basin, except for a shallow surface zone (NOTE: Anaerobic lagoons are not equipped with surface aerators. Anaerobic lagoons are classified as deep (depth more than 2
AE.205.8.US Owners and operators of industrial waste landfills required to perform GHG emissions reporting must report specific information and perform certain monitoring. (40 CFR 98.460 through 98.467)[Added July 2010].	(NOTE: This source category applies to industrial waste landfills that accepted waste on or after 1 January 1980, and that are located at a facility whose total landfill design capacity is greater than or equal to 300,000 metric tons. An industrial waste landfill is a landfill other than a municipal solid waste landfill, a RCRA Subtitle C hazardous waste landfill, or a TSCA hazardous waste landfill, in which industrial solid waste, such as RCRA Subtitle D wastes (non-hazardous industrial solid waste, defined in 40 CFR 257.2), commercial solid wastes, or conditionally exempt small quantity generator wastes, is placed. An industrial waste landfill includes all disposal areas at the facility.) (NOTE: This source category does not include: - dedicated construction and demolition waste landfills (i.e., a landfill that receives materials generated from the construction or destruction of structures such as buildings, roads, and bridges) - industrial waste landfills that only receive one or more of the following inert waste materials: - coal combustion residue (e.g., fly ash) - cement kiln dust - rocks and/or soil from excavation and construction and similar activities - glass - non-chemically bound sand (e.g., green foundry sand) - clay, gypsum, or pottery cull - bricks, mortar, or cement - furnace slag - materials used

AE.230.1.US Engine test cells must meet specific emissions limitations and plan requirements. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9300, 63.9301, and 63.9305)[Added July 2003; Revised July 2006].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of hazardous air pollutants [HAP] emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 horsepower [hp] [19 kilowatts (kW)] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing
AE.230.2.US Engine test cells must meet specific operating limits. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9302, and 63.9324)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile (motive) engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons (9.07 megagrams) or more per year or any combination of HAP at a rate of 25 tons (22.68 megagrams) or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.230.3.US Initial compliance demonstrations for engine test cells must be done according to specific requirements. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9310, 63.9320, and 63.9321)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp (19 kilowatts kW) - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion

AE.230.4.US Demonstration of continuous compliance for engine test cells must be done according to specific requirements. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9310, 63.9330, 63.9335, and 63.9340)[Added July 2003; Revised July 2006].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile motive engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp (19 kW) - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.240.1.US When using thermal oxidizers or catalytic oxidizers for CPMS at engine test cells, specific parameters must be met. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, and 63.9306(a), and 63.9306(c))[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.240.2.US When using emissions capture systems for CPMS at engine test cells, specific parameters must be met. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, and 63.9306(a), 63.9306(b), and 63.9306(d))[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the

AE.240.3.US When using CEMS at engine test cells, specific parameters must be met. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, and 63.9307)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.250.1.US Specific notifications are required for owners/operators of engine test cells. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9310, and 63.9345)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.250.2.US Specific reports are required for owners/operators of engine test cells. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9310, and 63.9350)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the

AE.250.3.US Specific records are required for owners/operators of engine test cells. (40 CFR 63.9285, 63.9290(b) through 63.9290(d), 63.9295, 63.9310, 63.9355, and 63.9360)[Added July 2003].	(NOTE: This checklist item applies when a facility owns or operates an engine test cell/stand that is located at a major source of HAP emissions. An engine test cell/stand is any apparatus used for testing uninstalled stationary or uninstalled mobile [motive] engines. An uninstalled engine is an engine that is not installed in, or an integrated part of, the final product. A major source of HAP emissions is a plant site that emits or has the potential to emit any single HAP at a rate of 10 tons [9.07 megagrams] or more per year or any combination of HAP at a rate of 25 tons [22.68 megagrams] or more per year.) (NOTE: This checklist item applies to each new, reconstructed, or existing affected source, see definitions.) (NOTE: This checklist item does not apply to: - existing affected sources - any portion of a new or reconstructed affected source located at a major source that is used exclusively for testing internal combustion engines with rated power of less than 25 hp [19 kW] - any portion of a new or reconstructed affected source located at a major source that meets any of the following criteria: - any portion of the affected source used exclusively for testing combustion turbine engines - any portion of the affected source used exclusively for testing rocket engines - any portion of the
AE.300.1.US In certain circumstances, site remediations have to comply only with the documentation requirements for HAP determination. (40 CFR 63.7881(c))[Added April 2004; Revised January 2007].	Verify that a site remediation which prepares and maintains documentation to support the determination of the total HAP quantity used to demonstrate compliance, including a description of the methodology and data used for determining the total HAP content of the material, also meets the following: - before beginning the site remediation, it is determined that the remediation material will be excavated, extracted, pumped, or otherwise removed during the site remediation and that the total quantity of the HAP listed in Appendix 1-27 which is contained in the material is less than 1 Mg/yr - this exemption is applied to more than one site remediation at the facility only if the total quantity of the HAP listed in Appendix 1-27 for all of the site remediations exempted is less than 1 Mg/yr. Verify that, in order to be exempt from the requirements of 40 CFR Subpart GGGG, except for recordkeeping requirements, the site remediation meets the following: - it is determined that the total quantity of the HAP listed in Appendix 1-27 that is contained in the remediation material excavated, extracted, pumped, or otherwise removed during all of the site remediations conducted at the facility is less than 1 megagram (Mg) annually - written documentation is prepared and maintained at the facility to support the
AE.300.2.US Completed site remediations are not required to comply with 40 CFR 63, Subpart GGGGG if appropriate records of compliance are maintained. (40 CFR 63.7881(d))[Added April 2004].	Verify that, if not complying with the requirements in 40 CFR 63, Subpart GGGGG [40 CFR 63.7880 through 63.7957, see checklist items AE.300.1.US through AE.300.12.US], all remediation activities potentially subject to 40 CFR 63, Subpart GGGGG [40 CFR 63.7880 through 63.7957, see checklist items AE.300.1.US through AE.300.12.US] are complete and the Administrator has been notified in writing that all potentially subject remediation activities are complete. Verify that records of compliance, in accordance with 40 CFR 63.7953 (see checklist item AE.300.12.US) are kept for each remediation activity that was subject to 40 CFR 63, Subpart GGGGG [40 CFR 63.7880 through 63.7957, see checklist items AE.300.1.US through AE.300.12.US]. (NOTE: All future remediation activity meeting the applicability criteria in 40 CFR 63, Subpart GGGGG [40 CFR 63.7880 through 63.7957, see checklist items AE.300.1.US through AE.300.12.US] must comply with the Federal regulations.)

AE.300.3.US A site remediation completed within 30 consecutive calendar days must meet certain standards to claim exemption from 40 CFR 63.7885 through 63.7953. (40 CFR 63.7884(b))[Added April 2004; Revised January 2007].	Verify that the 30-day period for a site remediation is determined from the first day that any action is initiated that removes, destroys, degrades, transforms, immobilizes, or otherwise manages the remediation materials. Verify that the end of the site remediation is determined by the last day on which treatment or disposal of the remediation materials from the cleanup is completed. Verify that the following activities, when completed before beginning this initial action, are not counted as part of the 30-day period: - activities to characterize the type and extent of the - contamination by collecting and analyzing samples - activities to obtain permits from Federal, State, or local authorities to conduct the site remediation - activities to schedule workers and necessary equipment - activities to arrange for contractor or third party assistance in performing the site remediation. (NOTE: This exemption cannot be used for a site remediation involving the staged or intermittent cleanup of remediation material whereby the remediation activities at the site are started, stopped, and then re-started in a series of intervals, with durations less than 30-days per interval, when the time period from the beginning of the first interval to the end of the last interval exceeds 30 days.) Verify that the first day of the 30-day period
AE.300.4.US Site remediations must meet specific general compliance requirements for HAP emissions. (40 CFR 63.7881(a), 63.7881(b), 63.7882(a), 63.7935)[Added April 2004; Revised July 2006; Revised January 2007].	(NOTE: These requirements apply at facilities at which a site remediation [see definitions] meets all three of the following conditions: - the site remediation cleans up a remediation material - the site remediation is co-located at the facility with one or more other stationary sources that emit HAP and meet an affected source definition specified for a source category that is regulated by another subpart under 40 CFR 63 [NOTE: This condition applies regardless whether or not the affected stationary source(s) at the facility is subject to the standards under the applicable subpart(s)] - the facility is a major source of HAP except as follows: - for production field facilities, only the HAP emissions from the glycol dehydration units and storage vessels with the potential for flash emissions are aggregated with the HAP emissions from the site remediation activities at the facility for a major source determination - for natural gas transmission and storage facilities, HAP emissions are aggregated in accordance with the definition of major source in 40 CFR 63.1271 for a major source determination.) (NOTE: A major source emits or has the potential to emit any single HAP at the rate of 10 tons [9.07 megagrams] or more per year of any HAP or any combination of HAP at a rate of 25 tons [22.68 megagrams] or
AE.300.5.US Site remediations must demonstrate initial compliance with general compliance requirements for HAP emissions. (40 CFR 63.7937)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance with the general standards in 40 CFR 63.7885 (see checklist item AE.305.1.US) that apply to affected process vents are demonstrated by meeting the following requirements as applicable: - if HAP emissions are controlled from the affected process vents according to the emission limitations and work practice standards, the initial compliance requirements in 40 CFR 63.7891 (see checklist item AE.305.4.US) are met - if the remediation material treated or managed by the process vented through the affected process vents has an average total VOHAP of less than 10 ppmw, part of the notification of compliance status includes a signed statement that the facility determined, according to the procedures of 40 CFR 63.7943, and recorded the average VOHAP concentration of the remediation material placed in the affected remediation material management unit - HAP emissions are controlled from the affected process vents to meet standards in another subpart under 40 CFR 61 or 40 CFR 63, the facility has submitted as part of the notification of compliance status, a signed statement that the following requirements have been met: - the facility includes in its statement the citations for the

AE.300.6.US Site remediations must demonstrate continuous compliance with general compliance requirements for HAP emissions. (40 CFR 63.7938)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that continuous compliance with the general standards in 40 CFR 63.7885 (see checklist item AE.305.1.US) that apply to affected process vents is demonstrated by meeting the following requirements, as applicable to the facilities process vents: - if HAP emissions are controlled from the affected process vents according to the emission limitations and work practice standards, continuous compliance is demonstrated by meeting the requirements in 40 CFR 63.7893 - if the remediation material treated or managed by the process vented through the affected process vents has an average total VOHAP of less than 10 ppmw according to 40 CFR 63.7885(c)(1) (see checklist item AE.305.1.US), continuous compliance is demonstrated by performing a new determination and preparing new documentation as required in 40 CFR 63.7885(c)(2) (see checklist item AE.305.1.US)to show that the total VOHAP concentration of the remediation material remains less than 10 ppmw - if HAP emissions are controlled from the affected process vents to meet standards in another subpart under 40 CFR 61 or 40 CFR 63, continuous compliance is demonstrated by complying with all applicable emissions limitations and work practice
AE.300.7.US Site remediations transferring remediation material offsite to another facility must meet specific requirements. (40 CFR 63.7939)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, if the facility transfers to another facility a remediation material generated by the facilities remediation activities and having an average total VOHAP concentration equal to or greater than 10 ppmw (as determined using the procedures specified in 40 CFR 63.7943), the remediation material is transferred to a facility that meets one of the following requirements: - a facility where the remediation material will be directly disposed in a landfill or other land disposal unit according to all applicable Federal and State requirements - a facility subject to 40 CFR 63, Subpart DD: National Emission Standards for HAP from Offsite Waste and Recovery Operations where the exemption under 40 CFR 63.680(b)(2)(iii) is waived and air emissions from the management of the remediation material at the facility are controlled according to all applicable requirements in the subpart for an offsite material. - a facility where the remediation material will be managed according to all applicable requirements under this subpart (i.e., 40 CFR 63, Subpart GGGGG). Verify that the name, street address, and telephone number of the facility where the remediation material is sent is recorded. Verify that, if sending the material to a facility
AE.300.8.US Performance tests at site remediations must be conducted according to specific parameters. (40 CFR 63.7940)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that a performance test or design evaluation is done for each existing affected source within 180 calendar days after the compliance date that is specified in 40 CFR 63.7883. Verify that, for each work practice standard that applies to the facility where initial compliance is not demonstrated using a performance test or design evaluation, the facility demonstrates initial compliance within 30 calendar days after the compliance date that is specified in 40 CFR 63.7883 for the affected source. Verify that, for new sources, initial performance tests and other initial compliance demonstrations are conducted according to the provisions in 40 CFR 63.7(a)(2)(i) and 63.7(a)(2). (NOTE: See 40 CFR 63.7941 through 63.7944 for details on conducting performance tests.)

AE.300.9.US Monitoring, installation, operation, and maintenance requirements must be met at site remediations. (40 CFR 63.7945 through 63.7947)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that each continuous parameter monitoring system (CPMS) meets the following requirements: - a minimum of one cycle of operation is completed for each successive 15-min period - to calculate a valid hourly value, there must be at least three of four equally spaced data values (or at least two, if that condition is included to allow for periodic calibration checks) for that hour from a CPMS that is not out of control according to the monitoring plan referenced in 40 CFR 63.7935 - to calculate the average emissions for each averaging period, there must be at least 75 percent of the hourly averages for that period using only block hourly average values that are based on valid data (i.e., not from out-of-control periods). - unless otherwise specified, each CPMS must determine the hourly average of all recorded readings and daily average, if required. Verify that the results of each inspection, calibration, and validation check are recorded. Verify that a performance evaluation is conducted for each CPMS according to the requirements in 40 CFR 63.8(e) and the site-specific monitoring plan. Verify that, except for monitor malfunctions, associated repairs, and required quality assurance or control activities (including, as applicable,
AE.300.10.US Site remediations must submit certain notifications. (40 CFR 63.7950)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that the facility submits all of the notifications in 40 CFR 63.7(b) and 63.7(c), 63.8(e), 63.8(f)(4) and 63.8(f)(6), and 63.9(b) through 63.9(h) that apply. Verify that, if the facility started up an affected source before 8 October 2003, the facility submits an Initial Notification not later than 120 calendar days after 8 October 2003. Verify that, if the facility starts up a new or reconstructed affected source on or after 8 October 2003, they submit an Initial Notification no later than 120 calendar days after initial startup. Verify that, if the facility is required to conduct a performance test, they submit a notification of intent to conduct a performance test at least 60 calendar days before the performance test is scheduled to begin. Verify that, if the facility is required to conduct a performance test, design evaluation, or other initial compliance demonstration, a Notification of Compliance Status is submitted as follows: - for each initial compliance demonstration that includes a performance test or design evaluation, submit the Notification of Compliance Status, including the performance test results, before the close of business on the 60th calendar day following the completion of the performance test and submit the complete design evaluation and
AE.300.11.US Site remediations must submit certain reports. (40 CFR 63.7951)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, unless the Administrator has approved a different schedule, the facility submits a semiannual compliance report to the permitting authority according to the following requirements: - the first compliance report covers the period beginning on the compliance date that is specified for the affected source and ending on 30 June or 31 December, whichever date comes first after the compliance date that is specified for the affected source - the first compliance report is postmarked or delivered no later than 31 July or 31 January, whichever date comes first after the first compliance report is due - each subsequent compliance report covers the semiannual reporting period from 1 January through 30 June or the semiannual reporting period from 1 July through 31 December - each subsequent compliance report is postmarked or delivered no later than 31 July or 31 January, whichever date comes first after the end of the semiannual reporting period. (NOTE: For each affected source that is subject to permitting regulations pursuant to 40 CFR 70 or 40 CFR 71, and if the permitting authority has established dates for submitting semiannual reports, the facility may submit the first and subsequent compliance reports according to

AE.300.12.US Site remediations must meet recordkeeping requirements. (40 CFR 63.7952 and 63.7953)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that the following records are kept: - a copy of each notification and report that you submitted to comply with this subpart (i.e., 40 CFR 63, Subpart GGGGG), including all documentation supporting any Initial Notification or Notification of Compliance Status submitted - the records related to startups, shutdowns, and malfunctions - results of performance tests and performance evaluations - the records of initial and ongoing determinations for affected sources that are exempt from control requirements. Verify that, for each continuous monitoring system, the following records are kept: - records that apply to the continuous monitoring system. - performance evaluation plans, including previous (i.e., superseded) versions of the plan. Verify that the facility keeps the records required by this subpart (i.e., 40 CFR 63, Subpart GGGGG) to show continuous compliance with each emissions limitation, work practice standard, and operation and maintenance requirement that applies. Verify that the facility records, on a semiannual basis, the information in 40 CFR 63.696(g) for planned routine maintenance of a control device for emissions from process vents. Verify that records are in a form suitable and readily available for expeditious
AE.305.1.US Affected process vents at site remediations must meet specific emissions standards. (40 CFR 63.7881(a), 63.7881(b), 63.7882(a), and 63.7885)[Added April 2004; Revised January 2007].	(NOTE: These requirements apply at facilities at which a site remediation [see definitions] meets all three of the following conditions: - the site remediation cleans up a remediation material - the site remediation is co-located at the facility with one or more other stationary sources that emit HAP and meet an affected source definition specified for a source category that is regulated by another subpart under 40 CFR 63 [NOTE: This condition applies regardless whether or not the affected stationary source(s) at the facility is subject to the standards under the applicable subpart(s)] - the facility is a major source of HAP except as follows: - for production field facilities, only the HAP emissions from the glycol dehydration units and storage vessels with the potential for flash emissions are aggregated with the HAP emissions from the site remediation activities at the facility for a major source determination - for natural gas transmission and storage facilities, HAP emissions are aggregated in accordance with the definition of major source in 40 CFR 63.1271 for a major source determination.) (NOTE: A major source emits or has the potential to emit any single HAP at the rate of 10 tons (9.07 megagrams) or more per year of any HAP or any combination of HAP at a rate of 25 tons (22.68 megagrams) or
AE.305.2.US Affected process vents at site remediations must meet specific emissions standards. (40 CFR 63.7890 through 63.7893)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that HAP emissions from each new and existing process vent are controlled according to emissions limitations and work practice standards that apply to the affected process vents. Verify that affected process vents meet one of the facility-wide emission limit options below: - reduce from all affected process vents the total emissions of the HAP listed in Appendix 1-27 to a level less than 1.4 kg/h and 2.8 Mg/yr (3.0 lb/h) and 3.1 tpy) - reduce from all affected process vents the emissions of total organic compounds (TOC) (minus methane and ethane) to a level below 1.4 kg/hr and 2.8 Mg/yr (3.0 lb/h and 3.1 tpy) - reduce from all affected process vents the total emissions of the HAP listed in Appendix 1-27 by 95 percent by weight or more - reduce from all affected process vents the emissions of TOC (minus methane and ethane) by 95 percent by weight or more. (NOTE: If there are multiple affected process vent streams, compliance may be achieved using a combination of controlled and uncontrolled process vent streams that achieve the applicable facility-wide emission limit.) Verify that each closed vent system and control device used to comply with the emissions limitations for affected process vents meets the
AE.305.3.US Affected process vents at site remediations must meet specific inspection and monitoring standards. (40 CFR 63.7892)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, for each closed vent system and control device used to comply with the emissions limits for affected process vents, the facility monitors and inspects the closed vent system and control device according to the applicable requirements in 40 CFR. 63.7927 (see checklist item AE.323.3.US).

AE.305.4.US Affected process vents at site remediations must demonstrate compliance. (40 CFR 63.7891 and 63.7893)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance with the emissions limitations and work practice standards applicable to the affected process vents is demonstrated by meeting the following requirements: - the facility has measured or determined using the procedures for performance tests and design evaluations in 40 CFR 63.7941 that emission levels from all affected process vents meet the applicable facility-wide emission limits as follows: - if the facility elected to reduce the total emissions of the HAP, the facility demonstrates that the total emissions of the HAP listed in Appendix 1-27 from all affected process vents at the facility are less than 1.4 kg/h and 2.8 Mg/yr (3.0 lb/h and 3.1 tpy) - if the facility elected to reduce the emissions of TOC, the facility demonstrates that emissions of TOC (minus methane and ethane) from all affected process vents at the facility are less than 1.4 kg/h and 2.8 Mg/yr (3.0 lb/h and 3.1 tpy) - if the facility elected to reduce the total emissions of HAP by 95 percent by weight, the facility demonstrates that the total emissions of the HAP listed in Appendix 1-27 from all affected process vents are reduced by 95 percent by weight or more - if the facility elected to reduce the emissions of TOC by 95 percent by weight,
AE.307.1.US Affected remediation material management units must meet specific emissions standards. (40 CFR 63.7886)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, for each affected remediation material management units (see the definition of Affected Site Remediation Sources) one of the following options are met: - HAP emissions from the affected remediation material management unit are control as follows, as applicable to the unit: - if unit is a tank, control HAP emissions according to the standards specified in 40 CFR 63.7895 through 63.7898 - if the unit is a container, control HAP emissions according to the standards specified in 40 CFR 63.7900 through 63.7903 - if the unit is a surface impoundment, control HAP emissions according to the standards specified in 40 CFR 63.7905 through 63.7908 (see checklist item AE.315.1.US through AE.315.4.US) - if the unit is a oil-water or organic-water separator, control HAP emissions according to the standards specified in 40 CFR 63.7910 through 63.7913 (see checklist item AE.317.1.US through AE.317.4.US) - if the unit is a transfer system, control HAP emissions according to the standards specified in 40 CFR 63.7915 through 63.7918 (see checklist item AE.319.1.US through AE.319.4.US) - for the remediation material placed in the remediation material management unit that the average total VOHAP concentration of
AE.309.1.US Affected equipment leak sources at site remediations must meet specific emissions standards. (40 CFR 63.7887)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that HAP emissions from equipment leaks from each equipment component that is part of the affected source is controlled by implementing leak detection and control measures according to the standards specified in 40 CFR 63.7920 through 63.7922 (see checklist items AE.321.1.US through AE.321.3.US) unless the facility meets the following requirements. Verify that, if the affected equipment leak source is also subject to another subpart in 40 CFR 61 or 40 CFR 63, the facility may control emissions of the HAP listed in Appendix 1-27 from the affected equipment leak source in compliance with the standards specified in the other applicable subpart. (NOTE: This means the facility is complying with all applicable emissions limitations and work practice standards under the other subpart (e.g., the facility implements leak detection and control measures to reduce HAP emissions as specified by the applicable subpart). This provision does not apply to any exemption of the affected source from the emissions limitations and work practice standards allowed by the other applicable subpart.)

AE.313.1.US Affected containers at site remediations must meet specific emissions standards. (40 CFR 63.7900)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, for each container having a design capacity greater than 0.1 m3, one of the following requirements that apply to the container (except at the times the container is used for treatment of remediation material by a waste stabilization process) are met: - if the design capacity of the container is less than or equal to 0.46 m3, then use controls according to the standards for Container Level 1 controls as specified in 40 CFR 63.922 (NOTE: As an alternative, using controls according to either of the standards for Container Level 2 controls as specified in 40 CFR 63.923 is acceptable) - if the design capacity of the container is greater than 0.46 m3, then controls according to the standards for Container Level 2 controls as specified in 40 CFR 63.923 are used. (NOTE: As an alternative to meeting the above standards for containers with a capacity greater than 0.46 m3, if either of the following conditions apply to the remediation material placed in the container, controls according to the standards for Container Level 1 controls as specified in 40 CFR 63.922 may be used: - vapor pressure of every organic constituent in the remediation material placed in your container is less than 0.3 kPa at 20 °C - total concentration of the
AE.313.2.US Affected containers at site remediations must demonstrate initial compliance. (40 CFR 63.7901)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance is demonstrated by having submitted, as part of the notification of compliance status, a signed statement that the following requirements have been met: - the applicable container control levels specified in 40 CFR 63.7990 (see checklist item AE.323.2.US) have been determined for the containers to be used for site remediation - the maximum vapor pressure or total organic concentration has been determined and recorded for the remediation material placed in containers with a design capacity greater than 0.46 m3, and do not use Container Level 2 or Level 3 controls. Verify that initial compliance of each container determined to require Container Level 1 controls is demonstrated by submitting, as part of the notification of compliance status, specified in 40 CFR 63.7950, a signed statement that the following requirements have been met: - each container using Container Level 1 controls is one of the container specified in 40 CFR 63.922(b) - each container cover and closure device is operated according to the requirements in 40 CFR 63.922(d). Verify that initial compliance of each container determined to require Container Level 2 controls is demonstrated by submitting as part of the notification
AE.313.3.US Affected containers at site remediations must be inspected and monitored according to specific parameters. (40 CFR 63.7902)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that each container using Container Level 1 or Container Level 2 controls is inspected according to the requirements in 40 CFR 63.926(a). Verify that, if Container Level 3 controls are used, the following requirements are met as applicable to the site remediation: - the verification procedure for each permanent total enclosure is performed annually according to the requirements in 40 CFR 63.924(c)(1) - each closed vent system and control device is inspected and monitored according to the requirements in 40 CFR 63.7927 (see checklist item AE.323.3.US) that are applicable.
AE.313.4.US Affected containers at site remediations must demonstrate continuous compliance with emissions limitations and work practice standards. (40 CFR 63.7903)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that continuous compliance with the requirement to determine the applicable container control level specified in 40 CFR 63.7990(b) for each affected tank is demonstrated by meeting the following requirements: - keeping records of the quantity and design capacity for each type of container used for the site remediation and subject to 40 CFR 63.7886(b)(1)(ii) (see checklist item AE.307.1.US) - for containers subject to 40 CFR 63.7886(b)(1)(ii) (see checklist item AE.307.1.US) with a design capacity greater than 0.46 m3 and not using Container Level 2 or Container Level 3 controls, meeting the following requirements: - keeping records of the maximum vapor pressure or total organic concentration for the remediation material placed in the containers, as applicable to the conditions in 40 CFR 63.7900(b)(3)(i) or (ii) (see checklist item AE.313.1.US) for which the containers qualify to use Container Level 1 controls - performing a new determination whenever changes to the remediation material placed in the containers could potentially cause the maximum vapor pressure or total organic concentration to increase to a level that is equal to or greater than the conditions specified in 40 CFR 63.7900(b)(3)(i) or (ii) (see checklist item

AE.317.1.US Affected separators at site remediations must meet certain emissions limitations and work practice standards. (40 CFR 63.7910)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that HAP emissions from each new and existing oil-water separator and organic-water separator subject to 40 CFR 63.7886(b)(1)(iv) (see checklist item AE.307.1.US) are controlled according to these emissions limitations and work practice standards as applicable to affected separators. Verify that, for each affected separator, air pollution controls that meet one of the following options are installed and operated: - a floating roof according to the requirements in 40 CFR 63.1043 - for portions of the separator where it is infeasible to install and operate a floating roof, such as over a weir mechanism, install and operate a fixed roof vented through a closed vent system to a control device according to the requirements in 40 CFR 63.1044 - install and operate a fixed roof vented through a closed vent system to a control device according to the requirements in 40 CFR 63.1044 - install and operate a pressurized separator according to the requirements in 40 CFR 63.1045. (NOTE: The facility may request approval from the EPA to use an alternative to the work practice standards in this section that apply to separators.)
AE.317.2.US Affected separators at site remediations must demonstrate initial compliance with emissions limitations and work practice standards. (40 CFR 63.7911)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance of each separator using a floating roof according to 40 CFR 63.7910(b)(1) (see checklist item AE.317.1.US) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been met: - a floating roof and closure devices were installed that meet the requirements in 40 CFR 63.1043(b), and there are records documenting the design and installation - the floating roof and closure devices are operated according to the requirements in 40 CFR 63.1043(c) - an initial seal gap measurement inspection was performed using the procedures in 40 CFR 63.1046(b), and there are records documenting the measurement results - an initial visual inspection of the floating roof and closure devices for defects has been performed according to the requirements in 40 CFR 63.1047(b)(2), and there are records documenting the inspection results. Verify that initial compliance of each separator using a fixed roof vented to a control device according to 40 CFR 63.7910(b)(2) (see checklist item AE.317.1.US) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been
AE.317.3.US Affected separators at site remediations must meet certain inspection and monitoring requirements. (40 CFR 63.7912)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, if a floating roof is used according to 40 CFR 63.7910(b)(1) (see checklist item AE.317.1.US), the following requirements are met: - measure the seal gaps at least annually according to the requirements in 40 CFR 63.1047(b)(1) - visually inspect the floating roof at least annually according to the requirements in 40 CFR 63.1047(b)(2). Verify that, if a cover vented to a control device is used according to 40 CFR 63.7910(b)(1) or (2) (see checklist item AE.317.1.US), the following requirements are met: - visually inspect the cover and its closure devices for defects according to the requirements in 40 CFR 63.1047(c) - monitor and inspect the closed vent system and control device according to the applicable requirements in 40 CFR 63.792. Verify that, if a pressurized separator that operates as a closed system according to 40 CFR 63.7910(b)(3) (see checklist item AE.317.1.US) is used, each pressurized separator and closure device is visually inspected for defects at least annually to ensure they are operating according to the design requirements in 40 CFR 63.1045(b).

AE.317.4.US Affected separators at site remediations must demonstrate continuous compliance with emissions limitations and work practice standards. (40 CFR 63.7913)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that continuous compliance is demonstrated for each separator using a floating roof according to 40 CFR 63.7910(b)(1) (see checklist item AE.317.1.US) by meeting the following requirements: - operating and maintaining the floating roof according to the requirements in 40 CFR 63.1043(b) - performing seal gap measurement inspections at least annually according to the requirements in 40 CFR 63.1047(b)(1) - visually inspecting the floating roof at least annually according to the requirements in 40 CFR 63.1047(b)(2) - repairing defects according to the requirements in 40 CFR 63.1047(d) - recording the information specified in 40 CFR 63.1048(a) and 63.1048(b) - keeping records to document compliance with the requirements according to the requirements in 40 CFR 63.7952 (see checklist item AE.300.12.US). Verify that continuous compliance is demonstrated f for each separator using a fixed roof vented through a closed vent system to a control device according to 40 CFR 63.7910(b)(2) (see checklist item AE.317.1.US) by meeting the following requirements: - operating and maintaining the fixed roof and its closure devices according to the requirements in 40 CFR 63.1042 - performing visual
AE.319.1.US Affected transfer systems at site remediations must meet certain emissions limitations and work practice standards. (40 CFR 63.7915)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that HAP emissions are controlled from each new and existing transfer system subject to 40 CFR 63.7886(b)(1)(v) (see checklist item AE.307.1.US). Verify that, for each affected transfer system that is an individual drain system (see definitions) the facility installs and operates controls according to the requirements in 40 CFR 63.962. Verify that, for each affected transfer system that is not an individual drain system, one of the following transfer systems are used: - a transfer system that uses covers according to the requirements in 40 CFR 63.689(d). - a transfer system that consists of continuous hard piping with all joints or seams between the pipe sections permanently or semi-permanently sealed (e.g., a welded joint between two sections of metal pipe or a bolted and gasketed flange) - a transfer system that is enclosed and vented through a closed vent system to a control device according to the following requirements: - the transfer system is designed and operated such that internal pressure in the vapor headspace in the enclosure is maintained at a level less than atmospheric pressure when the control device is operating - the closed vent system and control device are designed and operated to meet the emissions
AE.319.2.US Affected transfer systems at site remediations must demonstrate initial compliance with emissions limitations and work practice standards. (40 CFR 63.7916)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance of each individual drain system using controls according to 40 CFR 63.7915(b) (see checklist item AE.319.1.US) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been met: - air emission controls have been installed for each individual drain system and junction box according to the requirements in 40 CFR 63.962(a) and (b), and there are records documenting the installation and design - the air emission controls are operated according to the requirements in 40 CFR 63.962(b)(5) - an initial visual inspection of each individual drain system has been performed according to the requirements in 40 CFR 63.964(a), and there are records documenting the inspection results. Verify that initial compliance of each transfer system using covers according to 40 CFR 63.7915(c)(1) (see checklist item AE.319.1.US) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been met: - each transfer system is equipped with covers and closure devices according to the requirements in 40 CFR 63.689(d)(1) through (4), and there are records documenting the design

AE.319.3.US Affected transfer systems at site remediations must meet specific inspection and monitoring parameters. (40 CFR 63.7917)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, if an individual drain system is operated as a transfer system according to 40 CFR 63.7915(b) (see checklist item AE.319.1.US), each individual drain system is visually inspected at least annually according to the requirements in 40 CFR 63.964(a). Verify that, if the facility operates a transfer system using covers according to 40 CFR 63.7915(c)(1) (see checklist item AE.319.1.US), each cover and its closure devices are inspected for defects according to the requirements in 40 CFR 63.695(d)(1) through 63.695(d)(5). Verify that, if the facility operates a transfer system consisting of hard piping according to 40 CFR 63.7915(c)(2) (see checklist item AE.319.1.US), the unburied portion of pipeline and all joints are inspected annually for leaks and other defects. Verify that, in the event that a defect is detected, the leak or defect is repaired. Verify that, if the facility operates a transfer system that is enclosed and vented to a control device according to 40 CFR 63.7915(c)(3) (see checklist item AE.319.1.US), the following requirements are met: - annually inspect all enclosure components (e.g., enclosure sections, closure devices, fans) for defects that would prevent an internal pressure in the vapor headspace in the enclosure from
AE.319.4.US Affected transfer systems at site remediations must demonstrate continuous compliance with emissions limitations and work practice standards. (40 CFR 63.7918)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that continuous compliance is demonstrated for each individual drain system using controls according to 40 CFR 63.7915(b) (see checklist item AE.319.1.US) by meeting the following requirements: - operating and maintaining the air emission controls for individual drain systems according to the requirements in 40 CFR 63.962 - visually inspecting each individual drain system at least annually according to the requirements in 40 CFR 63.964(a) - repairing defects according to the requirements in 40 CFR 63.964(b) - recording the information specified in 40 CFR 63.965(a) - keeping records to document compliance according to the requirements in 40 CFR 63.7952 (see checklist item AE.300.12.US). Verify that continuous compliance is demonstrated for each transfer system using covers according to 40 CFR 63.7915(c)(1) (see checklist item AE.319.1.US) by meeting the following requirements: - operating and maintaining each cover and its closure devices according to the requirements in 40 CFR 63.689(d)(1) through 63.689(d)(5) - performing inspections of each cover and its closure devices for defects at least annually according to the requirements in 40 CFR 63.695(d)(1) through
AE.321.1.US Affected equipment at site remediations must meet certain emissions limitations and work practice standards. (40 CFR 63.7920)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that equipment leaks are controlled according to all applicable requirements under 40 CFR 63, Subpart TT (40 CFR 63.1000 through 63.1018); or according to all applicable requirements under 40 CFR 63, Subpart UU (40 CFR 63.1019 through 63.1039). (NOTE: If a closed vent system and control device is used to comply as an alternative to meeting the standards in 40 CFR 63.1015 or 40 CFR 63.1034 for closed vent systems and control devices, the facility may elect to meet the requirements in 40 CFR 63.7925 through 63.7928 (see checklist item AE.323.1.US through AE.323.4.US) that apply to the facility's closed vent system and control device.) (NOTE: The facility may request approval from the EPA to use an alternative to the work practice standards.)

AE.321.2.US Affected equipment at site remediations must demonstrate initial compliance according to certain parameters. (40 CFR 63.7921)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, if the facility controls equipment leaks according to the requirements under 40 CFR 63.7920(b)(1), the facility demonstrates initial compliance by meeting the following requirements: - the information required in 40 CFR 63.1018(a)(1) is included in the notification of compliance status report - as part of the notification of compliance status, a signed statement is submitted that: - the facility will meet the requirements in 40 CFR 40 CFR 63.1002 through 63.1016 that apply to their affected equipment - the equipment subject to control according to the requirements in 40 CFR 63.1003, including equipment designated as unsafe to monitor, has records supporting the determinations with a written plan for monitoring the equipment according to the requirements in 40 CFR 63.1003(c)(4). Verify that, if the facility controls equipment leaks according to the requirements under 40 CFR 63.7920(b)(2), initial compliance is demonstrated by meeting the following requirements: - the information required in 40 CFR 63.1039(a) is included in the notification of compliance status report - as part of the notification of compliance status, a signed statement was submitted stating that: - the facility will meet the requirements in 40 CFR
AE.321.3.US Affected equipment at site remediations must demonstrated continuous compliance with emissions limitations and work practice standards. (40 CFR 63.7922)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, if the facility controls equipment leaks according to the requirements under 40 CFR 63.7920(b)(1), continuous compliance is demonstrated by inspecting, monitoring, repairing, and maintaining records according to the requirements in 40 CFR 63.1002 through 63.1018 that apply to the affected equipment. Verify that, if the facility controls equipment leaks according to the requirements under 40 CFR 63.7920(b)(2), continuous compliance is demonstrated by inspecting, monitoring, repairing, and maintaining records according to the requirements in 40 CFR 63.1021 through 63.1039 that apply to the affected equipment. Verify that records to demonstrate compliance are kept in accordance with the requirements in 40 CFR 63.7952 (see checklist item AE.300.12.US).
AE.323.1.US Affected closed vent systems and control devices at site remediations must meet certain emissions limitations and work practice standards. (40 CFR 63.7925)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that, whenever gases or vapors containing HAP are vented through the closed-vent system to the control device, the control device is operating except at the following times: - the control device may be bypassed for the purpose of performing planned routine maintenance of the closed-vent system or control device in situations when the routine maintenance cannot be performed during periods that the emission point vented to the control device is shutdown - the control device may be bypassed for the purpose of correcting a malfunction of the closed-vent system or control device and the adjustments or repairs necessary to correct the malfunction are done as soon as practicable after the malfunction is detected. (NOTE: On an annual basis, the total time that the closed-vent system or control device is bypassed to perform routine maintenance must not exceed 240 h per each calendar year.) Verify that, for each closed vent system, the work practice standards in 40 CFR 63.693(c) are met. Verify that, for each control device other than a flare or a control device used to comply with the facility-wide process vent emission limits in 40 CFR 63.7890(b), HAP emissions are controlled to meet either of the following emissions limits: -

AE.323.2.US Affected closed vent systems and control devices at site remediations must demonstrate initial compliance with limitations and work practice standards. (40 CFR 63.7926)[Added April 2004].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that initial compliance with the closed vent system work practice standards in 40 CFR 63.7925(c) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been met: - a closed vent system has been installed that meets the requirements in 40 CFR 63.695(c)(1) and 63.695(c)(2), and there are records documenting the equipment design and installation - the initial inspection of the closed vent system has been performed according to the requirements in 40 CFR 63.695(c)(1)(i) or 63.695(c)(1)(ii), and there are records documenting the inspection results. Verify that initial compliance of each control device subject to the emissions limits in 40 CFR 63.7925(d) with the applicable emissions limit in 40 CFR 63.7925(d) is demonstrated by submitting, as part of the notification of compliance status, a signed statement that the following requirements have been met as they apply: - for the emissions limit in 40 CFR 63.7925(d)(1), the emissions of total HAP listed in Appendix 1-27 or TOC (minus methane and ethane) from the control device, measured or determined according to the procedures for performance tests and design evaluations in 40
AE.323.3.US Affected closed vent systems and control devices at site remediations must meet specific inspection and monitoring requirements. (40 CFR 63.7927)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that each closed vent system is monitored and inspected according to one of the following requirements: - monitor, inspect, and repair defects according to the requirements in 40 CFR 63.695(c)(1)(ii) through 63.695(c)(3) - monitor and inspect the closed vent system according to the requirements in 40 CFR 63.172(f) through 63.172(j) and record the information in 40 CFR 63.181. Verify that, if the closed vent system includes a bypass device, one of the following requirements is met: - use a flow indicator to determine if the presence of flow according to the requirements in 40 CFR 63.693(c)(2)(i) - use a seal or locking device and make monthly inspections as required by 40 CFR 63.693(c)(2)(ii). Verify that, if the facility uses a regenerable carbon adsorption system, the following requirements are met: - use a CPMS to measure and record the hourly average total regeneration stream mass flow during each carbon adsorption cycle - use a CPMS to measure and record the hourly average temperature of the adsorption bed during regeneration (except during the cooling cycle) - use a CPMS to measure and record the hourly average temperature of the adsorption bed after regeneration (and within 15 min after
AE.323.4.US Affected closed vent systems and control devices at site remediations must demonstrate continuous compliance with emission limitations and work practice standards. (40 CFR 63.7928)[Added April 2004; Revised January 2007].	(NOTE: See checklist item AE.300.4.US for applicability information.) Verify that continuous compliance with the closed vent system work practice standards in 40 CFR 63.7925(c) is demonstrated by meeting the following requirements: - for a closed vent system designed to operate with no detectable organic emissions, visually inspecting the closed vent system at least annually, monitoring after a repair or replacement using the procedures in 40 CFR 63.694(k), and monitoring at least annually according to the requirements in 40 CFR 63.695(c)(1)(ii) - for a closed vent system designed to operate below atmospheric pressure, visually inspecting the closed vent system at least annually according to the requirements in 40 CFR 63.695(c)(2)(ii) - repairing defects according to the requirements in 40 CFR 63.695(c)(3) - keeping records of each inspection that include the following information: - closed vent system identification number (or other unique identification description selected) - date of each inspection - if a defect is detected during an inspection, the location of the defect, a description of the defect, the date of detection, the corrective action taken to repair the defect, and if repair is delayed, the reason for any delay and the date completion of the repair is expected - if electing to monitor

CR.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notices of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, programmatic agreements executed with the SHPO, NEPA documents with specific mitigation requirements, management plans, litigation settlement agreements, court imposed injunctions, or equivalent state enforcement actions.
CR.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this check list item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations concerning cultural resources management have been issued since the finalization of the manual. Determine if the facility has activities or facilities that are regulated but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
CR.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
CR.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
CR.5.1.US All Federal agencies are required to establish a program to locate, inventory, and nominate to the SOI all properties under the agency's ownership or control that appear to qualify for inclusion on the National Register of Historic Places. (36 CFR 60.9).	Determine if there is a program to locate, inventory, and nominate properties that includes the following: - assignment of responsibility for recognizing and maintaining cultural resources - an inventory and evaluation of all known cultural resources - identification of the likelihood (based on scientific study) of the presence of other significant cultural resources - description of strategies for maintaining cultural resources and the methods used for compliance with this regulation - clear identification of the impact on historic resources of ongoing projects and the resolutions to those impacts. Determine if the SHPO is given the opportunity to review and comment on all aspects of the program. Verify that known historic properties have been nominated.

CR.5.2.US Prior to the start of a new undertaking, Federal agencies are required to take into account the effects of the undertaking on historic properties. (36 CFR 800.1(a), 800.1(c), 800.2(a)(4), 200.2(c), 800.2(d), 800.3, 800.4(b) through 800.4(d), 800.5, and 800.6)[Revised October 1999; Revised April 2005].	Verify that an agency official determines whether the proposed Federal action is an undertaking and, if so, whether it is a type of activity that has the potential to cause effects on historic properties. (NOTE: If the undertaking is a type of activity that does not have the potential to cause effects on historic properties, assuming such historic properties were present, the agency official has no further obligations under section 106 or 36 CFR 800.) Verify that, prior to the start of a new undertaking; the impact of that undertaking on a historic property has been investigated through the Section 106 process of consultation and documentation. Verify that the section 106 process is done prior to the approval of the expenditure of any Federal funds on the undertaking or prior to the issuance of any license. (NOTE: Agency officials may conduct or authorize nondestructive project planning activities before completing compliance with section 106, provided that such actions do not restrict the subsequent consideration of alternatives to avoid, minimize or mitigate the undertaking's adverse effects on historic properties.) Verify that the Section 106 process was initiated early in the undertakings planning so that a broad range of alternative could be considered during the planning process for the undertaking. Verify that the
CR.5.3.US The SHPO and designated others must be consulted in association with the identification of historic properties. (36 CFR 800.2(c), 800.4(a))[Revised October 1999; Revised April 2005].	Verify that the SHPO is consulted to: - determine and document the area of potential effects (see definitions) - review existing information on historic properties within the area of potential effects, including any data concerning possible historic properties not yet identified - seek information, as appropriate, from consulting parties, and other individuals and organizations likely to have knowledge of, or concerns with, historic properties in the area, and identify issues relating to the undertaking's potential effects on historic properties - gather information from any Indian tribe or Native Hawaiian organization to assist in identifying properties, including those located off tribal lands, which may be of religious and cultural significance to them and may be eligible for the National Register, recognizing that an Indian tribe or native Hawaiian organization may be reluctant to divulge specific information regarding the location, nature, and activities associated with such sites. Verify that, if an Indian tribe has assumed the functions of the SHPO in the section 106 process for undertakings on tribal lands, the SHPO participates as a consulting party if the undertaking takes place on tribal lands but affects historic properties off tribal lands. Verify that, in relation to Indian tribes and Native Hawaiian
CR.5.4.US Certain reporting and documentation must be maintained by Federal agencies in relation to the Section 106 process. (36 CFR 800.4(d) and 800.11)[Added October 1999].	Verify that, if there is a "finding of no significant historic properties affected", documentation of this finding as set forth in 36 CFR 800.11(d) is provided to the SHPO/THPO. Verify that all consulting parties, including Indian tribes and Native Hawaiian organizations, are notified and the documentation is made available for public inspection prior to approving the undertaking. (NOTE: If the SHPO/THPO does not object within 30 days of receipt of an adequately documented finding, the Agency Official's responsibilities under Section 106 are fulfilled. If the Council has entered the Section 106 process, it may also object.) Verify that, if there are historic properties which may be affected by the undertaking or the SHPO/THPO or the Council objects to the Agency Official's finding, the Agency Official notifies all consulting parties, including Indian tribes or Native Hawaiian organizations and invites their views on the effects. Verify that a determination, finding, or agreement under the Section 106 process is supported by sufficient documentation to enable any reviewing parties to understand its basis. Verify that the documentation for a finding of no historic properties affected includes: - a description of the undertaking, specifying the Federal involvement, and its area of potential effects, including photographs, maps,

CR.10.1.US Facilities are required to provide American Indians with access to sites, use and possession of sacred objects, and the freedom to worship through ceremonials and traditional rites. (American Indian Religious Freedom Act and EO 13007)[Added June 1996; Revised July 2003].	Verify that American Indians are not prohibited access to sites, use and possession of sacred objects, and the freedom to worship through ceremonials and traditional rites. (NOTE: American Indian includes American Indian, Eskimo, Aleut, and Native Hawaiians.) Verify that Federal facilities accommodate access to and ceremonial use of Indian sacred sites by Indian religious practitioners. Verify that Federal facilities avoid adversely affecting the physical integrity of such sacred sites. (NOTE: Where appropriate, Federal facilities shall maintain the confidentiality of sacred sites.) (NOTE: Section 106 is only triggered if the site is eligible for the National Register as a traditional cultural property.) (NOTE: This checklist item previously cited the Religious Freedom Restoration Act (RFRA) of 1993 which was declared unconstitutional 25 June 1997 by the U.S. Supreme Court. The next event was the proposal of the Religious Liberty Protection Act of 2000 (RLPA) that never became law. The final result was the passage of the Religious Land Use and Institutionalized Persons Act on 22 September 2000. The focus of this law is quite different than the focus of RFRA as its primary purposes are to: - eliminate restrictive municipal zoning regulations that prevent churches and religious organizations from locating in
CR.15.2.US Archaeological resources located on public lands or Indian lands cannot be excavated, removed, damaged, or otherwise altered, or defaced without a permit. (32 CFR 229.4(a), 229.5(b), and 229.18).	Determine if there is currently any excavation, removal, or disturbing of archaeological resources other than a contract effort by the agency. Verify that any actions taken in relationship to archaeological resources have received permits. Verify that the parameters of the permit are being enforced. (NOTE: A permit is not required in the following circumstances: - for activities being conducted on public lands under other permits, leases, licenses, or entitlements for use when those activities are exclusively for activities other than excavation and/or removal of archaeological resources, even if those activities might disturb the archaeological resources - for the collection for private purposes, any rock, coin, bullet, or mineral that is not an archaeological resource, if the collection of the item does not result in the disturbance of an archaeological resource, if not regulated by the state - for archaeological work being performed under contract to the installation or facility - excavations done by an Indian tribe or member of an Indian tribe on the lands of that tribe.) (NOTE: Federal land managers will not make public any information about the nature and location of any archaeological resources, except under the following circumstances: - the disclosure furthers the purposes of the ARPA without risking
CR.15.3.US Federal facilities in possession or control of any collection that may contain unassociated funerary objects, sacred objects, or objects of cultural patrimony are required to develop a Summary. (43 CFR 10.8(a) through 10.8(e) and NAGPRA of 1990, 25 USC 3004, Section 6)[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) Determine whether the Federal facility is in possession or control of any collection that may contain unassociated funerary objects, sacred objects, or objects of cultural patrimony. (NOTE: Possession or control may include collections being curated at a separate facility.) Verify that, if a collection exists, a Summary of the collection has been compiled based on available information held by the museum or Federal agency. (NOTE: The Summary serves in lieu of an object by object inventory. If an inventory is available, it may be substituted. It does not serve in lieu of a NAGPRA Sect. 5 inventory of Native

CR.15.4.US An inventory must be developed of collections of human remains and associated funerary objects. (43 CFR 10.9(c) 10.9(d), 10.9(f) and 25 USC 3003, Section 5(a), 5(b)(1)(a), 5(b)(1)(B))[Added February 1996; Citation Revised July 2003].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) Verify that the following documentation, if available, is included in all inventories: - accession and catalogue entries - information related to the acquisition of each object, including: - the name of the person or organization from whom the object was obtained, if known - the date of acquisition - the place each object was acquired (i.e., name or number of site, county, state, and Federal agency administrative unit) - the means of acquisition (gift, purchase, or excavation) - a description of each set of human remains or associated funerary objects including dimensions, materials, and photographic documentation, if
CR.15.5.US Specific consultation and notification procedures must be followed during the creation of the inventory. (43 CFR 10.9(a), 10.9(b), 10.9(e), and 25 USC 3003, Section 5(a), 5(b)(1)(a), 5(b)(1)(B))[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) Verify that the following are consulted with in the inventory process: - lineal descendants of individuals whose remains and associated funerary objects are likely to be subject tot he inventory provisions - Indian tribe officials and traditional religious leaders: - from whose tribal lands the human remains and associated funerary objects originated - that are, or are likely to be, culturally affiliated with human remains and associated funerary objects - from whose aboriginal lands the human remains and associated funerary objects originated. Verify that inventory consultation began as early as possible, but no later in the
CR.15.6.US Specific procedures are required to be followed for repatriation of Native American human remains or cultural objects. (43 CFR 10.8(f), 10.10, and 25 USC 3005 Section 7)[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) Determine if there has been a request for repatriation of Native American human remains or cultural objects. Verify that prior to repatriation of unassociated funerary objects, sacred objects, or objects of cultural patrimony to lineal descendants, culturally affiliated Indian tribes, or Native Hawaiian organizations, a notice of intent to repatriate is submitted to the DCA and published in the Federal Register. Verify that the notice to repatriate: - describes the objects being claimed in sufficient detail so as to enable other parties to determine their interest in the objects - includes information that identified each claimed object and

CR.15.7.US Intentional archaeological excavations are required to be done according to specific parameters. (43 CFR 10.3 and 25 USC 3002, Section 3(c))[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) (NOTE: This applies to intentional excavation of human remains, funerary objects, sacred objects, or objects of cultural patrimony from Federal or tribal lands after 16 November 1990.) Determine whether there are plans to intentionally excavate and remove Native American human remains or cultural objects. Verify that excavations are done according the requirements outlines in checklist item CR.15.2.US. Verify that the objects are excavated only after consultation with, or for tribal lands, consent of, the appropriate Indian tribe or Native Hawaiian Organization (see also 43 CFR 10.5, checklist item CR.15.9.US. and
CR.15.8.US Inadvertent discoveries are required to be handled according to specific parameters. (43 CFR 10.4(a) through 10.4(d) and 25 USC 3002, Section 3(d)(1) and 3(d)(2))[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) (NOTE: This applies to inadvertent discovery of human remains, funerary objects, sacred objects, or objects of cultural patrimony from Federal or tribal lands after 16 November 1990.) Verify that immediate telephone notification is given to the responsible Federal agency official with respect to Federal lands following the inadvertent discovery of human remains, funerary objects, sacred objects, or objects of cultural patrimony. (NOTE: If written confirmation is provided by certified mail, the return receipt constitutes evidence of the receipt of the written notification by the Federal agency official. Verify that if the
CR.15.9.US The consultation process for intentional and inadvertent excavation is required to follow specific procedures. (43 CFR 10.5(a) through 10.5(d) and 25 USC 3002, Section 3(c))[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) (NOTE: This applies to intentional excavation or inadvertent discovery of human remains, funerary objects, sacred objects, or objects of cultural patrimony from Federal or tribal lands after 16 November 1990.) Verify that the Federal agency officials consult with known lineal descendants and Indian tribe officials: - from Indian tribes on whose aboriginal lands the planned activity occurred or where the inadvertent discovery has been made - from Indian tribes and Native Hawaiian organizations that are, or are likely to be, culturally affiliated with the human remains, funerary objects, sacred objects, or objects of cultural

CR.15.10.US After the consultation for intentional excavations or inadvertent discoveries, the Federal agency official is required to prepare, approve, and sign a written plan of action. (43 CFR 10.5(e))[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) (NOTE: This applies to intentional excavation or inadvertent discovery of human remains, funerary objects, sacred objects, or objects of cultural patrimony from Federal or tribal lands after 16 November 1990.) Verify that after the consultation, the Federal agency official has prepared, approved, and signed a written plan of action. Verify that a copy of the plan is provided to the lineal descendants, Indian tribes, and Native Hawaiian organizations involved. (NOTE: Lineal descendants and Indian tribe officials may sign the written plan of action as appropriate.) Verify that the plan documents the following: - the kinds of
CR.15.11.US The transfer of custody of human remains, funerary objects, sacred objects, or objects of cultural patrimony found as a result of intentional excavation or inadvertent discovery is required to be done according to specific parameters. (43 CFR 10.6)[Added February 1996].	(NOTE: The regulations in 43 CFR 10 pertain to the identification and appropriate disposition of human remains, funerary objects, sacred objects, or objects of cultural patrimony that are any of the following: - in Federal possession or control - in the possession or control of any institution or state or local government receiving Federal funds - excavated intentionally or discovered inadvertently on Federal or tribal lands.) (NOTE: The regulations in 43 CFR 10.1 through 10.17 apply to human remains, funerary objects, sacred objects, or objects of cultural patrimony which are indigenous to Alaska, Hawaii, and the continental United States, but not to territories of the United States.) (NOTE: This applies to intentional excavation or inadvertent discovery of human remains, funerary objects, sacred objects, or objects of cultural patrimony from Federal or tribal lands after 16 November 1990.) Verify that upon determination of the lineal descendant, Indian tribe, or Native Hawaiian organization that is entitled to custody of particular human remains, funerary objects, sacred objects, or objects of cultural patrimony excavated intentionally or discovered inadvertently, the Federal agency official transfers custody to the appropriate entity. Verify that prior to disposition, the Federal agency official publishes
CR.20.1.US Federal facilities responsible for the long-term management and preservation of pre-existing collections are subject to certain regulations regarding curation. (36 CFR 79.5(a)).	Determine if the Federal facility has responsibility for the long-term management and preservation of pre-existing archaeological collections. Verify that the responsible person identifies repositories holding pre-existing collections placed prior to 12 October 1990 and reviews and evaluates the curatorial services being provided. Verify that, if the curatorial services being provided are not adequate, appropriate actions to eliminate inadequacies are being taken.
CR.20.2.US Federal facilities responsible for the long-term management and preservation of new archaeological collections are required to meet specific curation standards. (36 CFR 79.5(b)).	Determine if the Federal facility has responsibility for the long-term management and preservation of new archaeological collections. Verify that new archaeological collections are deposited in a repository only after the following criteria have been met: - the repository has the capability to provide adequate long-term curatorial services - the repository's facilities, written curatorial policies, and operating procedures are consistent with 36 CFR 79 (see checklist items CR.20.1.US. through CR.20.9.US.) - the repository has certified, in writing, that the collection will be cared for, maintained, and made accessible in accordance with 36 CFR 79 - when the collection is from Indian lands, written consent to the disposition has been obtained from the Indian landowner and the Indian tribe having jurisdiction over the lands - the initial processing of the material remains (including appropriate cleaning, sorting, labeling, cataloging, stabilizing, and packaging) has been completed, and associated records have been prepared and organized in accordance with the repository's processing and documentation procedures.

CR.20.3.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to keep specific administrative records. (36 CFR 79.5(c)).	Verify that the following administrative records on the disposition of each collection includes: - the name and location of the repository where the collection is deposited - a copy of the contract, memorandum, agreement, or other appropriate written instrument, and any subsequent amendments, between the Federal facility, the repository, and any other party for curatorial services - a catalogue list of the contents of the collection deposited in the repository - a list of any other Federal personal property furnished to the repository as part of the contract, memorandum, or agreement - copies of reports documenting inspection, inventories and investigations of loss, damage, or destruction that are conducted - any subsequent permanent transfer of the collection to another repository.
CR.20.4.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to provide long-term curatorial services. (36 CFR 79.9(a) and 79.9(b)(1))[Revised May 1996].	Verify that the repository provides the following as adequate long-term care: - accession, labeling, cataloging, storage, maintenance, inventory, and conservation of the particular collection on a long-term basis using professional museum and archival practices - maintenance of complete and accurate records of the collection, including: - records on acquisition - catalogues and artifact inventory lists - descriptive information, including field notes, site forms, and reports - photographs, negatives, and slides - locational information, including maps - information on the condition of the collection including any completed conservation treatments - records on deaccessions and subsequent transfers or repatriation as required by the FAO - approved loans and other uses - inventory and inspection records, including any environmental monitoring records - records on lost, deteriorated, damaged, or destroyed government property.
CR.20.5.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to provide repository security that meets specific standards. (36 CFR 79.9(b)(2), 79.9(b)(3), and 79.9(b)(6)).	Verify that the repository has dedicated equipment and space to properly store, study, and conserve the collection. Verify that the collection is under physically secure conditions within storage, laboratory, study, and any exhibition areas, and the physical plant meets the following criteria: - local electrical, fire, building, health, and safety codes are met - has an appropriate and operational fire detection and suppression system - has an appropriate and operational intrusion detection and deterrent system - has an adequate emergency management plan establishing procedures for responding to fires, floods, natural disasters, civil unrest, acts of violence, structural failures, and failures of mechanical systems within the physical plant - provides fragile or valuable items with additional security, and limits and controls access to keys, the collection, and the physical plant - inspections of the physical plant for possible security weaknesses and environmental control problems are carried out, and inadequacies corrected. Verify that storage of site forms, field notes, artifacts inventory lists, computer disks and tapes, catalogue forms and a copy of the final report is done in a manner that protects them from theft and fire by one of the following: - storing a duplicate set of records in a separate location -
CR.20.6.US Curation staff responsible for the long-term management and preservation of pre-existing and new archaeological collections is required to be qualified museum professionals. (36 CFR 79.9(b)(4)).	Verify that the staff and consultants who are responsible for managing the collection are qualified museum professionals.

CR.20.7.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to follow specific curatorial procedures. (36 CFR 79.9(b)(5)).	Verify that handling, storage, cleaning, conservation, and exhibition of the collection is performed in a manner that: - is appropriate to the nature of the material remains and associated records - protects the collections from breakage and possible deterioration from adverse temperature and relative humidity, visible light, ultraviolet radiation, dust, soot, gases, mold, fungus, insects, rodents, and general neglect - preserves data that may be studied in future laboratory analyses.
CR.20.8.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to follow specific practices regarding the use of the collections. (36 CFR 79.10).	Verify that the collection is available for scientific, educational, and religious uses, subject to such terms and conditions as are necessary to protect and preserve the condition, research potential, religious or sacred importance, and uniqueness of the collection.
CR.20.9.US Federal facilities responsible for the long-term management and preservation of pre-existing and new archaeological collections are required to inventory and inspect those collections. (36 CFR 79.9(b)(7), 79.9(b)(8), and 79.11(b) through 79.11(d)).	Verify that inspections and inventories of the collection are conducted periodically. Verify that inspection of the collection for possible deterioration and damage is conducted. Verify that the inventories include the material remains and associated records and any other U.S. Government-owned personal property in the possession of the repository. Verify that qualified museum professionals conduct the inspections and inventories. Verify that, following each inspection and inventory, the personnel responsible for the inspection and inventory prepare and provide the responsible person with a writ ten report of the results, including the status of the collection, treatments completed, and recommendations for additional treatments. (NOTE: For collections from Indian lands, the Indian landowner and the tribal official and the Indian tribe that has jurisdiction over the lands is provided with a copy of the notification also.) Verify that, within 5 days of the discovery of any loss or theft of, deterioration and damage to, or destruction of the collection (or a part thereof) or any other U.S. Government-owned property, the personnel responsible for the curation of the collection prepare and provide the responsible person with written notification of the circumstances surrounding the loss. Verify that the collection is
EM.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notices of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, programmatic agreements executed with the SHPO, NEPA documents with specific mitigation requirements, management plans, litigation settlement agreements, court imposed injunctions, or equivalent state enforcement actions.

EM.1.2.US Appropriate organizational levels are required to develop, implement, and maintain an EMS to be used to identify and address agency environmental, transportation, and energy issues. (EO 13423, Section 3(b); Instructions for Implementing EO 13423, Section II, paragraphs A and B).	(NOTE: The phrase "appropriate organizational level" is not specifically defined but does include agency, sub-agency, bureau, service, command, and/or facility.) (NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that where an agency's environmental issues, including the goals identified in section 2 of EO 13423., are best addressed in management of the operational elements of its facilities or organizations, and/or where pursuit of sustainable practices is best carried out at the facility or organizational level, the agency ensures that all appropriate facilities or organizations develop, implement, and maintain an EMS. (NOTE: Facilities previously identified under EO 13148 as "appropriate facilities" and already underway with implementation as of the date of the E.O. shall ensure their EMS is fully implemented by December 2008, and maintained as specified in the instructions. Agencies may revise schedules relative to this deadline after consultation with OFEE, specifically in regard to the definition of "fully implemented" requiring an external audit.) Verify that, where an agency's environmental issues,
EM.1.3.US Where an EMS exists at the appropriate organization level, the elements of the Compliance Management Plan must be part of the EMS. (Instructions for Implementing EO 13423, Section III, paragraph A and B).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that, where an EMS exists at the appropriate organization level, the elements of the Compliance Management Plan are part of the EMS. (NOTE: A separate compliance management plan is not required.) (NOTE: The development, implementation, and maintenance of compliance management plans developed under E.O. 13423 and the implementing instructions shall not affect, pre-empt, nor supersede EPA's environmental regulatory and enforcement requirements.) Verify that each compliance management plan formally includes the following elements at the appropriate level: - a clear, sustained, and up-to-date commitment is integrated into strategic plans and policies for senior leadership to achieve and maintain environmental compliance. - clearly articulated roles and responsibilities related to environmental performance at all levels to ensure accountability for less than desired environmental performance. - implementation of an environmental compliance review and audit program that identifies compliance needs and possible root cause of non-
EM.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations concerning EMS have been issued since the finalization of the manual. Determine if the facility has activities or facilities that are regulated but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
EM.2.2.US Risk management techniques should be promoted in environmental efforts. (MP).	Determine if risk management techniques are promoted in environmental efforts.
EM.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP).	Determine if the facility has gone above and beyond simply complying with environmental requirements.

EM.10.1.US Federal facility EMS should have a policy statement endorsed by top management. (MP - ISO 14001:2004, para 4.2a through 4.2e, Appendix A, para. A2; and ISO 14004:2004, para 4.1.3 and 4.2)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.2a through 4.2e, Appendix A, para. A2; and ISO 14004:2004, para 4.1.3 and 4.2.) Verify that the policy statement: - is appropriate to the nature, scale and environmental impacts of the federal facility's activities, products and services - includes a commitment to continual improvement and prevention of pollution - includes a commitment to comply with applicable legal requirements and with other requirements to which the facility subscribes which relate to its environmental aspects - includes a commitment to set an example in the field of environmental management - provides the framework for setting and reviewing environmental objectives and targets - is documented, implemented and maintained - is available to the public. Verify that, where possible, the policy statement is tied to the facility's Agency/Departmental/Bureau mission and priorities. Verify that, in the process of developing its environmental policy, a facility considers the following: - its mission, vision, core values and beliefs - coordination with other facility policies (e.g. quality, occupational health and safety) - the requirements of, and communication with, interested parties - guiding principles - specific local or regional conditions - its commitments to
EM.10.2.US EMS policy should be communicated to all persons working for or on behalf of the facility as well as to the public. (MP - ISO 14001:2004, para 4.2f, 4.2g, and Appendix A, para A2)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.2f, 4.2g, and Appendix A, para A2.) Verify that the EMS policy is communicated to all persons working for or on behalf of the facility. Verify that the EMS policy is communicated to the public. Verify that, if appropriate, the EMS policy is communicated to external entities and individuals. (NOTE: The following questions will assist in verifying conformance to this requirement. - What are the procedures to check if the environmental policy is understood and practiced?) (NOTE: Interview personnel in various management levels at the facility. The following questions will assist in verifying conformance to this requirement. - Are you familiar with the policy? - Are you familiar with the EMS program?) (NOTE: The environmental policy should be communicated to all persons who work for, or on behalf of, the organization, including contractors working at an organization's facility. Communication to contractors can be in alternative forms to the policy statement itself, such as rules, directives and procedures, and may therefore only include pertinent sections of the policy. The facility's environmental policy should be defined and documented by its top management within the context of the environmental
EM.20.1.US Federal facilities should develop and implement a procedure to identify environmental aspects and their impacts. (MP - ISO 14001:2004, para 4.3.1 and ISP 14004:2004, para 4.3.1)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.3.1 and ISP 14004:2004, para 4.3.1.) Verify that the facility has established, implemented and maintains a procedure(s): - to identify the environmental aspects of its activities, products, and services within the defined scope of the EMS that it can control, and those that it can influence taking into account planned or new developments, or new or modified activities, products and services - to determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects). (NOTE: For example, if a facility washes vehicles/heavy equipment onsite, there is a potential to impact groundwater or surface water with oily residues from the vehicle or heavy equipment.) Verify that the facility documents the environmental aspects and those which are significant environmental aspects. (NOTE: See Appendix 14-2 for additional guidance on the identification of aspects and impacts.) Verify that the significant environmental aspects are taken into account in establishing, implementing and maintaining the EMS. (NOTE: An facility's policy, objectives and targets, training, communications, operational controls and monitoring programs should be primarily based on knowledge of its significant

EM.20.2.US The development of EMS environmental objectives and targets should include the consideration of regulatory requirements applicable to the federal facility. (MP - ISO 14001:2004, para 4.3.2, Appendix A, para. A.3.2 and ISO 14004:2004, para 4.3.2)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.3.2, Appendix A, para. A.3.2 and ISO 14004:2004, para 4.3.2) (NOTE: This may be done through an Agency/Bureau/Departmental auditing program and interaction with state and federal compliance assistance organizations.) Verify that the facility has established, implemented, and maintains a procedure(s) to: - identify and have access to the applicable legal requirements and other requirements applicable to the facility and related to its environmental aspects - determine how the applicable requirements apply to its environmental aspects. Verify that the facility ensures that the applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its EMS. (NOTE: See Appendix 14-3 for examples of activities, products and services and their associated environmental aspects, objectives, targets, programs, indicators, operational control, and monitoring and measurement.) (NOTE: Examples of other requirements to which the organization may subscribe include, if applicable, - agreements with public authorities, - agreements with customers, - non-regulatory guidelines, - voluntary principles or codes of practice, - voluntary
EM.20.3.US EMS Planning should include the development of environmental objectives and targets. (MP - ISO 14001:2004, para 4.3.3, Appendix A, para A3.3, and ISO 14004:2004, para 4.3.3)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.3.3, Appendix A, para A3.3, and ISO 14004:2004, para 4.3.3) Verify that environmental planning includes the identification of environmental objectives and targets. Verify that the facility has established, implemented, and maintains documented environmental objectives and targets, at relevant functions and levels within the facility. Verify that, when setting objectives and targets, the facility/organization considered several inputs, including: - principles and commitments in its environmental policy - its significant environmental aspects (and information developed in determining them) - applicable legal requirements and other requirements to which the organization subscribes - effects of achieving objectives on other activities and processes - views of interested parties - technological options and feasibility - financial, operational, and organizational considerations, including information from suppliers and contractors - possible effects on the public image of the organization - findings from environmental reviews - other organizational goals. Verify that the objectives and targets are specific and measurable. Verify that objectives and targets cover and short- and long-term issues. Verify that objectives were set at the top level of the facility and at other
EM.20.4.US EMS Planning should include the identification of environmental responsibilities organization/facility-wide. (MP - ISO 14001:2004, para 4.3.3 and ISO 14004:2004, para 4.3.3.1)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.3.3 and ISO 14004:2004, para 4.3.3.1.) Verify that, as a part of objectives and targets development, the facility establishes, implements and maintains a program(s) for achieving its objectives and targets, including: - designation of responsibility for achieving objectives and targets at relevant functions and levels of the organization, and - the means and time-frame by which they are to be achieved. Verify that environmental responsibilities are documented in job descriptions. Verify that environmental roles and responsibilities are not confined to the environmental management function, Verify that a facility identifies the contributions of different levels and functions of the facility in achieving the objectives, and makes the individual members of the facility aware of their responsibilities. (NOTE: The following questions will assist in verifying conformance to this requirement. - What is the facilities procedure for defining and documenting roles, responsibilities, and authorities throughout the organization? - How are the roles, responsibilities, and authorities communicated to facilitate effective environmental management? - How are participants made aware of their roles and responsibilities within the EMS?)

EM.20.5.US Successful implementation of the EO 13423 must be included in performance standards and performance evaluations (or equivalent) for facility managers, environmental and energy program managers, vehicle fleet managers, contracting officials, and others as appropriate. (Instructions for Implementing EO 13423, Section I, paragraph D4).	Verify that the successful implementation of the E.O. is included in performance standards and performance evaluations for facility managers, environmental and energy program managers, vehicle fleet managers, contracting officials, and others as appropriate. (NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.")
EM.20.6.US EMS planning should include a comparison of existing programs to an accepted EMS framework. (MP - ISO 14001:2004, Appendix A and ISO 14004:2004, para 4.1.4)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, Appendix A and ISO 14004:2004, para 4.1.4.) Verify that EMS planning includes a comparison to an accepted EMS framework (i.e., a gap analysis). (NOTE: Appendix A of ISO 14001:2004 indicates that an organization with no existing EMS should, initially, establish its current position with regard to the environment by means of a review. The aim of this review is to consider all environmental aspects of the organization as a basis for establishing the EMS.) Verify that the comparison/review covers the following four key areas: - identification of environmental aspects, including those associated with normal operating conditions, abnormal conditions including start-up and shut-down, and emergency situations and accidents - identification of applicable legal requirements and other requirements to which the organization subscribes - examination of existing environmental management practices and procedures, including those associated with procurement and contracting activities - evaluation of previous emergency situations and accidents.) (NOTE: The review can also include additional considerations, such as: - an evaluation of performance compared with applicable internal criteria, external standards, regulations, codes of practice
EM.20.7.US The facility/organization budget should address the costs of EMS. (MP - ISO 14004:2004, para 4.4.1)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14004:2004, para 4.4.1.) Verify that EMS-related activities such as initial self-assessments, development of performance measures, policy, and establishment of management systems are addressed in the budget requests. Verify that, when identifying the resources needed to establish, implement and maintain the EMS, a facility considers: - infrastructure - information systems - training - technology - financial, human and other resources specific to its operations. Verify that resource allocations consider both the current and future needs of an organization. (NOTE: In allocating resources, an organization can develop procedures to track the benefits as well as the costs of its environmental or related activities. Issues such as the cost of pollution control, wastes and disposal can be included.) Verify that resources and their allocation are reviewed periodically, and in conjunction with the management review to ensure their adequacy. (NOTE: In evaluating adequacy of resources, consideration should be given to planned changes and/or new projects or operations.) (NOTE: On 27 June 2002, OMB issued guidance in its Circular No. A-11 to Federal agencies regarding preparation and submission of their FY 2004 budgets. OMB Circular No. A-11 is considered

EM.30.1.US All personnel whose actions are affected by E.O. 13423 must receive initial awareness training as well as necessary refresher training on the goals of the E.O and any related instructions. (Instructions for Implementing EO 13423, Section V, paragraph A).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that all personnel whose actions are affected by E.O. 13423 receive initial awareness training as well as necessary refresher training on the goals of the E.O and any related instructions, including the environmental impacts of the employees' actions. (NOTE: The interagency workgroups shall discuss training needs and develop guidance on training, as appropriate.) (NOTE: The following portion of this checklist item is drawn from ISO 14001:2004, para 4.4.2 and ISO 14004:2004, para 4.4.2.) Verify that the facility establishes, implements and maintains a procedure(s) to make persons working for it or on its behalf aware of: - the importance of conformity with the environmental policy and procedures and with the requirements of the EMS - the significant environmental aspects and related actual or potential impacts associated with their work, and the environmental benefits of improved personal performance - their roles and responsibilities in achieving conformity with the requirements of the EMS - the potential consequences of departure from
EM.30.2.US When implementing EMS, employees must receive environmental management training. (Instructions for Implementing EO 13423, Section V, paragraph B).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that environmental management training is provided to employees. (NOTE: Each agency shall identify the specific training needs of individual employees, which shall be a function of operations and responsibilities related to the E.O. goals and other legal requirements.) Verify that the training addresses the role of individual employees in ensuring the pursuit of the policy, goals, and objectives set forth in the E.O. and emphasizes the benefit of improved environmental, energy, and transportation management to the mission of the organization. Verify that training is provided to employees and others, such as contractors, as appropriate, at all levels, and repeated as necessary to ensure improved awareness. (NOTE: Training can be, but is not limited to, agency-developed training, training provided by a third party such as a contractor or non-profit organization, training provided by another agency, Defense Acquisition University or Federal Acquisition Institute courses, or educational sessions provided during relevant conferences such as
EM.30.3.US EMSs will support appropriate inclusion of local participation, consistent with the objectives of EO 13352 of August, 2004, Facilitation of Cooperative Conservation. (Instructions for Implementing EO 13423, Section II, paragraph A(3)).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that EMSs support appropriate inclusion of local participation, consistent with the objectives of EO 13352 of August, 2004, Facilitation of Cooperative Conservation. (NOTE: The following portion of this checklist item is drawn from ISO 14001:2004, para 4.4.3, Appendix A, para A.4.3 and ISO 14004:2004, para 4.4.3.) Verify that, in relation to environmental aspects and EMS, the facility establishes, implements, and maintains a procedure(s) for: - internal communication among the various levels and functions of the organization, - receiving, documenting and responding to relevant communication from external interested parties. (NOTE: Methods of internal communication may include regular work group meetings, newsletters, bulletin boards, suggestion boxes, email, and intranet sites.) Verify that employees know how to implement the procedure. Verify that the facility has decided whether to communicate externally about its significant environmental aspects and has documented its decision. Verify that, if the facility has decided to communicate

EM.30.4.US EMS is the management framework which identifies, manages, and improves EO 13423 sustainable practices while also identifying and collecting performance measurement information. (Instructions for Implementing EO 13423, Section II, paragraph A(1)).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that the EMS identifies, manages, and improves EO 13423 sustainable practices. (NOTE: The following portion of this checklist item is drawn from ISO 14001:2004, para 4.4.6, Appendix A, para A.4.6; ISO 14004: 2004, para 4.4.6) Verify that operations, activities, and processes at a facility/organization are planned and managed to align with EMS policy, objectives and targets. (NOTE: A facility might use operational controls to: - manage identified significant environmental aspects - ensure compliance with legal requirements and other requirements to which the organization subscribes - achieve objectives and targets and ensure consistency with its environmental policy, including the commitment to prevention of pollution and continual improvement, - avoid or minimize environmental risks.) (NOTE: A facility should evaluate those of its operations that are associated with its identified significant environmental aspects and ensure that they are conducted in a way that will control or reduce the adverse impacts associated with them, in order to
EM.30.5.US The facility/organization should have procedures and agreements in place to prepare for and respond to emergencies. (MP - ISO 14001:2004, para 4.4.7, Appendix A, para A.4.7; ISO 14004, para 4.4.7)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.4.7, Appendix A, para A.4.7; ISO 14004, para 4.4.7.) Verify that the facility/operation has identified potential emergencies and developed procedures for preventing them and responding to them. Verify that the facility does respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts. Verify that the facility periodically reviews and, where necessary, revises its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations. Verify that the procedure(s) take into account potential consequences of abnormal operating conditions, potential emergency situations and potential accidents. Verify that the facility also periodically tests such procedures where practicable. Verify that, if needed, formal agreements have been made with local fire departments and/or HAZMAT response teams for services. (NOTE: In developing emergency procedure(s), the facility should include consideration of: - the nature of on-site hazards, e.g. flammable liquids, storage tanks and compressed gases, and measures to be taken in the event of spillages or accidental releases - the most likely type and scale of an emergency
EM.30.6.US The facility/organization should integrate continual improvement as a part of its EMS. (MP - ISO 14001:2004, para 4.6.2, and ISO 14004, para 4.6.2)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.6.2, and ISO 14004, para 4.6.2.) (NOTE: Continual improvement is accomplished through the achievement of environmental objectives and targets and the overall enhancement of the environmental management system or any of its components.) Verify that, as a part of the continual evaluation of environmental performance and the performance of the EMS, opportunities for improvement are identified. (NOTE: Opportunities for improvement can be identified by analyzing the root causes(s) of EMS deficiencies.) (NOTE: Some useful sources of information for continual improvement include: - experience gained from corrective and preventive actions - external benchmarking against best practices - intended or proposed changes applicable to legal requirements and other requirements to which the organization subscribes - results of environmental management system and compliance audits - results of monitoring of key characteristics of operations - results of progress towards achieving objectives and targets - views of interested parties, including employees, customers and suppliers.) Verify that, when opportunities for improvement are identified, they are evaluated to determine what actions should be taken. Verify
EM.40.1.US Conformance with EO 13423 EMS requirements is determined by a formal audit, recognition of audit findings, and declaration of conformance. (Instructions for Implementing EO 13423, Section II, paragraph C).	Verify that, in order for an EMS to be fully implemented in conformance with EO 13423, the following have occurred: - the EMS has been the subject of a formal audit by a qualified party outside the control or scope of the EMS - audit findings have been recognized by the appropriate level of the agency implementing the EMS - the appropraite senior management accountable for implementation of the EMS has declared conformance to EMS requirements. (NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.")

EM.40.2.US Once implemented, an EMS must be reviewed and updated annually or more frequently, as appropriate, by senior leadership accountable for implementation of that EMS. (Instructions for Implementing EO 13423, Section II, paragraph A2).	(NOTE: This annual management review does not require a conformance determination.) Verify that an implemented EMS is reviewed and updated annually or more frequently, as appropriate, by senior leadership accountable for implementation of that EMS. (NOTE: The following portion of this checklist item is drawn from ISO 14001:2004, para 4.4.4, 4.4.5, 4.5.4, Appendix A, para A.4.4., A.5.4; IS 14004:2004, para 4.4.4, 4.4.5, and 4.5.4) (NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that the facility establishes and maintains records as necessary to demonstrate conformity to the requirements of its EMS and the results achieved. (NOTE: Documentation should be collected and maintained in a way that reflects the culture and needs of an organization, building onto and improving its existing information system.) Verify that EMS documentation includes: - the environmental policy, objectives and targets - description of the scope of the environmental management system, - description of the main elements of the environmental management system and their interaction, and reference to related
EM.40.3.US The facility/organization should have a procedure to check on the key characteristics of its operations that can have a significant environmental impact. (MP - ISO 14001:2004, para 4.5.1, Appendix A, para A.5.1; ISO 14004, para 4.5.1)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.5.1, Appendix A, para A.5.1; ISO 14004, para 4.5.1.) (NOTE: This involves more than an environmental compliance audit, although environmental compliance auditing is a component of EMS implementation.) Verify that the facility has established, implemented and maintains a procedure to monitor and measure, on a regular basis, the key characteristics of its operations that can have a significant environmental impact. (NOTE: Key characteristics are those that the facility needs to consider to determine how it is managing its significant environmental aspects, achieving objectives and targets, and improving environmental performance.) (NOTE: Monitoring involves collecting information, such as measurements or observations, over time. Measurements can be either quantitative or qualitative.) Verify that the procedure includes the documenting of information to monitor performance, applicable operational controls and conformity with the organization's environmental objectives and targets. Verify that the facility ensures that calibrated or verified monitoring and measurement equipment is used and maintained and associated records are maintained. (NOTE: Monitoring and measurements can serve many
EM.40.4.US The facility/organization should monitor key activities and track their performance in relation to the EMS. (MP).	Verify that the facility/organization monitors key activities and tracks their performance in relation to the EMS. (NOTE: For example, if the reduction of liquid solvent use is a target of the EMS, the facility/organization should be able to review statistics on liquid solvent procurement and waste disposal.) (NOTE: The following questions are examples to assist in verifying conformance to this requirement and may or may not be appropriate at an individual facility. - How do you measure progress toward achieving the program's objectives and targets? - How are the specific actions to attain targets prioritized in order of their importance to the organization? - How is EMS performance reported to top management for review and as a basis for continual improvement?) (NOTE: Both auditors who are reviewing an EMS in the context of a regulatory compliance audit and auditors who are conducting EMS conformance audits must show restraint in how they comment and present valid findings. If a facility has a procedure for doing something, the organizations is doing what it says it will do, and that procedure appears to be working, then the facility is in conformance, whether or not the auditor happens to think that there is a better procedure. If asked, the auditor can provide additional information as an addition to

EM.40.5.US The facility/organization should periodically assess compliance with legal requirements as well as other requirements such as policy letter and memorandum. (MP - ISO 14001:2004, para 4.5.2 and ISO 14004:2004, para 4.5.2)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.5.2 and ISO 14004:2004, para 4.5.2.) Verify that, consistent with its commitment to compliance, the facility establishes implements and maintains a procedure(s) for periodically evaluating compliance with applicable legal requirements. Verify that the facility keep records of the results of the periodic compliance evaluations. Verify that the facility has established a frequency and methodology for evaluation of compliance that suits its size, type and complexity. (NOTE: Frequency can be affected by factors such as past compliance performance or specific legal requirements.) Verify that the facility evaluates compliance with other requirements (i.e., Army Regulations, Bureau/Agency memorandum, policy letter) to which the facility is required to comply. (NOTE: The facility may wish to combine this evaluation with the above mentioned evaluation of legal compliance or to establish a separate procedure(s).) Verify that the facility keeps records of the results of the periodic evaluations. (NOTE: The following questions are examples to assist in verifying conformance to this requirement and may or may not be appropriate at an individual facility. - What is the organization's process for ensuring compliance with
EM.40.6.US The facility/organization should correct and prevent the recurrence of noncompliance and process deficiencies. (MP - ISO 14001:2004, para 4.5.3 and ISO 14004:2004, para 4.5.3)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.5.3 and ISO 14004:2004, para 4.5.3.) Verify that the facility has established, implemented, and maintains a procedure for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventive action. (NOTE: Nonconformity is nonfulfillment of a requirement.) Verify that known noncompliance is corrected to the extent possible within the abilities of the facility/organization. Verify that the procedure includes requirements for: - identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts - investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence - evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence - recording the results of corrective action(s) and preventive action(s) taken - reviewing the effectiveness of corrective action(s) and preventive action(s) taken. Verify that actions taken are appropriate to the magnitude of the problems and the environmental impacts encountered. Verify that the facility ensures that any necessary changes are made to EMS documentation. Verify that process deficiencies are reviewed and
EM.50.1.US In order for an EMS to be considered fully implemented, the EMS must have been the subject of a formal audit, the audit findings recognized by the appropriate level of the agency implementing the EMS, and the appropriate senior manager accountable for implementation has declared conformance. (Instructions for Implementing EO 13423, Section II, paragraphs C and D).	(NOTE: According to the June 18, 2007 Federal Register notice [page 33504] the Instructions for Implementing EO 13423, "should be considered mandatory, and agencies are expected to implement them as part of complying with the EO.") Verify that the EMS has been the subject of a formal audit by a qualified party outside the control or scope of the EMS. Verify that audit findings have been recognized by the appropriate level of the agency implementing the EMS. Verify that the appropriate senior manager accountable for implementation of the EMS has declared conformance to EMS requirements. Verify that, once conformance has been declared, the EMS is audited by a qualified party outside of the control or scope of the EMS at least every 3 yr from the date of the initial declaration. (NOTE: Conformance declaration shall be renewed as appropriate based on agency guidance.) (NOTE: EPA, in consultation with OFEE and DOE, will develop guidance on incorporating the new E.O. goals, including the multi-year energy and transportation goals, into EMSs. In addition, EPA, through the Interagency Environmental Leadership Workgroup, will develop additional EMS guidance from time to time, as needed.) (NOTE: The following portion of this checklist item is drawn from ISO

EM.50.2.US Top management of the facility/organization should be involved in the EMS implementation beyond the declaration of a policy. (MP - ISO 14001:2004, para 4.6 and ISO 14004:2004, para 4.6)[Citation Revised October 2009].	(NOTE: This checklist item is drawn from ISO 14001:2004, para 4.6 and ISO 14004:2004, para 4.6.) Verify that management participation in EMS goes beyond declaration of a policy. (NOTE: Examples include: - management participation in environmental committees - inclusion of targets specific to management in the EMS - allocation of funds for EMS-related issues - attendance at management focused EMS training.) Verify that top management reviews the facility's EMS at planned intervals to ensure its continuing suitability, adequacy and effectiveness. (NOTE: Each facility can decide for itself those who will participate in the management review.) Verify that reviews include assessing opportunities for improvement and the need for changes to the EMS, including the environmental policy and environmental objectives and targets. Verify that records of the management reviews are retained. (NOTE: Input to management reviews shall include: - results of internal audits and evaluations of compliance with legal requirements and with other requirements to which the organization subscribes - communication(s) from external interested parties, including complaints - the environmental performance of the organization - the extent to which objectives and targets
HM.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notices of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
HM.1.2.US A MSDS is required to be on file for each hazardous chemical stored and used. (29 CFR 1910.1200(b)(3)(ii), 1910.1200(b)(4)(ii), 1910.1200(b)(6), 1910.1200(g)(1), and 1910.1200(g)(8)).	Verify that an MSDS is on file and readily accessible to workers on all shifts in the workplace for each hazardous material stored or used. (NOTE: These requirements do not apply to: - hazardous waste - tobacco or tobacco products - wood or wood products - articles that are defined as a manufactured item other than a fluid or particle which under normal conditions of use does not release more than very small amounts of a hazardous chemical and does not pose a physical hazard or health risk to personnel and that: - is formed to a specific shape or design during manufacture - has end use functions dependent in whole or in part upon its shape or design during end use - food or alcoholic beverages that are sold, used, or prepared in a retail establishment and foods intended for consumption by personnel - any drug as that term is defined in the Federal Food, Drug, and Cosmetic Act when it is in its solid, final form for direct administration - cosmetics that are packaged for sale or intended for personal use - any consumer product or hazardous substance as defined in the Consumer Product Safety Act and the Federal Hazardous Substances Act for which the facility can demonstrate that it is used in the workplace in the same manner as normal consumer use, and which use results in a

HM.1.3.US Containers of hazardous chemicals in the workplace are required to be labeled, tagged, or marked with specific information. (29 CFR 1910.1200(b)(3)(i), 1910.1200(b)(4)(i), 1910.1200(b)(5), and 1910.1200(f)(5) through 1910.1200(f)(7)).	Verify that all containers of hazardous chemicals in the workplace are labeled with the following information: - identity of the hazardous chemical (same as MSDS) - appropriate hazard warnings. (NOTE: Signs, placards, process sheets, batch tickets, operating procedures, or other written materials may be used instead of attached labels to identify stationary process containers as long as the alternate method identifies the containers to which it is applicable.) (NOTE: Portable containers into which hazardous chemicals are transferred from labeled containers and which are intended only for the immediate use of the employee who performs the transfer are not required to be marked.) (NOTE: These requirements do not apply to: - any pesticide as such term is defined in the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), when subject to the labeling requirements of that act and regulations issued under that act - any chemical substance or mixture as defined by the Toxic Substances Control Act (TSCA) when subject to the labeling requirements of TSCA - any food, food additive, color additive, drug, cosmetic, or medical or veterinary device as defined in the Federal Food, Drug, and Cosmetic Act - any distilled spirits, wine, or malt beverage intended for nonindustrial use as defined in
HM.1.4.US Specific housekeeping requirements must be met in areas where hazardous materials are stored. (29 CFR 1910.176(c)).	Verify that areas where hazardous materials are stored and/or used are free from accumulations of materials that create a hazard from tripping, fire, explosion, or pest harborage. (NOTE: The following are suggested housekeeping practices: - drums/containers are not leaking and are tightly sealed - drip pans and/or absorbent material are placed under containers - dispensing areas are located away from catch basins and storm drains.)
HM.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of the guide. Determine if the facility has activities or facilities that are regulated but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
HM.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
HM.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.

HM.10.1.US A written hazard communication program is required that is designed to provide all employees with information about the hazardous chemicals to which they are exposed. (29 CFR 1910.1200(b)(1) and 1910.1200(e)(1))[Revised February 1995].	Verify that there is a written hazard communication program which contains the following: - how general training will be done to inform employees of issues such as MSDSs and hazardous materials labels and other warning signs - a list of the hazardous chemicals known to be present (can be done for the entire workplace or individual work areas) - how training will be done - the methods used to inform the employees of the hazards associated with nonroutine tasks and the hazards associated with chemicals contained in unlabeled pipes in their work areas. Verify that, if employees from more than one employer may be exposed (for example, employees of a construction contractor working onsite), the hazard communication program also addresses what will be done to: - provide the other employees onsite with access to MSDSs for each hazardous chemical the other employer's employees may be exposed to while working - inform the other employers of the labeling system used in the workplace - inform the other employers of any precautionary measures that need to be taken to protect employees during the workplace's normal operating conditions and in foreseeable emergencies. (NOTE: This requirement also applies to work operations where employees handle packaged
HM.10.2.US Personnel working with hazardous materials are required to be trained in their use and the potential hazards of such materials. (29 CFR 1910.1200(b)(3)(iii), 1910.1200(b)(4)(iii), 1910.1200(b)(6), and 1910.1200(h)).	Verify that employees are provided with information and trained on hazardous chemicals in their workplace at the time of initial assignment and whenever a new hazard is introduced into the workplace. Verify that employees are informed of the following: - any operations in their work areas in which hazardous chemicals are present - the location and availability of the written hazard communication program, including the required lists of hazardous chemicals and MSDSs. Verify that training includes: - methods and observations to use to detect a release - the physical and health hazards of the chemicals in the work areas - protective measures and procedures to use - the details of the hazard communication program, including an explanation of the labeling system, MSDSs, and how employees can obtain and use the appropriate hazard information. (NOTE: These requirements also apply, as necessary for protection in event of a spill or leak, to work operations in which employees only handle packaged chemical products or substances.) (NOTE: These requirements do not apply to: - hazardous waste - tobacco or tobacco products - wood or wood products - articles that are defined as a manufactured item other than a fluid or particle, which under normal conditions of use does not release
HM.20.1.US Absorbent materials should be available for spill and/or release cleanup in areas where hazardous materials are used or stored. (MP).	Verify that absorbent materials are available for spill cleanup.
HM.20.2.US Releases in excess of or equal to the RQ of listed and unlisted hazardous substances shall be reported to the NRC immediately. (40 CFR 302.1 through 302.6)[Revised April 1999; Reviewed March 2001; Revised October 2006].	Verify that a release (other than a Federally permitted release or application of a pesticide) of a hazardous substance from a vessel, an offshore facility, or an onshore facility is reported to the NRC immediately after the release is identified. (NOTE: See Appendix 3-1 for the RQ of listed hazardous substances. The RQ of an unlisted hazardous substance (see definitions) is 100 lb, except for those unlisted hazardous wastes that exhibit extraction procedure (EP) toxicity identified in 40 CFR 261.24. Unlisted hazardous wastes that exhibit EP toxicity have the RQs listed in Appendix 3-1 for the contaminant on which the characteristic of EP toxicity is based. The RQ applies to the waste itself, not merely to the toxic contaminant. If an unlisted hazardous waste exhibits EP toxicity on the basis of more than one contaminant, the RQ for that waste shall be the lowest of the RQ listed in Appendix 3-1 for those contaminants. If an unlisted hazardous waste exhibits the characteristic of EP toxicity and one or more of the other characteristics referenced in 40 CFR 302.4(b), the RQ for that waste is the lowest of the applicable reportable quantities.) Verify that, if mixtures or solutions of hazardous substances are released, except for radionuclides, it is reported when either of the following occur: - the quantity of all

HM.20.3.US Specific notification requirements are required to be met for releases of hazardous substances that are continuous and stable in quantity and rate. (40 CFR 302.8)[Revised April 1999; Revised March 2001].	Determine if there are any releases that are continuous and stable in quantity and rate. Verify that the following notifications have been given: - initial telephone notification - initial written notification within 30 days of the initial telephone notification - follow-up notification within 30 days of the first anniversary date of the initial written notification - notification of changes in: - the composition or source of the release - information submitted in the initial written notification - the follow-up notification required on the first anniversary date of the initial written notification of when there is an increase in the quantity of the hazardous substances in any 24-h period that represents a statistically significant increase. Verify that, prior to making an initial telephone notification of a continuous release, the person in charge of a facility or vessel establishes a sound basis for qualifying the release for reporting by one of the following: - using release data, engineering estimates, knowledge of operating procedures, or best professional judgment to establish the continuity and stability of the release - reporting the release to the NRC for a period sufficient to establish the continuity and stability of the release, or, when a basis has been established to qualify the release for reduced reporting, initial notification to the
HM.20.4.US When there is a release of an RQ of any extremely hazardous substance (EHS) or CERCLA hazardous substance, emergency release notification is required. (40 CFR 355.30, 355.31, 355.32, 355.33, 355.41, 355.42, 355.43, 355.40, 355.60 and Appendix A)[Revised April 1999; Revised July 2000; Reviewed March 2001; Revised October 2006; Citation Revised January 2007; Revised January 2009].	(NOTE: The emergency release notification requirements of 40 CFR 355 are in addition to the release notification requirements of CERCLA. If the facility has a release of a CERCLA hazardous substance, the facility must comply with the emergency release notification requirements of 40 CFR 355 and the release notification requirements of CERCLA section 103, codified at 40 CFR 302 [see checklist items HM.20.2.US and HM.20.3.US]. See Appendix 3-0 for a chart comparing the emergency release notification requirements of 40 CFR 355 and CERCLA) Verify that, if there is a release of a reportable quantity (RQ) of an EHS or CERCLA hazardous substance within any 24-h period, the emergency release notification requirements are triggered. (NOTE: RQs for EHSs are listed in Appendix 3-1. The EPA's October 2006 Consolidated List of Chemicals Subject to the Emergency Planning and Community Right-to-Know Act (EPCRA) and Section 112(r) of the Clean Air Act is online and searchable at http://yosemite.epa.gov/oswer/lol.nsf/homepage.) Verify that an immediate, oral, notification is made, and as soon as practicable thereafter a written follow-up emergency notification (or notifications, as more information becomes available). Verify that the immediate notification includes as much of the following information known at the time: - the chemical name or identity of any substance involved in the
HM.25.1.US When extremely hazardous substances (EHS) are present in amounts equal to or greater than their threshold planning quantity (TPQ) or the facility has been designated for emergency planning purposes, specific emergency planning procedures are required to be followed. (40 CFR 355.10, 355.11, 355.13, 355.14, 355.15, 355.16, 355.20 and 355.21)[Revised April 1999; Revised July 2000; Reviewed March 2001; Citation Revised January 2007; Citation Revised July 2007; Revised January 2009].	(NOTE: This checklist item applies if the facility meets either of the following two conditions: - any EHS is present at the facility in an amount equal to or greater than its TPQ [See Appendix 3-1, plus, the EPA's October 2006 Consolidated List of Chemicals Subject to the Emergency Planning and Community Right-to-Know Act (EPCRA) and Section 112(r) of the Clean Air Act is online and searchable at http://yosemite.epa.gov/oswer/lol.nsf/homepage] - the facility has been designated for emergency planning purposes, after public notice and opportunity for comment, by one of the following three entities: - the State Emergency Response Commission (SERC) - the Governor of the State in which your facility is located - the Chief Executive Officer of the Tribe for the Indian Tribe under whose jurisdiction the facility is located. If a facility is designated for emergency planning purposes, substances that are not EHSs at this facility may become subject to the emergency planning requirements.) Verify that the SERC and the LEPC are notified that the facility is subject to emergency planning requirements for EHSs within 60 days after the facility first becomes subject to EHS emergency planning requirements. Verify that the facility designates a representative who will participate in the local emergency planning process as a facility emergency response coordinator. Verify that the facility notifies the LEPC (or the SERC if there is no LEPC, or the Governor if there is no SERC) who the facility emergency response coordinator is within 60 days after the facility first becomes subject to EHS emergency planning requirements. Verify that, if no LEPC exists for the facility at the time the facility is required to provide emergency planning notification and identification of the emergency

HM.30.1.US Facilities are required to report certain hazardous chemicals when they are present in amounts above the regulatory threshold levels. (40 CFR 370.10, 370.12, 370.13, 370.14, 370.30, 370.31, 370.32, 370.33, and 370.60)[Revised April 1999; Revised July 2000; Revised March 2001; Citation Revised January 2007; Citation Revised July 2007; Revised January 2009].	Verify that the facility reports any hazardous chemical for which they are required to prepare or have available an MSDS under OSHA Hazard Communication Standard that is present at the facility in amounts equal to or above the applicable threshold levels (see NOTE below) by either: - submitting an MSDS for each hazardous chemical present at the facility that meets or exceeds its applicable threshold level - submitting a list of all hazardous chemicals present at the facility at or above the applicable threshold levels with the hazardous chemicals grouped by Hazard Category and the list contains the chemical or common name of each hazardous chemical as provided on the MSDS. Verify that, while MSDS reporting is a one-time requirement, the information is updated in all of the following ways: - submitting a revised MSDS after discovering significant new information concerning a hazardous chemical for which an MSDS was submitted - submitting an MSDS, or a list, for any new hazardous chemical for which the facility become subject to these reporting requirements - submitting, as requested by the LEPC, an MSDS for any hazardous chemical present at the facility which you have not already submitted a MSDS. Verify that the MSDS or list (new or revised) are submitted to the LEPC, the SERC, and the
HM.30.2.US When applicable, inventory information (Tier I and Tier II inventory forms) must be submitted annually by March 1. (40 CFR 370.10, 370.40, 370.41, 370.42, 370.44, 370.45, and 370.61)[Revised April 1999; Revised March 2001; Citation Revised January 2007; Citation Revised July 2007; Revised January 2009, Revised April 2009].	Verify that the facilities which are required to report any hazardous chemical for which they are required to prepare or have available an MSDS under OSHA Hazard Communication Standard that is present at the facility in amounts equal to or above the applicable threshold levels (see checklist item HM.30.1.US) submit inventory information by March 1 of every year to the SERC, LEPC, and fire department with jurisdiction over the facility. Verify that the inventory information addresses any hazardous chemical present at the facility at any time during the previous calendar year in an amount equal to or in excess of its threshold level. (NOTE: Tier I information is the minimum information that must be reported to be in compliance with the inventory reporting requirements.) Verify that, if the facility is reporting Tier I information, the facility reports aggregate information on hazardous chemicals by hazard categories. (NOTE: There are two health hazard categories and three physical hazard categories for purposes of reporting, see the definitions.) (NOTE: EPA publishes Tier I and Tier II Inventory Forms that provide uniform formats for reporting the Tier I and Tier II information. You may use a State or local format for reporting inventory information if the State or local format contains at least the required Tier I
HM.30.3.US Facilities that manufacture, process, or otherwise use a toxic chemical (see Appendix 3-1) in excess of applicable threshold quantities and that have 10 or more employees are subject to certain reporting and recordkeeping requirements. (40 CFR 372.10(a), 372.10(c), 372.10(d), 372.22 through 372.38; Instructions for Implementing EO 13423, Section VII, paragraph C)[Revised January 2000; Revised July 2000; Revised March 2001; Citation Revised January 2007; Revised April 2007; Citation Revised July 2007; Revised July 2008].	(NOTE: Federal agencies are required to comply with these provisions without regard to the Standard Industrial Classification (SIC) or North American Industrial Classification System (NAICS) delineations.) (NOTE: These reporting and recordkeeping requirements apply to facilities that meet all of the following criteria for a calendar year: - the facility has ten or more full-time employees - the facility is in a Standard Industrial Classification (SIC) (as in effect on January 1, 1987) major group or industry code listed in 40 CFR 372.23(a) [see text], for which the corresponding North American Industry Classification System (NAICS) (as in effect on January 1, 2007, for reporting year 2008 and thereafter) subsector and industry codes are listed in 40 CFR 372.23(b) and 372.23(c) [see text] by virtue of the fact that it meets one of the following criteria: - the facility is an establishment with a primary SIC major group or industry code in the above list - the facility is a multi-establishment complex where all establishments have primary SIC major group or industry codes in the above list - the facility is a multi-establishment complex in which one of the following is true: - the sum of the value of services provided and/or products shipped and/or produced from those establishments that have primary SIC major group or industry codes in the above list is greater than 50 percent of the total value of all services provided and/or products shipped from and/or produced by all establishments at the facility - one establishment having a primary SIC major group or industry code in the above list contributes more in terms of value of services provided and/or products shipped from and/or produced at the facility than any other establishment within the facility - the facility manufactured (including imported), processed, or otherwise used a toxic chemical in excess of an applicable threshold quantity of that

HM.35.1.US Specific management practices should be considered when storing and handling flammable/combustible materials. (MP)[Revised April 1995].	Verify that the following management practices are followed: - items are not stored against pipes or coils producing heat - paint drums that are stored horizontally are rolled a half turn every 90 days - containers of paint are palletized prior to storage - aerosol containers are stored in well-ventilated areas.
HM.35.2.US Drums and other containers of less than 60 gal individual capacity and portable tanks less than 660 gal individual capacity, used to store flammable or combustible materials, are required to meet specific standards. (29 CFR 1910.106(d)(1) and 1910.106(d)(2)).	Verify that flammable and combustible liquid containers meet the constraints out lined in Appendix 3-2, except that glass or plastic containers of no more than 1 gal capacity may be used for a Class IA or IB flammable liquid if: - the liquid would be rendered unfit for its intended use by contact with metal or would excessively corrode a metal container - the user's process either would require more than 1 pt of a Class IA liquid or more than 1 qt of a Class IB liquid of a single assay lot to be used at one time, or would require the maintenance of an analytical standard liquid of a quality that is not met by the specified standards of the liquids available, and the quantity of the analytical standard liquid required to be used in any one control process exceeds one-sixteenth the capacity of the container allowed under Appendix 3-2 for the class of liquid. Verify that each portable tank has one or more devices installed in the top with sufficient emergency venting capacity to limit internal pressure under fire exposure conditions to 10 psig or 30 percent of the bursting pressure of the tank, whichever is greater. (NOTE: These standards do not apply to: - storage of containers in service stations - Class I or Class II liquids in the fuel tanks of a motor vehicle, aircraft, boat, or portable or stationary engine - flammable or
HM.35.3.US Flammable or combustible liquids shall not be stored in ways that limit the use of exits, stairways, or areas normally used for the safe egress of people. (29 CFR 1910.106(d)(5)(i)).	Verify that exits or common traffic routes are not blocked. (NOTE: These standards do not apply to: - storage of containers in service stations - Class I or Class II liquids in the fuel tanks of a motor vehicle, aircraft, boat, or portable or stationary engine - flammable or combustible paints, oils, varnishes, or similar mixtures used for painting or maintenance when not kept for a period in excess of 30 days - beverages when packaged in individual containers not greater than 1 gal.) (NOTE: The requirements pertaining to the handling, storage, and use of flammable/ combustible liquids with a flashpoint below 200 °F outlined through 29 CFR 1910.106 (checklist items HM.35.2.US. through HM.40.3.US.) do not apply to the following (29 CFR 1910.106(j)): - bulk transportation of flammable/combustible liquids - storage, handling, and use of fuel oil tanks and containers connected with oil burning equipment - storage of flammable and combustible liquids on farms - liquids without a flashpoint that may be flammable under some conditions, such as halogenated hydrocarbons and mixtures containing halogenated hydrocarbons - mists, sprays, or foams, except in flammable aerosols - the following facilities when they meet NFPA standards: - drycleaning plants - manufacture of organic coatings -
HM.35.4.US Storage cabinets used for the storage of flammable/combustible liquids must meet specific requirements. (29 CFR 1910.106(d)(3))[Revised April 1995].	Verify that storage cabinets meet the following: - no more than 60 gal of Class I or Class II liquids nor any more than 120 gal of Class III liquids are stored in the cabinet - the cabinets are fire-resistant - cabinets are conspicuously labeled FLAMMABLE--Keep Fire Away. Verify that metal cabinets are constructed as follows: - the bottom, top, door, and sides are at least number 18 gage sheet iron and double walled with 1.5 in. air space - joints are riveted, welded, or made tight by an equally effective means - the door has a three point lock - the door sill is raised at least 2 in. above the bottom of the cabinet. Verify that wooden cabinets are constructed as follows: - the bottoms, sides, and top are an approved grade of plywood at least 1-in. thick which will not break down or delaminate under fire conditions - all joints are rabbeted and fastened in two directions with flathead woodscrews - there is a rabbeted overlap of at least 1 in. if more than one door is used - hinges are mounted so that they will not lose their holding capacity due to loosening or burning out of the screws when subjected to the fire test. (NOTE: The requirements pertaining to the handling, storage, and use of flammable/ combustible liquids with a flashpoint below 200 °F outlined through 29 CFR 1910.106 (checklist items HM.35.2.US.

HM.35.5.US Storage cabinets used for the storage of flammable/combustible liquids should meet specific requirements. (MP)[Revised May 1996].	Verify that storage cabinets meet the following: - materials within the cabinet are orderly - no containers within the cabinet are open.
HM.35.6.US Flammable/ combustible storage rooms inside of buildings must meet certain specifications. (29 CFR 1910.106(d)(4))[Revised April 1995].	Verify that flammable/combustible storage rooms meet the following: - the walls meet fire resistance test NFPA 251-1969 - a 4 in. raised sill or ramp is provided to adjacent rooms or buildings, or the floor of the storage area is 4 in. lower than the surrounding floors - an open-grated trench that drains to a safe area is in the building if a sill or ramp is not present - liquid tight wall/floor joints exist - wood shelving is at least 1-in. thick - self-closing fire doors exist (NFPA 80) - the electrical wiring and equipment meet NFPA 70 requirements - the storage in the rooms meet the requirements in Appendix 3-3 - there is either gravity or a mechanical exhaust ventilation system - the exhaust system provides for six changes of air in the room per hour - mechanical exhaust systems are controlled by a switch outside the door - for gravity ventilation, the fresh air intake and exhaust outlets are on exterior walls - there is one clear aisle at least 3-ft wide - containers over 30 gal capacity are not stacked one upon the other - dispensing is done by an approved pump or self-closing faucet. (NOTE: The requirements pertaining to the handling, storage, and use of flammable/ combustible liquids with a flashpoint below 200 °F outlined through 29 CFR 1910.106 (checklist items HM.35.2.US. through HM.40.3.US.) do
HM.35.7.US The storage of flammable or combustible liquids in warehouses or storage buildings will meet specific requirements. (29 CFR 1910.106(d)(5)(vi))[Revised December 1997].	Verify that the following requirements are met: - if the storage area is located 50 ft or less from a building or line of adjoining property that may be built upon, the exposing wall is a blank wall having a fire-resistance rating of at least 2 h - the storage arrangements outlined in Appendix 3-4 are met - containers are separated by pallets or dunnage when necessary to provide stability and prevent excess stress on container walls - portable tanks that are stored over one tier high are designed to nest securely - no pile is closer than 3 ft to the nearest beam, chord, girder, or other obstruction - piles are 3 ft below sprinkler deflectors or discharge points of water spray - aisles are at least 3-ft wide when necessary for access to doors, windows, or standpipe connections. (NOTE: The requirements pertaining to the handling, storage, and use of flammable/ combustible liquids with a flashpoint below 200 °F outlined through 29 CFR 1910.106 (checklist items HM.35.2.US. through HM.40.3.US.) do not apply to the following (29 CFR 1910.106(j)): - bulk transportation of flammable/combustible liquids - storage, handling, and use of fuel oil tanks and containers connected with oil burning equipment - storage of flammable and combustible liquids on farms - liquids without a flashpoint that may be flammable
HM.35.8.US Flammable/ combustible materials stored outside of buildings must meet certain storage and handling criteria. (29 CFR 1910.106(d)(6))[Revised April 1995].	Verify that outdoor flammable/combustible storage meets the following: - no more than 1100 gal of flammable/combustible liquids is stored adjacent to buildings located on the same premises unless 10 ft or more exists between buildings and the nearest flammable container - the storage area is graded to divert spills or is surrounded by a curb at least 6-in. high - when curbs are used, there is a provision for draining of accumulated water and the drains terminate in a safe location and are accessible to operate when fire conditions exist - the storage area is protected against tampering and kept free of waste and other combustible materials - all containers bear contents, labels, and hazard markings - total quantity and arrangement of liquids outside a building complies with the requirements in Appendix 3-4. (NOTE: These standards do not apply to: - storage of containers in service stations - Class I or Class II liquids in the fuel tanks of a motor vehicle, aircraft, boat, or portable or stationary engine - flammable or combustible paints, oils, varnishes, or similar mixtures used for painting or maintenance when not kept for a period in excess of 30 days - beverages when packaged in containers not greater than 1 gal.) (NOTE: The requirements pertaining to the handling,

HM.35.9.US Areas where flammable/combustibles are stored must meet certain fire protection standards. (29 CFR 1910.106(d)(7))[Revised April 1995; Revised April 2005].	Verify that all flammable/combustible storage locations meet the following: - a suitable fire control device is available at locations where flammables or combustibles are stored - at least one 12-B rated portable fire extinguisher is located outside and within 10 ft of a door opening into any room for storage - at least one 12-B rated portable fire extinguisher is located within 10 to 25 ft of any Class I or Class II liquid storage area outside of a storage room, but inside a building - fire extinguishing sprinklers or systems meet the standards in 29 CFR 1910.159 - no smoking or open flame is permitted within 50 ft and signs are posted - no water-reactive materials are stored in the same room with flammable/combustible liquids. (NOTE: These standards do not apply to: - storage of containers in service stations - Class I or Class II liquids in the fuel tanks of a motor vehicle, aircraft, boat, or portable or stationary engine - flammable or combustible paints, oils, varnishes, or similar mixtures used for painting or maintenance when not kept for a period in excess of 30 days.) (NOTE: The requirements pertaining to the handling, storage, and use of flammable/ combustible liquids with a flashpoint below 200 °F outlined through 29 CFR 1910.106 (checklist items HM.35.2.US through HM.40.3.US.) do not apply to the
HM.40.1.US Areas where flammable/combustible materials are stored, dispensed, or used in industrial plants will meet specific guidelines. (29 CFR 1910.106(e)(4) through 1910.106(e)(6), 1910.106(e)(8), and 1910.106(e)(9))[Revised April 1995].	(NOTE: Checklist items HM.40.1.US. through HM.40.3.US. pertain to industrial areas in which the use of flammable or combustible liquid is incidental to the principal business or where flammable or combustible liquids are handled or used only in unit physical operations such as drying, evaporating, filtering, distillation, and similar operations that do not involve chemical reactions.) Verify that the following provisions are met: - portable fire extinguishers and fire control equipment are in place in quantity and type as needed for the hazards of operation and storage at the site - water is available in a volume and adequate pressure to supply fire protection systems as needed depending on the hazards of the operation, dispensing, and storage - when indicated by special hazards of operation, flammable or combustible liquids, processing equipment, major piping, or supporting steel is protected by a water spray system, deluge system, approved fire resistant coatings, insulation, or a combination of these - adequate precautions are taken to prevent sources of ignition at the site - Class I liquids are not dispensed into containers unless nozzles and containers are electrically interconnected - operations such as welding and cutting for repairs to equipment are done under the supervision of an individual in
HM.40.2.US Incidental storage of flammable/ combustible liquids in industrial areas must conform to certain requirements. (29 CFR 1910.106(e)(2)).	(NOTE: Checklist items HM.40.1.US. through HM.40.3.US. pertain to industrial areas in which the use of flammable or combustible liquid is incidental to the principal business or where flammable or combustible liquids are handled or used only in unit physical operations such as drying, evaporating, filtering, distillation, and similar operations that do not involve chemical reactions.) Verify that flammable and combustible liquids are stored in closed containers. Verify that the storage areas meet the requirements outlined in 29 CFR 1910.106(d)(3) through 1910.106(d)(4) as listed in checklist items HM.35.4.US. and HM.35.6.US. except that: - the quantity of liquid that is located outside of an inside storage room or storage cabinet in a building or in any one fire area of a building does not exceed: - 25 gal of Class IA liquids in containers - 120 gal of Class IB, IC, II, or III liquids in containers - 660 gal of Class IB, IC, II, or III liquids in a single portable tank - where large quantities of flammable or combustible liquids are needed, storage may be in tanks. Verify that areas in which flammable/combustible liquids are transferred from one container to another container are separated from other operations in the building by an adequate distance or by fire-resistant construction. Verify that adequate drainage or other

HM.40.3.US Those areas in which flammable/combustible liquids are used in unit operations such as mixing, drying, evaporating, filtering, or distillation are required to meet specific operating standards. (29 CFR 1910.106(e)(3)).	(NOTE: Checklist items HM.40.1.US. through HM.40.3.US. pertain to industrial areas in which the use of flammable or combustible liquid is incidental to the principal business or where flammable or combustible liquids are handled or used only in unit physical operations such as drying, evaporating, filtering, distillation, and similar operations that do not involve chemical reactions.) Verify that the following parameters are met: - areas are located so that each building or unit of equipment is accessible from at least one side for fire fighting - areas in which unstable liquids are handled or small scale unit chemical processes are carried on shall be separated from the remainder of the area by a fire wall of 2 h minimum fire resistance rating - emergency drainage systems direct leakage and fire protection water to a safe location - emergency drainage systems, if connected to public sewers or discharged into public waterways, are equipped with traps or a separator - when Class I liquids are being used, ventilation is provided at a rate of not less than 1 ft3/min/ft2 of solid floor area through either natural or mechanical means - equipment is designed to limit flammable vapor-air mixtures.
HM.45.1.US The in-plant storage, handling, and utilization of all compressed gases in cylinders, portable tanks, rail tankers, or motor vehicles must be done according to the Compressed Gas Association Pamphlet P-1-1-1965. (29 CFR 1910.101(b))[Revised Citation October 2003].	Verify that the markings on the container are legible and none removed or defaced. Verify that no part of the cylinder has been modified, tampered with, obstructed, removed, or repaired by the user. Verify that the color of the container is not the only means of identifying the contents of the container. Verify that containers are not: - placed anywhere they might become part of an electrical current - grounded or used for grounding - exposed to temperature extremes - rolled in the horizontal position or dragged. Verify that compressed gas storage areas meet the following: - they are posted NO SMOKING - there is adequate spacing or segregation by partition so that containers are grouped together by the hazard class of the gas - it is designed so that temperatures will not exceed 125 oF - cylinders are secured to prevent falling. Verify that storage areas for flammable compressed gases meet the following: - acetylene containers are stored valve end up (the container may be stored as much as 45 degrees from the vertical) - portable fire extinguishers are available that are either of the CO2 type or dry chemical type - the area is well ventilated - heat is by indirect means such as steam or hot water. Verify that, when flammable compressed gases are stored in a separate room without other occupancy: -
HM.50.1.US Shipping papers for hazardous materials are required to indicate the proper shipping name, hazard class, identification number, packing group, and quantities of materials. (49 CFR 171.1(b) and 172.201)[Revised July 2002; Revised January 2003; Revised July 2005; Revised January 2006; Revised January 2010].	Verify that the proper information is displayed on the shipping papers for the hazardous material. Verify that, when a description of hazardous material is required to be included on a shipping paper, that description conforms to the following requirements: - when a hazardous material and a material not subject to the requirements of this subchapter are described on the same shipping paper, the required hazardous material description entries meet one of the following: - must be entered first - must be entered in a color that clearly contrasts with any description on the shipping paper of a material not subject to the requirements of this subchapter, except that a description on a reproduction of a shipping paper may be highlighted, rather than printed, in a contrasting color - must be identified by the entry of an "X" placed before the proper shipping name in a column captioned ``HM'' (NOTE: The "X" may be replaced by "RQ," if appropriate.) - the required shipping description on a shipping paper and all copies used for transportation purposes, are legible and printed (manually or mechanically) in English - unless it is specifically authorized or required, the required shipping description does not contain any code or abbreviation. (NOTE: A shipping paper may contain additional information

HM.50.2.US Each package or container, shall be marked in accordance with specific marking requirements. (49 CFR 171.1(b), 172.301 and 172.302)[Revised July 2002; Revised April 2005; Revised January 2006; Revised July 2006].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) Verify that nonbulk packaging is marked with the proper shipping name and identification number (preceded by "UN" or "NA," as appropriate). (NOTE: Identification numbers are not required on non-bulk packagings that contain only ORM-D materials or limited quantities, except for limited quantities marked in accordance with the marking requirements in 49 CFR 172.315.) (NOTE: The proper shipping name for a hazardous waste is not required to include the word "waste" if the package bears the EPA marking prescribed by 40 CFR 262.32.) Verify that a transport vehicle or freight container containing only a single hazardous material in non-bulk packages is marked, on each side and each end with the identification number specified for the hazardous material subject to the following provisions and limitations: - each package is marked with the same proper shipping name and identification number - the aggregate gross weight of the hazardous material is 4,000 kg (8,820 lb) or more - all of the hazardous material is loaded at one loading facility - the transport vehicle or freight container contains no other material, hazardous or otherwise - the identification number
HM.50.3.US Vehicles transporting hazardous materials on public roads are required to be properly placarded. (49 CFR 171.1(b), and 172.500 through 172.558)[Revised July 2002; Revised April 2005].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) Determine if facility vehicles are used to transport hazardous materials on public roads. Verify that no person affixes or displays on a packaging, freight container, unit load device, motor vehicle or rail car any placard described in 49 CFR, Subpart F unless: - the material being offered or transported is a hazardous material - the placard represents a hazard of the hazardous material being offered or transported - any placarding conforms to the requirements of 49 CFR, Subpart F. Verify that no person affixes or displays on a packaging, freight container, unit load device, motor vehicle or rail car any sign, advertisement, slogan (such as "Drive Safely"', or device that, by its color, design, shape or content, could be confused with any required placard. (NOTE: The restrictions about what can be affixed or displayed do not apply to: - a bulk packaging, freight container, unit load device, transport vehicle or rail car which is placarded in conformance with TDG Regulations, the IMDG Code or the UN Recommendations - the display of a BIOHAZARD marking, a "HOT" marking, or an identification number on a white square-on-point.) (NOTE: Placards may be displayed for a hazardous material, even when not
HM.50.4.US The transportation of hazardous materials between buildings onsite should be accomplished in accordance with good management practices to help ensure against spills, releases, and accidents. (MP).	Verify that procedures exist to manage movement of hazardous materials between buildings onsite. Verify that drivers are trained in spill control procedures. Verify that provisions have been made for securing hazardous materials in vehicles when transporting.
HM.50.5.US A facility that offers for transport, accepts for transport, transfers, or otherwise handles a hazardous material must have emergency response information available. (49 CFR 171.1(b), 172.600 through 172.605)[Revised July 2002; Revised April 2005; Revised January 2010].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) (NOTE: This checklist item applies to persons who offer for transportation, accept for transportation, transfer or otherwise handle hazardous materials during transportation.) Verify that no person offers for transportation, accepts for transportation, transfers, stores or otherwise handles during transportation a hazardous material unless: - emergency response information is immediately available for use at all times the hazardous material is present - emergency response information, including the emergency response telephone number, is immediately available to any person who, as a representative of a Federal, State or local government agency, responds to an incident involving a hazardous material, or is conducting an investigation which involves a hazardous material. (NOTE: The requirements of this checklist item do not apply to hazardous material which is excepted from the shipping paper requirements or a material properly classified as an ORM-D.) (NOTE: The term "emergency response information" means information that can be used in the mitigation of an incident involving hazardous materials.) Verify that emergency response information contains, at a minimum, the

HM.50.6.US Spills, leaks, and other incidents occurring during hazardous material transportation require immediate notification in specific circumstances. (49 CFR 171.1(b) and 171.15)[Revised June 1997; Revised July 2002; Revised April 2004; Revised April 2005; Revised January 2010].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) Verify that, as soon as practical but no later than 12 h after the occurrence of any incident, each person in physical possession of the hazardous material provides notice by telephone to the National Response Center (NRC) on 800-424-8802 (toll free) or 202-267-2675 (toll call) or online at http://frwebgate.access.gpo.gov/cgi-bin/leaving.cgi?from=leavingFR.html&log=linklog&to=http://www.nrc.uscg.mil. (NOTE: Notice involving an infectious substance (etiologic agent) may be given to the Director, Centers for Disease Control and Prevention, U.S. Public Health Service, Atlanta, GA, 800-232-0124 (toll free), in place of notice to the NRC.) Verify that each notice includes the following information: - name of reporter - name and address of person represented by reporter - phone number where reporter can be contacted; - date, time, and location of incident - the extent of injury, if any - class or division, proper shipping name, and quantity of hazardous materials involved, if such information is available - type of incident and nature of hazardous material involvement and whether a continuing danger to life exists at the scene. Verify that a telephone
HM.50.7.US Written hazardous materials incident reports are required to be submitted to the DOT of each hazardous material incident within 30 days of the incident. (49 CFR 171.1(b) and 171.16)[Revised June 1997; Revised July 2002; Revised April 2004; Revised April 2005].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) Verify that each person in physical possession of a hazardous material at the time that any of the following incidents occurs during transportation (including loading, unloading, and temporary storage) submits a Hazardous Materials Incident Report on DOT Form F 5800.1(01/2004) within 30 days of discovery of the incident: - any of the circumstances set forth in 49 CFR 171.15(b) (see checklist item HM.50.6.US) - an unintentional release of a hazardous material or the discharge of any quantity of hazardous waste; - a specification cargo tank with a capacity of 1,000 gal or greater containing any hazardous material suffers structural damage to the lading retention system or damage that requires repair to a system intended to protect the lading retention system, even if there is no release of hazardous material - an undeclared hazardous material is discovered. Verify that each person reporting: - submits a written Hazardous Materials Incident Report to the Information Systems Manager, DHM-63, Research and Special Programs Administration, Department of Transportation, Washington, DC 20590-0001, or an electronic Hazardous Material Incident Report to the Information System Manager,
HM.50.8.US Employees involved in the transportation of hazardous materials are required to be trained according to specific requirements. (49 CFR 171.1(b), 172.700 through 172.702, 172.704, and 173.1(b))[Revised July 2002; Revised October 2003; Revised July 2004; Revised April 2005; Revised January 2006; Revised April 2010].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) (NOTE: Training means a systematic program that ensures a hazmat employee has familiarity with the general provisions for transporting hazardous materials, is able to recognize and identify hazardous materials, has knowledge of specific requirements applicable to functions performed by the employee, and has knowledge of emergency response information, self-protection measures and accident prevention methods and procedures. Additional training requirements for the individual modes of transportation are prescribed in 49 CFR 174, 175, 176, and 177.) (NOTE: For motor vehicle drivers, however, a State may impose more stringent training requirements only if those requirements: do not conflict with the training requirements in this subpart and in 49 CFR 177 - apply only to drivers domiciled in that State.) Verify that hazardous material employee training includes the following: - general awareness/familiarization training designed to provide familiarity with the packaging, labeling, and shipping requirements, and to enable the employee to recognize and identify hazardous materials consistent with the hazard communication standards - function-specific training concerning

HM.50.9.US Employees that operate motor vehicles transporting hazardous materials must be appropriately trained. (49 CFR 171.1(b), 177.816(a), and 177.816(c))[Revised July 2002].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) (NOTE: This requirement may be met by compliance with the current requirements for a commercial driver's license (CDL) with a tank vehicle or hazardous materials endorsement.) Verify that the motor carrier does not transport (or cause to be transported) a hazardous material unless each hazardous materials employee who will operate a motor vehicle has been trained in the following: - the applicable requirements prescribed in 49 CFR 390 through 397 - the procedures necessary for the safe operation of that vehicle. Verify that each driver receives driver training that includes the following subjects: - pretrip safety inspection - use of vehicle controls and equipment, including operation of emergency equipment - procedures for maneuvering tunnels, bridges, and railroad crossings - requirements pertaining to attendance of vehicles, parking, smoking, routing, and incident reports - loading and unloading of materials, including load securement, package handling methods, and compatibility and segregation of cargo in a mixed load - operation of the vehicle, including turning, backing, braking, parking, and handling - vehicle characteristics, including those that affect vehicle stability, such as the following: -
HM.50.10.US Employees who operate cargo tanks or vehicles with portable tanks having a capacity of 1000 gal or more of hazardous materials must be appropriately trained. (49 CFR 171.1(b), 177.816(b) through 177.816(d))[Revised July 2002; Citation Revised January 2005].	(NOTE: See HM.50.1.US for information on the applicability of these Title 49 requirements.) (NOTE: This requirement may be met by compliance with the current requirements for a CDL with a tank vehicle or hazardous materials endorsements.) Verify that each hazardous materials employee who operates a cargo tank or vehicle with a portable tank with a capacity of 1000 gal or more receives training applicable to the requirements of 49 CFR 171 through 177. Verify that each employee has the appropriate state-issued CDL. Verify that each employee receives specialized training which includes the following subjects: - operation of emergency control features of the cargo tank and portable tank - retest and inspection requirements for cargo tanks - loading and unloading procedures - the properties and hazards of the material transported - special vehicle handling characteristics, including the following: - high center of gravity - fluid load subject to surge - effects of fluid-load surge on braking - characteristic differences in stability among baffled, unbaffled, and multi-compartmented tanks - effects of partial loads on vehicle stability.
HM.55.3.US Hazardous materials must not be transferred unless the declaration of inspection form has been filled out and signed. (33 CFR 156.100 and 156.150).	Verify that this form has been signed prior to transfer. Verify that a copy of the form is retained on board the vessel or at the facility for at least 1 mo from the date of signature. (NOTE: These requirements apply to the transfer of hazardous materials on the navigable waters or contiguous zone of the United States to, from, or within each vessel with a capacity of 250 bbl [approx. 10,500 gal] or more.)
HM.55.4.US Coast Guard approval is required before specific substances can be placed on board a vessel as ship's stores. (46 CFR 147.40).	Verify that approval was received for the presence of the following items on board: - Class A poisons - Class A explosives - flammable gases, other than those discussed in other checklist items - forbidden materials listed in 49 CFR 172.101. (NOTE: These provisions apply to the following: - passenger vessels - small passenger vessels - steam vessels - tank vessels.)

HW.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notices of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
HW.1.2.US Specific persons should be designated responsible for areas where hazardous waste is stored for all sizes of generators and TSDFs, and the precise nature of their responsibilities should be specified. (MP).	Verify that specific individuals have been designated in writing responsible for hazardous waste storage areas. Verify that the individuals designated responsible for hazardous waste storage areas are aware of the precise nature of their responsibilities.
HW.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
HW.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
HW.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.

HW.10.1.US Generators of solid waste must determine if the wastes are hazardous wastes. (40 CFR 260.34(a), 261.3, 261.4(b), 261.21 through 261.24, and 262.11)[Revised January 2000; Revised October 2001; Revised January 2002; Revised January 2003; Revised January 2009].	(NOTE: See Appendix 4-0 for a list of items which are not considered solid waste and therefore do not have to go through the determination process under Federal regulations.) (NOTE: Determination of whether or not a waste is a hazardous waste can be done through one of the following: - knowledge of all the constituents of the waste (MSDSs) and whether it is listed in 40 CFR 261 - laboratory analysis - knowledge of processes and/or materials used.) (NOTE: Unidentified waste materials and spilled hazardous materials may have to be disposed of as hazardous waste depending on their constituents or characteristics.) (NOTE: A facility may apply to the Administrator for a formal determination that a hazardous secondary material [see definitions] is not discarded and therefore not a solid waste.) (NOTE: Some batteries, pesticides, thermostats, and mercury lamps may be considered universal wastes instead of hazardous wastes and need to be handled according to the requirements in 40 CFR 273 (see the appropriate definitions for clarification.)) Discuss with staff how wastes generated are identified and classified. Determine if USEPA criteria were followed for identifying the characteristics of hazardous waste and USEPA's listed wastes in 40 CFR 261 (see Appendices 4-1, 4-2, 4-3, and 4-5).
HW.10.2.US Areas where containers of hazardous waste are stored should have secondary containment. (MP).	Verify that the areas where containers of hazardous waste are stored have secondary containment.
HW.10.3.US Facilities that claim that a particular material is not a solid waste or is conditionally exempt from regulation as a hazardous waste are required to provide specific documentation. (40 CFR 261.2(f))[Added February 1995; Reviewed October 2001].	Determine if the facility has any waste that are typically handled as hazardous waste that it claims are exempt. Verify that, for these wastes, the facility can demonstrate that there is a known market or disposition for the material and that they meet the terms of the exclusion or exemption. Verify that documentation is provided that indicates the material is not a waste, or is exempt from regulation. (NOTE: One example of documentation are contracts showing that a second person uses the material as an ingredient in a production process.) Verify that, if the facility is claiming to recycle material, the equipment for the recycling is actually at the facility and in working order.
HW.10.5.US In order for low level mixed waste (LLMW) to not be stored or treated as a hazardous waste, certain parameters must be met. (40 CFR 266.220 through 266.260)[Added January 2004].	(NOTE: LLMW is exempt from the regulatory definition of hazardous waste in 40 CFR 261.3 if the waste meets the eligibility criteria and conditions in this checklist. This is referred to as a "storage and treatment conditional exemption".) Verify that LLMW managed under a storage and treatment conditional exemption is generated and managed by the facility under a single NRC or NRC Agreement State license. (NOTE: Mixed waste generated at a facility with a different license number and shipped to a facility for storage or treatment requires a permit and is ineligible for this exemption. In addition, NARM waste is ineligible this exemption.) Verify that a facility with LLMW managed under a storage and treatment conditional exemption notifies the USEPA in writing by certified delivery that the facility is claiming a conditional exemption for the LLMW stored on the facility. Verify that notification has been made or is made within 90 days of when a storage unit is first used to store conditionally exempt LLMW. Verify that the dated notification includes the facility name, address, RCRA identification number, NRC or NRC Agreement State license number, the waste code(s) and storage unit(s) for which an exemption is sought, and a statement that the facility meets the conditions of this checklist item.

HW.10.6.US Recyclable materials used in a manner constituting disposal must be done according to specific parameters. (40 CFR 266.20 through 266.23)[Added April 2003; Moved January 2004].	(NOTE: This was formerly checklist item SO.25.5.US.) (NOTE: This checklist applies to recyclable materials that are applied to or placed on the land in either of the following ways: - without mixing with any other substance(s) - after mixing or combination with any other substance(s). These materials will be referred to throughout this subpart as "materials used in a manner that constitutes disposal.") (NOTE: Products produced for the general public's use that are used in a manner that constitutes disposal and that contain recyclable materials are not presently subject to regulation if the recyclable materials have undergone a chemical reaction in the course of producing the products so as to become inseparable by physical means and if such products meet the applicable treatment standards in subpart D of 40 CFR 268 [or applicable prohibition levels in 40 CFR 268.32 or RCRA section 3004(d), where no treatment standards have been established] for each recyclable material [i.e., hazardous waste] that they contain.) (NOTE: Commercial fertilizers that are produced for the general public's use and contain recyclable materials also are not presently subject to regulation provided they meet these same treatment standards or prohibition levels for each recyclable material that they contain. However, zinc-
HW.10.7.US Recyclable materials reclaimed to recover economically significant amounts of gold, silver, platinum, palladium, iridium, osmium, rhodium, ruthenium, or any combination of these must be managed according to specific parameters. (40 CFR 266.70)[Added April 2003; Moved January 2004, Revised July 2010].	(NOTE: This was formerly checklist item SO.25.6.US.) Verify that persons who generate, transport, or store recyclable materials reclaimed to recover economically significant amounts of gold, silver, platinum, palladium, iridium, osmium, rhodium, ruthenium, or any combination of these, meet the following: - notification requirements under section 3010 of RCRA - manifesting requirements for hazardous waste generators, transporters, or storers as appropriate (see the U.S. TEAM Guide Hazardous Waste Management section.) - for precious metals exported to or imported from designated OECD member countries for recovery: - requirements for transfrontier shipments of hazardous waste for recovery in the OECD (see checklist items HW. In the U.S. TEAM Guide Hazardous Waste Management section) - notification requirements in 40 CFR 265.12 (see checklist items HW.145.10.US. in the U.S. TEAM Guide Hazardous Waste Management section) - for precious metals exported to or imported from non-OECD countries for recovery, 40 CFR 262.50 through 262.60 (see checklist items HW.265.1.US through HW.265.8.US in the U.S. TEAM Guide Hazardous Waste Management section). Verify that persons who store recycled materials that are regulated under this checklist item
HW.10.8.US Unless all handling requirements are met, samples must be handled as hazardous waste. (40 CFR 261.4(d) through 261.4(f))[Added July 2005; Revised July 2006].	Verify that, so a sample of solid waste, water, soil, or air collected for the sole purpose of testing to determine its characteristics or composition as hazardous waste does not have to be treated as hazardous waste, one of the following is true: - the sample is being transported to a laboratory for the purpose of testing - the sample is being transported back to the sample collector after testing - the sample is being stored by the sample collector before transport to a laboratory for testing - the sample is being stored in a laboratory before testing - the sample is being stored in a laboratory after testing but before it is returned to the sample collector - the sample is being stored temporarily in the laboratory after testing for a specific purpose (for example, until conclusion of a court case or enforcement action where further testing of the sample may be necessary). Verify that, in order to qualify for the exemptions related to transportation to and from a lab for the purpose of testing, the sample collector shipping samples to a laboratory and a laboratory returning samples to a sample collector meets one of the following: - comply with U.S. Department of Transportation (DOT), U.S. Postal Service (USPS), or any other applicable shipping requirements - comply with the following requirements if the sample

HW.10.9.US Used, broken CRTs are not considered solid waste, and so not handled as hazardous waste, if certain conditions are met. (40 CFR 261.39(a))[Added July 2006].	Verify that, in order for used, broken CRTs to not be classified as solid wastes prior to processing if they are destined for recycling, broken CRTs must be either: - stored in a building with a roof, floor, and walls - placed in a container (i.e., a package or a vehicle) that is constructed, filled, and closed to minimize releases to the environment of CRT glass (including fine solid materials). Verify that each container in which the used, broken CRT is contained is labeled or marked clearly with one of the following phrases: - used cathode ray tube(s)-contains leaded glass - leaded glass from televisions or computers. Verify that each container in which the used, broken CRT is contained is labeled or marked clearly "Do not mix with other glass materials." (NOTE: The used, broken CRTs are subject to the limitations on speculative accumulation. If they are used in a manner constituting disposal, they must comply with the applicable requirements of 40 CFR 266, subpart C instead of the requirements of this checklist item. A material is "accumulated speculatively" if it is accumulated before being recycled. A material is not accumulated speculatively, however, if the person accumulating it can show that the material is potentially recyclable and has a feasible means of being recycled;
HW.10.10.US Used, broken CRTs are not considered solid waste, and so not handled as hazardous waste, if certain conditions are met. (40 CFR 261.39(b) through 261.39(d))[Added July 2006].	(NOTE: CRT Processing is defined as conducting all of the following activities: - receiving broken or intact CRTs - intentionally breaking intact CRTs or further breaking or separating broken CRTs - sorting or otherwise managing glass removed from CRT monitors.) Verify that the following activities of CRT processing are performed within a building with a roof, floor, and walls: - intentionally breaking intact CRTs or further breaking or separating broken CRTs - sorting or otherwise managing glass removed from CRT monitors. Verify that no activities are performed that use temperatures high enough to volatilize lead from CRTs. (NOTE: Glass from used CRTs that is destined for recycling at a CRT glass manufacturer or a lead smelter after processing is not a solid waste unless it is speculatively accumulated. A material is "accumulated speculatively" if it is accumulated before being recycled. A material is not accumulated speculatively, however, if the person accumulating it can show that the material is potentially recyclable and has a feasible means of being recycled; and that--during the calendar year (commencing on January 1)--the amount of material that is recycled, or transferred to a different site for recycling, equals at least 75 percent by weight or volume of the amount of that material
HW.10.11.US Used, intact CRTs being exported for reuse must meet certain notification and recordkeeping requirements. (40 CFR 261.40 and 261.41)[Added July 2006].	(NOTE: Used, intact CRTs exported for recycling are not solid wastes if they meet the notice and consent conditions of 40 CFR 261.39(a)(5) for exports (see checklist item HW.10.9.US), and if they are not speculatively accumulated. A material is "accumulated speculatively" if it is accumulated before being recycled. A material is not accumulated speculatively, however, if the person accumulating it can show that the material is potentially recyclable and has a feasible means of being recycled; and that--during the calendar year (commencing on January 1)--the amount of material that is recycled, or transferred to a different site for recycling, equals at least 75 percent by weight or volume of the amount of that material accumulated at the beginning of the period.) Verify that exporters of used, intact CRTs for reuse send a one-time notification to the Regional Administrator which includes a statement that the notifier plans to export used, intact CRTs for reuse, the notifier's name, address, and EPA ID number (if applicable) and the name and phone number of a contact person. Verify that exporters of used, intact CRTs for reuse keep copies of normal business records, such as contracts, demonstrating that each shipment of exported CRTs will be reused. Verify that the documentation

HW.10.12.US The management of hazardous secondary material must meet specific parameters. (40 CFR 260.42, 261.2(a)(2)(ii), 261.4(a)(23), and 261.4(a)(24))[Added January 2009].	Verify that hazardous secondary material generators, tolling contractors, toll manufacturers, reclaimers and intermediate facilities managing hazardous secondary materials excluded from regulations as a hazardous waste send a notification prior to operating under the exclusion and by March 1 of even numbered years thereafter to the Regional Administrator using EPA Form 8700-12 that includes the following information: - the name, address, and EPA ID number (if applicable) of the facility - the name and telephone number of a contact person - the NAICS code of the facility - the exclusion under which the hazardous secondary materials will be managed (e.g., 40 CFR 261.2(a)(2)(ii), 40 CFR 261.4(a)(23), (24), and/or (25)) - for reclaimers and intermediate facilities managing hazardous secondary materials in accordance with 40 CFR 261.4(a)(24) or (25), whether the reclaimer or intermediate facility has financial assurance (not applicable for persons managing hazardous secondary materials generated and reclaimed under the control of the generator) - when the facility expects to begin managing the hazardous secondary materials in accordance with the exclusion - a list of hazardous secondary materials that will be managed according to the exclusion (reported as the EPA hazardous waste
HW.10.13.US When eligible academic entities choose to comply with the alternate requirements of 40 CFR 262, Subpart K in relation to hazardous waste from its laboratories, certain notification parameters must be met. (40 CFR 262.202 through 262.205 and 262.216)[Added January 2009].	(NOTE: Eligible academic entities have the option of complying with 40 CFR 262, Subpart K [see checklist items HW.10.13.US through HW.10.16.US] with respect to its laboratories as an alternative to complying with the requirements of 40 CFR 262.11[determination of hazardous waste] and 262.34(c) [satellite accumulation points (SAPs), see HW.35.1.US for SAPs at SQGs and HW.75.1.US for SAPs at LQGs].) (NOTE: Eligible academic entities have the option of complying with 40 CFR 262, Subpart K [see checklist items HW.10.13.US through HW.10.16.US] with respect to its laboratories as an alternative to complying with the conditional exemption of 40 CFR 261.5(b) [see checklist item HW.15.1.US].) (NOTE: Eligible academic entities that generates hazardous waste outside of a laboratory are not eligible to manage that hazardous waste under 40 CFR 262, Subpart K [see checklist items HW.10.13.US through HW.10.16.US]; and they fall into one of the following categories: - remain subject to the generator requirements of 40 CFR 262.11 and 262.34(c) for LQGs and SQGs (if the hazardous waste is managed in a satellite accumulation area), and all other applicable generator requirements of 40 CFR 262, with respect to that hazardous waste - remain subject to
HW.10.14.US When eligible academic entities choose to comply with the alternate requirements of 40 CFR 262, Subpart K in relation to hazardous waste from its laboratories, certain waste determination and handling parameters must be met. (40 CFR 262.209 through 262.212 and 262.215)[Added January 2009].	(NOTE: If an unwanted material does not meet the definition of solid waste in 40 CFR 261.2, it is no longer subject to 40 CFR 262, Subpart K [see checklist items HW.10.13.US through HW.10.16.US] or to the RCRA hazardous waste regulations. If an unwanted material does not meet the definition of hazardous waste in 40 CFR 261.3, it is no longer subject to 40 CFR 262, Subpart K or to the RCRA hazardous waste regulations, but must be managed in compliance with any other applicable regulations and/or conditions.) Verify that, for LQGs and SQGS, an eligible academic entity ensures that a trained professional makes a hazardous waste determination (see 40 CFR 262.11), for unwanted material in any of the following areas: - in the laboratory before the unwanted material is removed from the laboratory - within 4 calendar days of arriving at an on-site central accumulation area, in accordance - within 4 calendar days of arriving at an on-site interim status or permitted treatment, storage or disposal facility. Verify that, for a CESQG, an eligible academic entity must ensure that a trained professional makes a hazardous waste determination for unwanted material in the laboratory before the unwanted material is removed from the laboratory Verify that, if an eligible academic entity makes the

HW.10.15.US When eligible academic entities choose to comply with the alternate requirements of 40 CFR 262, Subpart K in relation to hazardous waste from its laboratories, certain container management parameters must be met. (40 CFR 262.206, 262.208, and 262.13)[Added January 2009].	Verify that an eligible academic entity labels containers of unwanted material while in the laboratory as follows: - the following information is affixed or attached to the container: - the words "unwanted material" or another equally effective term that is to be used consistently by the eligible academic entity and that is identified in Part I of the Laboratory Management Plan (see checklist item HW.10.16.US) - sufficient information to alert emergency responders to the contents of the container - the following information is affixed or attached to the container, but is at a minimum be associated with the container: - the date that the unwanted material first began accumulating in the container - information sufficient to allow a trained professional to properly identify whether an unwanted material is a solid and hazardous waste and to assign the proper hazardous waste code(s). (NOTE: Examples of information that would be sufficient to alert emergency responders to the contents of the container include, but are not limited to: - the name of the chemical(s) - the type or class of chemical, such as organic solvents or halogenated organic solvents.) (NOTE: Examples of information that would allow a trained professional to properly identify whether an unwanted material is a solid or
HW.10.16.US When eligible academic entities choose to comply with the alternate requirements of 40 CFR 262, Subpart K in relation to hazardous waste from its laboratories, it must develop and maintain a Laboratory Management Plan. (40 CFR 262.14)[Added January 2009].	Verify that an eligible academic entity has developed and retained a written Laboratory Management Plan, or revised an existing written plan. (NOTE: The Laboratory Management Plan is a site-specific document that describes how the eligible academic entity will manage unwanted materials in compliance with 40 CFR 262, Subpart K [see checklist items HW.10.13.US through HW.10.16.US]. An eligible academic entity may write one Laboratory Management Plan for all the laboratories owned by the eligible academic entity that have opted into 40 CFR 262, Subpart K, even if the laboratories are located at sites with different EPA Identification Numbers.) Verify that, in Part I of its Laboratory Management Plan, an eligible academic entity describes its procedures for each of the following elements: - description of the procedures for container labeling in accordance with 40 CFR 262.206(a), including: - identifying whether the eligible academic entity will use the term "unwanted material" on the containers in the laboratory. - if not using the term "unwanted material," identification of an equally effective term that will be used in lieu of "unwanted material" and consistently by the eligible academic entity (NOTE: The equally effective term, if used, has the same meaning and is subject to the same
HW.15.1.US Generators of no more than 100 kg/mo of hazardous waste may qualify as CESQGs when they meet specific requirements. (40 CFR 261.5)[Revised June 1998; Reviewed October 2001; Revised October 2002; Revised January 2009, Revised July 2010].	Verify that the following quantity and storage limitations are met: - no more than 100 kg [approx. 220 lb] of hazardous waste is generated in a calendar month - total onsite accumulation does not exceed more than 1000 kg [approx. 2205 lb] of hazardous waste - no more than 1 kg [approx. 2 lb] of acute hazardous waste (see Appendix 4-5) is generated in a calendar month - no more than a total of 100 kg [approx. 220 lb] of any residue or contaminated soil, waste, or other debris resulting from the cleanup of any acute wastes in a calendar month is generated. Verify that when making quantity determinations under 40 CFR 261 and 40 CFR 262, all hazardous waste generated is included except hazardous waste that is: - exempt from regulation under 40 CFR 261.4(c) through (f), 261.6(a)(3), 261.7(a)(1), or 261.8 - managed immediately upon generation only in onsite elementary neutralization units, wastewater treatment units, or totally enclosed treatment facilities - recycled, without prior storage or accumulation, in an onsite process - is used oil managed under 40 CFR 261.6(a)(4) and 279 - spent lead-acid batteries managed under the requirements of 40 CFR 266, Subpart G (i.e., reclaimed/recycled) - universal waste managed under 40 CFR 273 - a hazardous waste that is an unused
HW.15.2.US CESQG personnel who handle hazardous waste should meet certain training requirements. (MP).	Verify that a person trained in hazardous waste management procedures directs the training program. Verify that the training program includes the following: - response to fire or explosion - response to leaks or spills - waste turn-in procedures - identification of hazardous wastes - container use, marking, labeling, and onsite transportation. Verify that new employee training is completed within 6 mo of employment. Verify that new employee training is completed within 6 mo of employment. Verify that an annual review of initial training is provided. Verify that employees do not work unsupervised until training is completed. Verify specifically that accumulation point managers and hazardous waste handlers have been trained.

HW.15.3.US Training records must be maintained for all CESQG staff that manages hazardous waste. (MP).	Examine training records and verify they include the following: - job title and description for each employee by name - written description of how much training each position will obtain - documentation of training received by name. Determine if training records are retained for 3 yr after employment terminates at the facility or until closure of the facility.
HW.15.4.US Empty containers at CESQGs previously holding hazardous wastes must meet the regulatory definition of empty before they are exempted from hazardous waste requirements. (40 CFR 261.7)[Reviewed October 2001; Revised April 2005].	Verify that, for containers or inner liners holding hazardous wastes: - wastes are removed that can be removed using common practices and no more than 2.5 cm [1 in.] of residue remains - no more than 3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is less than or equal to 119 gal in size - no more than 0.3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is greater than 119 gal in size. Verify that, for containers that hold a compressed gas, the pressure in the container approaches atmosphere. Verify that, for containers or inner liners which held an acute hazardous waste listed in Appendix 4-5, that one of the following is done: - it is triple rinsed - it is cleaned by another method identified through the literature or testing as achieving equivalent removal - the inner liner is removed.
HW.15.5.US Containers at CESQGs should be managed in accordance with specific management practices. (MP).	Verify the following by inspecting storage areas: - containers are not stored more than two high and have pallets between them - containers of highly flammable wastes are electrically grounded (check for clips and wires and make sure wires lead to ground rod or system) - at least 3 ft of aisle space is provided between rows of containers.
HW.15.6.US Containers of hazardous waste should be kept in designated storage areas at CESQGs. (MP).	Verify that all hazardous waste containers are identified and stored in appropriate areas. (NOTE: Any unidentified contents of solid waste containers and/or containers not in designated storage areas must be tested to determine if solid or hazardous waste requirements apply.)
HW.20.1.US Generators of more than 100 kg but less than 1000 kg of hazardous waste per month may qualify as an SQG that can accumulate hazardous waste onsite for 180 days without a permit if specific conditions are met. (40 CFR 262.34(d)(1), 262.34(d)(4), 262.34(e), 262.34(f), and 262.34(m))[Reviewed October 2001; Revised April 2005].	Verify that no more than 1000 kg [approx. 2204 lb] of hazardous waste is generated in any month. Verify that the onsite accumulation time does not exceed 180 days. (NOTE: For an SQG, the accumulation start date begins when the first waste is poured/placed into the waste container, except for at satellite accumulation points.) (NOTE: The 180-day time period is extended to 270 days if the waste must be transported more than 200 mi to a TSDF. This extension does not apply if a TSDF is available within 200 mi and the SQG chooses to transport the waste to a farther away TSDF.) Verify that no more than 6000 kg [approx. 13,227 lb] is allowed to accumulate. Verify that containers are marked with the date accumulation began and the words HAZARDOUS WASTE. Verify that the containers and the areas at which containers are stored meet the requirements outlined in the subsections pertaining to SQGs. (NOTE: When an SQG exceeds the quantity generation or amount accumulation, it becomes subject to either Generator or TSDF requirements. When an SQG exceeds the storage time limitation, the SQG becomes subject to all storage facility and permitting requirements.) (NOTE: A generator who sends a shipment of hazardous waste to a designated facility with the understanding that the
HW.20.2.US SQGs that generate, transport, or handle hazardous wastes must obtain an USEPA identification number. (40 CFR 262.12(a), 262.1(b), and 265.11)[Reviewed October 2001].	Examine documentation from USEPA for the generator identification number. Verify that, correct identification number is used on all appropriate documentation (i.e., manifests).

HW.20.3.US An SQG must not offer its hazardous waste to transporters or to TSDFs that have not received an USEPA identification number. (40 CFR 262.12(c))[Reviewed October 2001].	Verify that all transporters of hazardous waste of TSDFs have an USEPA identification number by examining records pertaining to these services. (NOTE: Examples of such records could include sales agreements or vendor contracts.)
HW.20.4.US SQGs of hazardous waste are required to use manifests and maintain associated records. (40 CFR 262.20, 262.22, 262.23, 262.27, 262.40(a), 262.40(d) 262.42(b), and 262.44)[Revised October 2001; Revised October 2002; Revised January 2003; Revised April 2005; Revised July 2005, Revised July 2010].	Verify that a SQG who transports, or offers for transport a hazardous waste for offsite treatment, storage, or disposal, or a treatment, storage, and disposal facility who offers for transport a rejected hazardous waste load, prepares a Manifest (OMB Control number 2050-0039) on EPA Form 8700-22, and, if necessary, EPA Form 8700-22A. (NOTE: The revised manifest form and procedures in 40 CFR 260.10, 261.7, 262.20, 262.21, 262.27, 262.32, 262.34, 262.54, 262.60, and the appendix to 40 CFR 262, shall not apply until 5 September 2006. The manifest form and procedures in 40 CFR 260.10, 261.7, 262.20, 262.21, 262.32, 262.34, 262.54, 262.60, and the Appendix to 40 CFR 262, contained in 40 CFR 260 to 265, edition revised as of 1 July 2004, shall be applicable until 5 September 2006.) (NOTE: The State may use a different form including the same information.) Verify that the generator designates on the manifest one facility that is permitted to handle the waste described on the manifest. (NOTE: A generator may also designate on the manifest one alternate facility which is permitted top handle his waste in the event an emergency prevents delivery of the waste to the designated facility.) (NOTE: The manifest consists of at least the number of copies which will provide the SQG, each
HW.20.5.US SQGs are required to have an emergency coordinator and emergency response planning. (40 CFR 262.34(d)(5))[Reviewed October 2001].	Verify that there is at least one emergency coordinator who is either on the premises or on call. Verify that the following emergency information is posted next to the telephone: - name and telephone number of emergency coordinator - location of fire extinguishers and spill control materials - location of fire alarms (if present) - telephone number of fire department. Verify that waste handlers are familiar with waste handling and emergency procedures.
HW.20.6.US SQGs are required to keep records of waste analyses, tests, and waste determinations. (40 CFR 262.40(c) and 262.44)[Added October 2002].	Verify that the appropriate records are kept for 3 yr from the date the waste was last sent to the onsite or offsite TSDF. (NOTE: Periods of retention for reports may be extended automatically during the course of any unresolved enforcement action or at the request of the USEPA Administrator.
HW.20.7.US Before transporting hazardous waste or offering hazardous waste for transportation offsite, SQGs must package and label the waste according to specific requirements. (40 CFR 262.30 through 262.33)[Moved January 2003; Revised April 2005].	Determine what pretransport procedures for hazardous waste are used. Verify that the waste is packaged in accordance with 49 CFR 173, 178, and 179 (see checklist items under the topic heading HM.50: Hazardous Materials Transportation in the Hazardous Materials Management section of the U.S. TEAM Guide). Verify that containers are properly constructed and contain no leaks, corrosion, or bulges by inspecting a sample of containers awaiting transport. Examine end-seams for minor weeping that indicates drum failure. Verify that packages are labeled in accordance with the applicable regulations on hazardous materials under 49 CFR 172 (see checklist items under the topic heading HM.50: Hazardous Materials Transportation in the Hazardous Materials Management section of the U.S. TEAM Guide). Verify that labeling and marking on each container is appropriate for the contents. Verify that, before transporting hazardous waste or offering hazardous waste for transportation off-site, a SQG marks each container of 119 gal or less used transportation with the following words and information in accordance with the requirements of 49 CFR 172.304: HAZARDOUS WASTE--Federal Law Prohibits Improper Disposal. If found, contact the nearest police or public safety

HW.25.1.US SQG personnel are required to be thoroughly familiar with proper waste handling and emergency procedures. (40 CFR 262.34(d)(5)(iii))[Revised February 1995; Reviewed October 2001; Revised July 2004].	Verify that personnel are thoroughly familiar with waste handling and emergency procedures relevant to their responsibilities during normal facility operation and emergencies. (NOTE: A memorandum titled "Frequently Asked Questions about Satellite Accumulation Areas" from the Director EPA's Office of Solid Waste to the RCRA Directors, EPA Regions 1-10 on 17 March 2004, states that "The RCRA regulations do not require training of personnel working in satellite accumulation areas (SAAs). Personnel that have access to or work in central accumulation areas, including those that move hazardous waste from a SAA to a central accumulation area, must be trained. As the ones actually generating hazardous waste, however, personnel working in SAAs need to be familiar enough with the chemicals with which they are working to know when they have generated a hazardous waste so that it will be managed in accordance with the RCRA regulations.)
HW.25.2.US Training records should be maintained for all SQG staff that manages hazardous waste. (MP).	Examine training records and verify that they include the following: - job title and description for each employee by name - written description of how much training each position will obtain - documentation of training received by name. Determine if training records are retained for 3 yr after employment terminates at the SQG or until closure of the SQG.
HW.30.1.US Empty containers at SQGs previously holding hazardous wastes must meet the regulatory definition of empty before they are exempted from hazardous waste requirements. (40 CFR 261.7)[Reviewed October 2001; Revised April 2005].	Verify that, for containers or inner liners holding hazardous waste: - all wastes are removed that can be removed using common practices and no more than 2.5 cm [1 in.] of residue remains - no more than 3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is less than or equal to 119 gal in size - no more than 0.3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is greater than 119 gal in size. Verify that, for containers that held a compressed gas, the pressure in the container approaches atmosphere. Verify that, for containers or inner liners which held an acute hazardous waste listed in Appendix 4-5, one of the following is done: - it is triple rinsed - it is cleaned by another method identified through the literature or testing as achieving equivalent removal - the inner liner is removed.
HW.30.2.US Containers used to store hazardous waste at SQGs must be in good condition and not leaking. (40 CFR 262.34(d)(2) and 265.171)[Reviewed October 2001].	Verify that containers are not leaking, bulging, rusting, damaged, or dented. Verify that waste is transferred to a new container or managed in another appropriate manner when necessary.
HW.30.3.US Containers used at SQGs must be made of or lined with materials compatible with the waste stored in them. (40 CFR 262.34(d)(2) and 265.172)[Reviewed October 2001].	Verify that containers are compatible with waste; in particular, check that strong caustics and acids are not stored in metal drums.
HW.30.4.US Containers of hazardous waste at SQGs must be closed during storage and handled in a safe manner. (40 CFR 262.34(d)(2) and 265.173)[Reviewed October 2001; Revised October 2005].	Verify that containers are closed, except when it is necessary to add or remove waste (check bungs on drums). Verify that handling and storage practices do not cause damage to the containers or cause them to leak. Verify that containers of flammable/combustible hazardous wastes are handled (i.e. grounding, prevention of sources of ignition, etc) as is required for flammable/combustible hazardous materials under checklist item HM.35 and HM.40 in the Hazardous Materials Management section.

HW.30.5.US The handling of incompatible wastes, or incompatible wastes and materials in containers at SQGs, must comply with safe management practices. (40 CFR 262.34(d)(2) and 265.177)[Reviewed October 2001].	Verify that incompatible wastes or incompatible wastes and materials are not placed in the same containers unless it is done so that it does not: - generate extreme heat or pressure, fire, or explosion, or violent reaction - produce uncontrolled toxic mists, fumes, dusts, or gases in sufficient quantities to threaten human health - produce uncontrolled flammable fumes or gases in sufficient quantities to pose a risk of fire or explosions - damage the structural integrity of the device or facility - by any other like means threaten human health. (NOTE: Incompatible wastes as listed in Appendix 4-6 should not be placed in the same drum.) Verify that hazardous wastes are not placed in an unwashed container that previously held an incompatible waste or material. Verify that containers holding hazardous wastes incompatible with wastes stored nearby in other containers, open tanks, piles, or surface impoundments are separated or protected from each other by a dike, berm, wall, or other device.
HW.30.6.US Containers of hazardous waste at SQGs should be managed in accordance with specific management practices. (MP).	Determine the following by inspecting containers and storage areas: - containers are not stored more than two high and have pallets between them - containers of ignitable wastes are electrically grounded (check for clips and wires and make sure wires lead to ground rod or system) - at least 3 ft of aisle space is provided between rows of containers.
HW.35.1.US All SQGs may accumulate as much as 55 gal of hazardous waste or 1 qt of acutely hazardous waste in containers at or near any point of initial generation without complying with the requirements for onsite storage if specific standards are met. (40 CFR 262.34(c))[Reviewed October 2001; Revised July 2004].	(NOTE: This type of storage is often referred to as a satellite accumulation point.) Verify that the satellite accumulation point is at or near the point of generation where wastes initially accumulate and is under the control of the operator of the waste generating process. Verify that the containers are in good condition and are compatible with the waste stored in them and that the containers are kept closed except when waste is being added or removed. Verify that the containers are marked HAZARDOUS WASTE or other words that identify contents. (NOTE: See Appendices 4-1, 4-2, 4-3, and 4-5 for guidance on characteristic and listed hazardous wastes.) Verify that, when waste is accumulated in excess of quantity limitations, the following actions are taken by interviewing the shop managers: - the excess container is marked with the date the excess amount began accumulating - the excess waste is transferred to a 180-day or permitted storage area within 3 days. (NOTE: A memorandum titled "Frequently Asked Questions about Satellite Accumulation Areas" from the Director EPA's Office of Solid Waste to the RCRA Directors, EPA Regions 1-10 on 17 March 2004, states that "It's permissible to have more than one hazardous waste in an SAA." Likewise, it's permissible to have more than one
HW.40.1.US Containers of hazardous waste at SQGs should be kept in storage areas designated in the management plan. (MP).	Verify that all containers are identified and stored in appropriate areas. (NOTE: Any unidentified contents of solid waste containers and/or containers not in designated storage areas must be tested to determine if solid or hazardous waste requirements apply.)
HW.40.2.US SQG storage areas for hazardous waste must be designed, constructed, maintained, and operated to minimize the possibility of a fire, explosion, or any unplanned release of hazardous waste. (40 CFR 262.34(d)(4) and 265.30 through 265.37)[Revised October 2001].	Determine if the following required equipment is easily accessible and in working condition by inspecting the SQG storage areas (unless none of the hazards posed by the waste managed at the facility would require the particular kind of equipment): - internal communications or alarm system capable of providing immediate emergency instruction to personnel - a telephone or hand-held two-way radio capable of contacting local and emergency responders - portable fire extinguishers and fire control equipment, including special extinguishing equipment (foam, inert gas, or dry chemicals) - spill control equipment - decontamination equipment - fire hydrants or other source of water (reservoir, storage tank, etc.) with adequate volume and pressure, foam producing equipment, automatic sprinklers, or water spray systems. Determine if equipment is tested and maintained as necessary to ensure proper operation in an emergency. Verify that sufficient aisle space is maintained to allow unobstructed movement of personnel, fire protection equipment, spill control equipment, and decontamination equipment to any area of the operation. Verify that police, fire departments, and emergency response teams are familiar with the layout of the SQG, properties of the waste being handled, and general

HW.40.3.US SQGs must conduct weekly inspections of container storage areas. (40 CFR 262.34(d)(2) and 265.174)[Reviewed October 2001; Revised July 2006; Revised January 2007].	Verify that the owner or operator inspects areas where containers are stored weekly. (NOTE: Performance Track member facilities may conduct inspections at least once each month, upon approval by the Director. To apply for reduced inspection frequencies, the Performance Track member facility must follow the procedures identified in 40 CFR 264.15(b)(5) [see checklist item HW.145.2.US].) Verify that the owner or operator looks for leaking containers and for deterioration of containers caused by corrosion or other factors.
HW.45.1.US SQGs must test their wastes or use process knowledge to determine if they are restricted from land disposal. (40 CFR 268.7(a)(1))[Revised June 1998; Reviewed October 2001; Revised July 2006].	(NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.) Determine whether the SQG determines if wastes have to be treated prior to disposal. (NOTE: Determination can be made by testing the waste or using knowledge of the waste. Determination can be made concurrently with the hazardous waste determination.) Determine if land disposal restricted wastes are generated by reviewing test results (see Appendix 4-8). Verify that, if the SQG does not do the determination, the waste is sent to a RCRA-permitted hazardous waste treatment facility where the waste treatment facility tests the waste according to 40 CFR 264.13 (see checklist item HW.145.1.US) and 268.7(b) (see text). (NOTE: If a generator determines they are managing a waste or soils contaminated with a waste, that displays a hazardous characteristic of ignitability, corrosivity, reactivity, or toxicity, they must comply with the special requirements of 40 CFR 268.9 in addition to any applicable requirements in 40 CFR 268.7.)
HW.45.2.US When an SQG is managing a restricted waste; a written notice must be issued to the TSDF of the appropriate treatment standards and prohibition levels. (40 CFR 268.7(a)(2) through 268.7(a)(4), 268.7(a)(10))[Revised January 2000; Revised October 2001; Revised July 2006].	(NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.) Verify that, if the waste or contaminated soil does not meet the treatment standards, or if the generator chooses not to make the determination of whether his waste must be treated, with the initial shipment of waste to each treatment or storage facility, the generator sends a one-time written notice to each treatment or storage facility receiving the waste, and places a copy in the file. Verify that the notice includes the following information: - EPA Hazardous Waste Numbers and Manifest Number of first shipment - statement: this waste is not prohibited from land disposal - the waste is subject to the LDRs, the constituents of concern for F001-F005, and F039, and underlying hazardous constituents in characteristic wastes, unless the waste will be treated and monitored for all constituents (NOTE: If all constituents will be treated and monitored, there is no need to put them all on the LDR notice.) - the applicable wastewater/nonwastewater category (see 40 CFR 268.2(d) and(f)) and subdivisions made within a waste code based on waste-specific criteria (such as D003 reactive cyanide) - waste analysis data (when available) - date the waste is subject to the prohibition - for hazardous debris, when treating with the
HW.45.3.US SQGs that are managing hazardous wastes in tanks, containers, or containment buildings and treating the waste to meet applicable treatment standards must develop and follow a written waste analysis plan. (40 CFR 268.7(a)(5) and 268.7(a)(10))[Citation Revised June 1998; Reviewed October 2001].	Verify that the plan describes the procedures the generator will carry out to comply with treatment standards. (NOTE: SQGs treating hazardous debris under the alternative treatment standards in Table 1 of 40 CFR 268.7(a)(4) are not required to conduct waste analysis.) Verify that the plan is kept onsite and: - the plan is based on a detailed chemical and physical analysis of representative sample of the prohibited waste being treated - contains all information necessary to treat the wastes in accordance with regulatory requirements, including the selected testing frequency - the plan is filed with the USEPA Regional Administrator or state-authorized official at least 30 days prior to the treatment activity, with delivery verified. (NOTE: SQGs with tolling agreements are required to comply with notification and certification requirements for the initial shipment of waste subject to the agreement. The SQG will retain an onsite copy of the notification and certification along with the tolling agreement for at least 3 yr after the termination or expiration of the agreement.) (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)

HW.45.4.US SQGs are required to keep specific documents pertaining to restricted wastes onsite. (40 CFR 268.7(a)(4) through 268.7(a)(7) and 268.7(a)(10))[Revised June 1998; Citation Revised October 2001].	Verify that, if generator knowledge is used to determine whether a waste or contaminated soil meets land disposal restriction requirements, the supporting data used in making this determination is retained onsite in the operating files. Verify that, when it is determined whether a waste or contaminated soil is restricted using appropriate test methods, the waste analysis data are retained onsite in the files. Verify that, when managing a prohibited waste that is excluded from the definition of a hazardous waste or solid waste or exempt from RCRA Subtitle C, a one-time notice is placed in the files stating that the generated waste is excluded. Verify that a copy of all notices, certifications, demonstrations, waste analysis data, and other documentation is kept for at least 3 yr from the date the waste was last sent to onsite or offsite treatment, storage, or disposal. Verify that SQGs with a tolling agreement retain the agreement and copies of notification and certification for at least 3 yr after the agreement expires. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)
HW.45.5.US The storage of hazardous waste that is restricted from land disposal is not allowed unless specific conditions are met. (40 CFR 268.50)[Reviewed October 2001].	Verify that land disposal restricted waste is not stored at the SQG unless the SQG is storing the wastes in tanks, containers, or containment buildings onsite only for the purpose of accumulating enough hazardous waste to facilitate proper recovery, treatment, or disposal and all appropriate standards for containers, tanks, and containment buildings are met. (NOTE: The prohibition on storage does not apply to hazardous wastes that have met treatment standards.) Verify that liquid hazardous wastes containing PCBs at concentrations greater than 50 ppm are stored at a site that meets the requirements of 40 CFR 761.65(b) (see the section titled Toxic Substances Management) and is removed from storage within 1 yr of the date it was first placed into storage. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)
HW.55.1.US Generators may accumulate hazardous waste onsite for 90 days or less without a permit or interim status provided they meet certain conditions. (40 CFR 262.34(a)(2), 262.34(a)(3), 262.34(b), and 262.34(m))[Reviewed October 2001; Revised April 2005].	Inspect each accumulation point and interview the accumulation point manager. Verify that: - the recorded start date indicates no container or tank has been accumulating a hazardous waste longer than 90 days (unless granted a 30-day extension) - each container and tank is labeled or marked clearly with the words HAZARDOUS WASTE or other appropriate words clearly indicating the contents - the accumulation start date is indicated. (NOTE: For a Generator, the accumulation start date begins when the first waste is poured/placed into the waste container, except for at satellite accumulation points.) (NOTE: A generator who meets these standards is exempt from meeting the closure requirements outlined in 40 CFR 265.110 through 265.156, except for 265.111 and 265.114.) (NOTE: A generator who accumulates hazardous waste for more than 90 days (without an extension) is subject to all TSDF and permitting requirements.) (NOTE: A generator who sends a shipment of hazardous waste to a designated facility with the understanding that the designated facility can accept and manage the waste and later receives that shipment back as a rejected load or residue in accordance with the manifest discrepancy may accumulate the returned waste onsite in accordance with the
HW.55.2.US A generator that generates, transports, or handles hazardous wastes must obtain an USEPA identification number. (40 CFR 262.12(a), 262.12(b), 264.11, and 265.11)[Reviewed October 2001].	Examine documentation from USEPA for the generator identification number. Verify that the correct identification number is used on all appropriate documentation (i.e., manifests).

HW.55.3.US Generators must not offer their waste to transporters or TSDFs that have not received an USEPA identification number. (40 CFR 262.12(c))[Reviewed October 2001].	Verify that all transporters of hazardous wastes or TSDFs used by the generator have an USEPA identification number by examining records pertaining to disposal contract awards.
HW.55.4.US Generators of hazardous waste must submit a biennial report to the Regional Administrator by 1 March of even numbered years. (40 CFR 262.40(b), 262.40(d), and 262.41(a))[Reviewed October 2001; Revised October 2002].	Verify that the biennial report (USEPA Form 8700-13A) is complete and was submitted in a timely manner. (NOTE: USEPA Form 8700-13A requires the following information, state forms may require additional information: - the USEPA identification number, name, and address of the generator; - the calendar year covered by the report; - the USEPA identification number, name, and address for each off-site treatment, storage, or disposal facility in the United States to which waste was shipped during the year; - the name and USEPA identification number of each transporter used during the reporting year for shipments to a treatment, storage or disposal facility within the United States - a description, USEPA hazardous waste number (from 40 CFR 261, subpart C or D), DOT hazard class, and quantity of each hazardous waste shipped off-site for shipments to a treatment, storage or disposal facility within the United States. This information must be listed by USEPA identification number of each such off-site facility to which waste was shipped. - a description of the efforts undertaken during the year to reduce the volume and toxicity of waste generated. - a description of the changes in volume and toxicity of waste actually achieved during the year in comparison to previous years to the extent
HW.55.5.US Generators are required to use manifests, file manifest exception reports, and maintain associated records. (40 CFR 262.20(a) through 262.20(d), 262.20(f), 262.22, 262.23, 262.27, 262.40(a), 262.40(d), and 262.42(a))[Citation Revised October 2001; Revised October 2002; Revised January 2003; Revised April 2005; Revised July 2005, Revised July 2010].	Verify that a LQG who transports, or offers for transport a hazardous waste for offsite treatment, storage, or disposal, or a treatment, storage, and disposal facility who offers for transport a rejected hazardous waste load, prepares a Manifest (OMB Control number 2050-0039) on EPA Form 8700-22, and, if necessary, EPA Form 8700-22A. (NOTE: The State may use a different form including the same information.) Verify that the generator designates on the manifest one facility that is permitted to handle the waste described on the manifest. (NOTE: A generator may also designate on the manifest one alternate facility which is permitted to handle his waste in the event an emergency prevents delivery of the waste to the designated facility.) (NOTE: The manifest consists of at least the number of copies which will provide the generator, each transporter, and the owner or operator of the designated facility with one copy each for their records and another copy to be returned to the SQG.) Verify that the generator: - signs the manifest certification by hand - obtains the handwritten signature of the initial transporter and date of acceptance on the manifest - retains one copy. Verify that a generator who initiates a shipment of hazardous waste certifies the following statement in Item 15 of the uniform
HW.55.6.US Generators are required to keep records of waste analyses, tests, and waste determinations. (40 CFR 262.40(c) and 262.40(d))[Reviewed October 2001; Citation Revised January 2003].	Verify that the appropriate records are kept for 3 yr from the date the waste was last sent to the onsite or offsite TSDF. (NOTE: Periods of retention for reports may be extended automatically during the course of any unresolved enforcement action or at the request of the USEPA administrator.

HW.55.8.US Generators of hazardous waste who also generate F006 wastewater treatment sludges from electroplating operations may accumulate the F006 waste onsite for more then 90 days if certain parameter are met. (40 CFR 262.34(g) through 264.34(i))[Added October 2002].	Verify that if generators who generates F006 wastewater treatment sludges from electroplating operations accumulate F006 waste on-site for more than 90 days, the F006 waste is not accumulated more than 180 days without a permit or without having interim status provided that: - the generator has implemented pollution prevention practices that reduce the amount of any hazardous substances, pollutants or contaminants entering F006 or otherwise released to the environment prior to its recycling - the F006 waste is legitimately recycled through metals recovery - no more than 20,000 kg of F006 waste is accumulated onsite at any one time - the F006 waste is placed in containers and the generator complies with the applicable requirements of subparts I, AA, BB, and CC of 40 CFR 265 - the F006 waste is placed in tanks and the generator complies with the applicable requirements of subparts J, AA, BB, and CC of 40 CFR 265, except 40 CFR 265.197(c) and 265.200 - the F006 waste is placed in containment buildings and the generator complies with subpart DD of 40 CFR 265, and has placed its professional engineer certification that the building complies with the design standards specified in 40 CFR 265.1101 in the facility's operating record prior to operation of the unit and one of
HW.55.9.US Before transporting hazardous waste or offering hazardous waste for transportation offsite, LQGs must package and label the waste according to specific requirements. (40 CFR 262.30 through 262.33)[Moved January 2003; Revised April 2005].	Determine what pretransport procedures for hazardous waste are used. Verify that the waste is packaged in accordance with 49 CFR 173, 178, and 179 (see checklist items under the topic heading HM.50: Hazardous Materials Transportation in the Hazardous Materials Management section of the U.S. TEAM Guide). Verify that containers are properly constructed and contain no leaks, corrosion, or bulges by inspecting a sample of containers awaiting transport. Examine end-seams for minor weeping that indicates drum failure. Verify that packages are labeled in accordance with the applicable regulations on hazardous materials under 49 CFR 172 (see checklist items under the topic heading HM.50: Hazardous Materials Transportation in the Hazardous Materials Management section of the U.S. TEAM Guide). Verify that labeling and marking on each container is appropriate for the contents. Verify that, before transporting hazardous waste or offering hazardous waste for transportation off-site, a large quantity generator marks each container of 119 gal or less used transportation with the following words and information in accordance with the requirements of 49 CFR 172.304: HAZARDOUS WASTE--Federal Law Prohibits Improper Disposal. If found, contact the nearest police or public
HW.60.1.US Personnel who handle hazardous waste must meet certain training requirements. (40 CFR 262.34(a)(4) and 265.16(a) through 265.16(c))[Reviewed October 2001, Revised July 2004, Revised July 2006; Revised October 2009].	Verify that the facility personnel have completed classroom instruction or on-the-job training as set forth below. Verify that the training program is directed by a person trained in hazardous waste management procedures. (NOTE: For facility employees that receive emergency response training pursuant to Occupational Safety and Health Administration (OSHA) regulations 29 CFR 1910.120(p)(8) and 1910.120(q), the facility is not required to provide separate emergency response training, provided that the overall facility training meets all the requirements of this checklist item.) Verify that the training program includes the following: - contingency plan implementation (emergency procedures, equipment, and systems) - key parameters for automatic waste feed cut-off system - procedures for using, inspecting, and repairing emergency and monitoring equipment - operation of communications and alarm systems - response to fire or explosion - response to groundwater contamination incidents - shutdown of operations. Verify that new employee training is completed within 6 mo of employment/assignment. Verify that an annual review of initial training is provided. Verify that employees do not work unsupervised until training is completed. Verify specifically that accumulation point managers and hazardous waste

HW.60.2.US Records must be maintained for all personnel who manage hazardous waste. (40 CFR 262.34(a)(4), 265.16(d), and 265.16(e))[Reviewed October 2001; Revised October 2009].	Verify that training records include the following: - job title for each position at the facility related to waste management - name of the employee filling each job - written job description for each position - written description of the type and amount of both introductory and continuing training to be given to each person filling a position - records that document the training or job experience required has given to and completed by each person. (NOTE: The job description may be consistent in its degree of specificity with descriptions for other similar positions in the same facility location, but must include the requisite skill, education, or other qualifications, and duties of facility personnel assigned to each position.) Verify that training records on current personnel are kept until closure of the facility. Verify that training records on former employees are kept for at least 3 yr from the date the employee last worked at the facility. (NOTE: Personnel training records may accompany personnel transferred within the same organization.)
HW.65.1.US Generators must have a contingency plan. (40 CFR 262.34(a)(4) and 265.50 through 265.54)[Reviewed October 2001; Revised July 2006, Revised July 2010].	(NOTE: If the owner or operator has already prepared a Spill Prevention, Control, and Countermeasures (SPCC) Plan in accordance with 40 CFR 112 or some other emergency or contingency plan, the owner/operator need only amend that plan to incorporate hazardous waste management provisions that are sufficient to comply with the requirements in this checklist item. The owner or operator may develop one contingency plan which meets all regulatory requirements. EPA recommends that the plan be based on the National Response Team's Integrated Contingency Plan Guidance ("One Plan"). When modifications are made to non-RCRA provisions in an integrated contingency plan, the changes do not trigger the need for a RCRA permit modification.) Verify that the contingency plan is designed to minimize hazards to human health or the environment from fires, explosions, or any unplanned sudden or nonsudden release of hazardous waste or hazardous waste constituents. Verify that the plan includes the following: - a description of actions to be taken during an emergency - a description of arrangements made with local police departments, fire departments, hospitals, contractors, and state and local emergency response teams as appropriate - names, addresses, and phone numbers of
HW.65.2.US Each generator must have an emergency coordinator on the premises or on call at all times. (40 CFR 262.34(a)(4) and 265.55)[Reviewed October 2001].	Verify that, at all times, there is at least one employee on the premises or on call with responsibility for coordinating all emergency response measures. Verify that the emergency coordinator is thoroughly familiar with the LQG, the characteristics of the waste handled, and the provisions of the contingency plan. In addition, verify that the emergency coordinator has the authority to commit the resources needed to carry out the contingency plan.
HW.65.3.US Emergency coordinators at generators must follow certain emergency procedures whenever there is an imminent or actual emergency situation. (40 CFR 262.34(a)(4) and 265.56(a) through 265.56(h))[Reviewed October 2001; Revised July 2006].	Verify that the emergency coordinator is required to follow these emergency procedures: - immediately activate alarms or communication systems and notify appropriate base, state, and local response parties - identify the character, exact source, amount, and areal extent of any released materials - assess possible hazards to human health or the environment, including direct and indirect effects (e.g., release of gases, surface runoff from water, or chemicals used to control fire or explosions, etc.) - take all reasonable measures necessary to ensure that fires, explosions and releases do not occur, recur, or spread to other hazardous waste at the facility. These measures must include where applicable: - stop processes and operations at the facility when necessary to prevent fires, explosions, or further releases - collect and contain the released waste - remove or isolate containers when necessary - monitor for leaks, pressure buildup, gas generation, or ruptures in valves, pipes, or other equipment whenever appropriate - provide for treatment, storage, or disposal of recovered waste, contaminated soil, surface water, or other material - ensure that no waste which may be incompatible with the released material is treated, stored, or disposed of until cleanup is completed - ensure that all

HW.65.4.US LQG operators must record the time, date, and details of any incident that requires implementing the contingency plan. (40 CFR 262.34(a)(4) and 265.56(i))[Reviewed October 2001; Citation Revised July 2006].	Determine if incidents have been recorded and corrective actions taken through a review of operating records. Verify that written reports have been submitted to the USEPA Regional Administrator within 15 days after the incident.
HW.70.1.US Empty containers at generators previously holding hazardous wastes must meet the regulatory definition of empty before they are exempted from hazardous waste requirements. (40 CFR 261.7)[Revised May 1997; Reviewed October 2001; Revised April 2005].	Verify that, for containers or inner liners holding hazardous wastes, one of the following is met: - wastes are removed that can be removed using common practices and no more than 2.5 cm [1 in.] of residue remains - no more than 3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is less than or equal to 119 gal in size - no more than 0.3 percent by weight of the total capacity of the container remains in the container or inner liner if the container is greater than 119 gal in size. Verify that, for containers that held a compressed gas, the pressure in the container approaches atmospheric. (NOTE: Some states require a treatment permit when returning compressed gas cylinders and aerosol cans to atmospheric by puncturing or physically altering the container.) Verify that, for containers or inner liners which held an acute hazardous waste listed in Appendix 4-5, one of the following is done: - it is triple rinsed - it is cleaned by another method identified through the literature or testing as achieving equivalent removal - the inner liner is removed. Verify that the rinsate has been disposed of as necessary according to its properties.
HW.70.2.US Containers used to store hazardous waste at generators must be in good condition and not leaking. (40 CFR 262.34(a)(1)(i) and 265.171)[Reviewed October 2001; Revised July 2008].	Verify that hazardous waste is put into containers. Verify that containers are not leaking, bulging, rusting, damaged, or dented. Verify that waste is transferred to a new container or managed in another appropriate manner when necessary.
HW.70.3.US Containers used at generators must be made of or lined with materials compatible with the waste stored in them. (40 CFR 262.34(a)(1)(i) and 265.172)[Reviewed October 2001].	Verify that containers are compatible with waste; in particular, check that strong caustics and acids are not stored in metal drums.
HW.70.4.US Containers at generators must be closed during storage and handled in a safe manner. (40 CFR 262.34(a)(1)(i) and 265.173)[Reviewed October 2001; Revised October 2005].	Verify that containers are closed, except when it is necessary to add or remove waste (check bungs on drums, look for funnels). Verify that handling and storage practices do not cause damage to the containers or cause them to leak. Verify that containers of flammable/combustible hazardous wastes are handled (i.e. grounding, prevention of sources of ignition, etc) as is required for flammable/combustible hazardous materials under checklist item HM.35 and HM.40 in the Hazardous Materials Management section.

HW.70.5.US The handling of incompatible wastes, or incompatible wastes and materials in containers at generators, must comply with safe management practices. (40 CFR 262.34(a)(1)(i) and 265.177)[Reviewed October 2001].	Verify that incompatible wastes or incompatible wastes and materials are not placed in the same containers unless it is done so that it does not: - generate extreme heat or pressure, fire, or explosion, or violent reaction - produce uncontrolled toxic mists, fumes, dusts, or gases in sufficient quantities to threaten human health - produce uncontrolled flammable fumes or gases in sufficient quantities to pose a risk of fire or explosions - damage the structural integrity of the device or facility - by any other like means threaten human health or the environment. (NOTE: Incompatible wastes as listed in Appendix 4-6 should not be placed in the same drum.) Verify that hazardous wastes are not placed in an unwashed container that previously held an incompatible waste or material. Verify that containers holding hazardous wastes incompatible with wastes stored nearby in other containers, open tanks, piles, or surface impoundments are separated or protected from each other by a dike, berm, wall, or other device.
HW.70.6.US Containers used to store hazardous waste at generators should be managed in accordance with specific management practices. (MP).	Verify the following by inspecting container storage areas: - containers are not stored more than two high and have pallets between them - containers of highly flammable wastes are electrically grounded (check for clips and wires and make sure wires lead to ground rod or system) - at least 3 ft of aisle space is provided between rows of containers.
HW.70.7.US Containers with design capacities greater than 0.1 m3 and less than or equal to 0.46 m3 into which hazardous waste is placed are required to meet specific design and operating standards. (40 CFR 262.34(a)(1)(i), 265.178, 265.1087(a) through 265.1087(b)(1)(i), and 265.1087(c))[Added December 1996; Revised October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) (NOTE: Standards for containers used in waste stabilization processes (40 CFR 265.1087(b)(2)) are in checklist item HW.70.9.US.) Verify that, for containers with a design capacity greater than 0.1 m3 [approx. 26 gal] and less than or equal to 0.46 m3 [approx. 122 gal], air emissions are controlled according to the following Container Level 1 standards: - a container that meets applicable U.S. DOT regulations on the packaging of hazardous materials for transportation - a container that is equipped with a cover and closure devices that form a continuous barrier over the container openings so that when the cover and closure devices are secured in the closed position there are not visible holes, gaps, or other open spaces into the interior of the container - an open-top container in which an organic vapor-suppressing barrier is placed on or over the hazardous waste in the
HW.70.8.US Containers with design capacities greater than 0.46 m3 into which hazardous waste is placed are required to meet specific design and operating standards. (40 CFR 262.34(a)(1)(i), 265.178, and 265.1087(a) through 265.1087(b)(1)(ii), 265.1087(b)(1)(iii), 265.1087(c), and 265.1087(d))[Added December 1996; Revised October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) (NOTE: Standards for containers used in waste stabilization processes (40 CFR 265.1087(b)(2) are in checklist item HW.70.9.US.) Verify that, for containers with a design capacity greater than 0.46 m3 [approx. 122 gal] that are not in light material service, air emissions are controlled according to the following Container Level 1 standards: - a container is used that meets applicable U.S. DOT regulations on the packaging of hazardous materials for transportation - a container is used that is equipped with a cover and closure devices that form a continuous barrier over the container openings so that when the cover and closure devices are secured in the closed position there are not visible holes, gaps, or other open spaces into the interior of the container - an open-top container is used in which an organic vapor-suppressing barrier is placed on or over the hazardous waste in the

HW.70.9.US Containers with design capacities greater than 0.1 m3 used for the treatment of a hazardous waste by a waste stabilization process are required to meet specific design and operating standards. (40 CFR 262.34(a)(1)(i), 265.178, and 265.1087(a) through 265.1087(b)(2), and 265.1087(e)(1) through 265.1087(e)(3))[Added December 1996; Revised October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) (NOTE: Safety devices may be installed and operated as necessary.) Verify that containers with design capacities greater than 0.1 m3 [approx. 26 gal] used for the treatment of a hazardous waste by a waste stabilization process meet the following Container Level 3 standards at those times during the waste stabilization process when the hazardous waste in the container is exposed to the atmosphere: - a container is vented directly through a closed vent system to a control device - a container is vented inside an enclosure that is exhausted through a closed vent system to a control device. - the container enclosure is designed and operated in accordance with the criteria for a permanent total enclosure under 40 CFR 52.741 - the closed vent system and control device is designed and operated in accordance with 265.1088 (see checklist item HW.70.12.US).
HW.70.10.US Facilities are required to have a written plan and schedule for inspection and monitoring requirements for containers and meet specific inspection requirements. (40 CFR 262.34(a)(1)(i), 265.178, 265.1087(c)(4), 265.1087(d)(4), and 265.1089)[Added December 1996; Reviewed October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) Verify that the facility has a written plan and schedule for performing inspections and monitoring. Verify that the plan and schedule are being met. Verify that inspections of the containers and their covers and closure devices for containers using Container Level 1 or Level 2 controls are done as follows: - when a hazardous waste is already in the container when it is first accepted and the container is not emptied within 24 h after it is accepted, it is visually inspected within 24 h after acceptance for cracks, holes, gaps, or other open spaces - when a container used for managing hazardous waste for 1 yr or more, it is visually inspected at least once every 12 mo for visible cracks, holes, gaps, or other open spaces when the cover and closure devices are secured in the closed position. Verify that, when a defect is detected, the first efforts at repairs are within 24 h
HW.70.11.US Facilities are required to meet documentation requirements for containers. (40 CFR 262.34(a)(1)(i), 265.178, 265.1087(c)(5), 265.1090(a), and 265.1090(d) through 265.1090(i))[Added December 1996; Reviewed October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) Verify that a copy of the procedure used to determine that containers with a capacity of 0.46 m3 [approx. 122 gal] or greater which do not meet DOT standards are not managing hazardous waste in light material service is available. Verify that if using Container Level 3 air emissions controls, the facility prepares and maintains records that: - include the most recent set of calculations and measurements performed by the owner/operator to verify that the enclosure meets the criteria of a permanent total enclosure as specified in 40 CFR 52.741, Appendix B - the same records as required for closed vent systems. Verify that if using a closed-vent system and control device, the following records are maintained: - certification that is signed and dated by the owner/operator stating that the control device is designed to operate at the performance level documented by a design

HW.70.12.US Facilities are required to meet specific requirements for closed vent systems and control devices used to achieve compliance. (40 CFR 262.34(a)(1)(i). 265.178, and 265.1088)[Added December 1996; Reviewed October 2001].	(NOTE: These requirements do not apply to a container that has a design capacity less than or equal to 0.1 m3 [approx. 26 gal.] (40 CFR 265.1080(b)(2)) or to containers of any size at satellite accumulation points. See the definition of Exempted Hazardous Waste Containers and Surface Impoundments and Exempted Hazardous Waste Management Units. There are documentation requirements for exempted containers.) Verify that closed vent systems meet the following: - it routes the gases, vapors, and fumes emitted from the hazardous waste in the waste management unit to a control device - it is designed and operated in accordance with 40 CFR 265.1033(j) (see check list item HW.71.2.US) - if it includes bypass devices that could be used to divert the gas or vapor stream to the atmosphere before entering the control device, one of the following equipment requirements is met for each type of bypass device, (NOTE: Low leg drains, high point bleeds, analyzer vents, open-ended valve or lines, spring loaded pressure relief valves, and other fittings used for safety purposes are not considered bypass devices.): - a flow indicator is installed, calibrated, maintained, and operated at the inlet to the bypass line used to divert gases and vapors from the closed- vent system to
HW.72.1.US Generators with pumps in light liquid service, that contain or contact hazardous wastes with organic concentrations of at least 10 percent by weight, are required to meet specific standards. (40 CFR 262.34(a)(1)(i), 265.178, and 265.1052)[Added December 1996; Reviewed October 2001].	Verify that pumps in light liquid service are monitored monthly according to designated reference methods and inspected visually weekly. (NOTE: A leak is detected if there is an instrument reading of 10,000 ppm or greater or if there is an indication of liquid dripping from the pump seal.) Verify that, when a leak is detected, the first attempt at repair is made within 5 calendar days and repair is completed within 15 calendar days. (NOTE: Pumps equipped with dual mechanical seal systems and pumps designated for no detectable emissions that meet standards outlined here do not have to be monitored monthly or visually checked weekly.) Verify that pumps equipped with a dual mechanical seal system which do not have to be monitored monthly or visually checked weekly, meet the following design and operation requirements: - the dual mechanical seal system is operated with barrier fluid at a pressure that is at all times greater than the pump stuffing box, or equipped with a barrier fluid degassing reservoir that is connected by a closed-vent system to a control device, or equipped with a system that purges the barrier fluid into a hazardous waste stream with no detectable emission to the atmosphere - the barrier fluid system has no hazardous waste with organic concentrations 10 percent or greater by
HW.75.1.US Generators may accumulate as much as 55 gal of hazardous waste or 1 qt of acutely hazardous waste in containers at or near any point of initial generation without complying with the requirements for onsite storage if specific standards are met. (40 CFR 262.34(c))[Reviewed October 2001; Revised July 2004].	(NOTE: This type of storage is often referred to as a satellite accumulation point.) Verify that the satellite accumulation point is at or near the point of generation and is under the control of the operator of the waste generating process. Verify that the containers are in good condition and are compatible with the waste stored in them, and that the containers are kept closed except when waste is being added or removed. Verify that the containers are marked HAZARDOUS WASTE or other words that identify the contents. (NOTE: See Appendices 4-1, 4-2, 4-3, and 4-5 for guidance on characteristic and listed hazardous wastes.) Verify that, when waste is accumulated in excess of quantity limitations, the following actions are taken: - the excess container is marked with the date the excess amount began accumulating - the excess waste is transferred to a 90-day or permitted storage area within 3 days. (NOTE: A memorandum titled "Frequently Asked Questions about Satellite Accumulation Areas" from the Director EPA's Office of Solid Waste to the RCRA Directors, EPA Regions 1-10 on 17 March 2004, states that "It's permissible to have more than one hazardous waste in an SAA. Likewise, it's permissible to have more than one container of hazardous waste in an SAA. The regulations do not limit the
HW.80.1.US At generators, containers of hazardous waste should be kept in designated storage areas. (MP).	Verify that all containers are identified and stored in appropriate areas. (NOTE: Any unidentified contents of solid waste containers and/or containers not in designated storage areas must be tested to determine if solid or hazardous waste requirements apply.)

HW.80.2.US Containers holding ignitable or reactive waste must be located 15 m (50 ft) from the property line. (40 CFR 262.34(a)(1)(i) and 265.176)[Reviewed October 2001].	Determine the distance from storage containers holding ignitable or reactive waste to the property line.
HW.80.3.US Generator personnel must conduct weekly inspections of container storage areas. (40 CFR 262.34(a)(1)(i) and 265.174)[Reviewed October 2001; Revised July 2006].	Verify that the owner or operator inspects areas where containers are stored weekly. (NOTE: Performance Track member facilities may conduct inspections at least once each month, upon approval by the Director. To apply for reduced inspection frequencies, the Performance Track member facility must follow the procedures identified in 40 CFR 264.15(b)(5) [see checklist item HW.145.2.US].) Verify that the owner or operator looks for leaking containers and for deterioration of containers and the containment system caused by corrosion or other factors.
HW.80.4.US Generator storage areas for hazardous waste must be designed, constructed, maintained, and operated to minimize the possibility of a fire, explosion, or any unplanned release of hazardous waste. (40 CFR 262.34(a)(4) and 265.30 through 265.37)[Revised October 2001].	Determine if the following required equipment is easily accessible and in working condition by inspecting the LQG storage areas: - internal communications or alarm system capable of providing immediate emergency instruction to facility personnel - a telephone or hand-held two way radio capable of summoning emergency assistance - portable fire extinguishers and fire control equipment, including special extinguishing equipment (foam, inert gas, or dry chemicals) - spill control equipment - decontamination equipment - fire hydrants or other source of water (reservoir, storage tank, etc.) with adequate volume and pressure, foam producing equipment, or automatic sprinklers, or water spray systems. Determine if equipment is tested and maintained as necessary to insure proper operation in an emergency. Verify that sufficient aisle space is maintained to allow unobstructed movement of personnel, fire protection equipment, spill control equipment, and decontamination equipment to any area of the operation. Verify that police, fire departments, and emergency response teams are familiar with the layout of the LQG, properties of the waste being handled, and general operations as appropriate for the type of waste and potential need for such services. Verify that the hospital is familiar
HW.85.1.US Generators with containment buildings that are in compliance are not subject to the definition of land disposal if specific requirements are met. (40 CFR 262.34(a)(1)(iv) and 265.1100)[Reviewed October 2001].	(NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.) Verify that the containment building meets the following: - it is a completely enclosed, self-supporting structure that is designed and constructed of manmade materials of sufficient strength and thickness to support themselves, the waste contents, and any personnel and heavy equipment that operate within the unit - it is designed to prevent failure due to pressure gradients, settlement, compression or uplift, physical contact with the hazardous wastes, climatic conditions, and the stress of daily operations - it has a primary barrier that is designed to be sufficiently durable to withstand the movement of personnel, wastes, and handling of equipment within the unit - if the unit is used to manage liquids: - there is a primary barrier designed and constructed of materials to prevent migration of hazardous constituents into the barrier - there is a liquid collection system

HW.85.2.US Containment buildings are required to be designed according to specific standards. (40 CFR 262.34(a)(1)(iv), 265.1101(a)(1) through 265.1101(a)(2), 265.1101(a)(4), and 265.1101(b))[Citation Revised October 2001].	(NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.) Verify that the containment building meet the following design standards: - it is completely enclosed with a floor, walls, and a roof to prevent exposure to the elements and to assure containment of wastes - the floor and containment walls, including any required secondary containment system, are designed and constructed of man-made materials of sufficient strength and thickness to support themselves, the waste contents, and any personnel and heavy equipment that operate within the unit - it is designed to prevent failure due to pressure gradients, settlement, compression or uplift, physical contact with the hazardous wastes, climatic conditions, and the stress of daily operations - it has sufficient structural strength to prevent collapse or other failure - all surfaces in contact with hazardous wastes are compatible with the wastes - it has a primary barrier that is
HW.85.3.US Operate containment buildings according to specific standards. (40 CFR 262.34(a)(1)(iv), 265.1101(a)(3), 265.1101(c)(1), and 265.1101(c)(4))[Reviewed October 2001].	(NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.) Verify that incompatible wastes or treatment reagents are not placed in the building or its secondary containment system if they could cause the unit or the secondary containment system to leak, corrode, or otherwise fail. Verify that the following operational procedures are done: - controls and practices are used to ensure the containment of the waste within the building - the primary barrier is maintained so it is free of significant cracks, gaps, corrosion, or other deterioration that could cause hazardous waste to be released from the primary barrier - the level of the stored/treated hazardous waste is maintained so the height of any containment wall is not exceeded - measures are implemented to prevent the tracking of hazardous waste out of the unit by personnel or equipment used in the handling of the waste - there is a designated area for the decontamination of
HW.85.4.US Containment buildings are required to be certified by a registered professional engineer. (40 CFR 262.34(a)(1)(iv) and 265.1101(c)(2))[Reviewed October 2001].	Verify that the building has been certified by reviewing the documentation. (NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.)
HW.85.5.US Leaks in containment buildings must be repaired and reported. (40 CFR 262.34(a)(1)(iv) and 265.1101(c)(3))[Reviewed October 2001].	Verify that, if a condition is detected which could lead to a leak or has already caused a leak, it is repaired promptly. Verify that, when a leak is discovered: - the discovery is recorded in the operating record - the portion of the containment building that is affected is removed from service - a cleanup and repair schedule is established - within 7 days the Regional Administrator is notified and within 14 working days written notice is provided to the Regional Administrator - the Regional Administrator is notified upon the completion of all repairs, and that certification from a registered professional engineer is also submitted. (NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.)

HW.85.6.US Containment buildings that contain both areas with and without secondary containment must meet specific requirements. (40 CFR 262.34(a)(1)(iv) and 265.1101(d))[Reviewed October 2001].	Verify that each area is designed and operated according to the appropriate requirements. Verify that measures are taken to prevent the release of liquids or wet materials into areas without secondary containment. Verify that a written description is maintained in the operating log of operating procedures used to maintain the integrity of areas without secondary containment. (NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.)
HW.85.7.US When a containment building is closed, specific requirements must be met. (40 CFR 262.34(a)(1)(iv) and 265.1102)[Reviewed October 2001].	Determine if a containment building has been closed recently. Verify that, at closure, all waste residues, contaminated containment system components, contaminated subsoils, and structures and equipment contaminated with waste and leachate were removed or decontaminated. Verify that the containment building is closed in accordance with closure and post- closure requirements for TSDFs as outlined in the sections titled Closure and Documentation Requirements. Verify that, if it is found that not all contaminated subsoils can be practicably removed or decontaminated, the site is closed and landfill postclosure requirements are implemented. (NOTE: According to the Background Information published on page 37211 of the 18 August 1992 edition of the Federal Register, a hazardous waste containment building involves "the management of a hazardous waste inside a unit designed and operated to contain the hazardous waste within the unit". This is not a building that holds drums or tanks filled with hazardous waste but a building that holds the hazardous waste itself.)
HW.90.1.US Generators must test their wastes or use process knowledge to determine if the wastes are restricted from land disposal. (40 CFR 268.7(a)(1))[Revised June 1998; Reviewed October 2001; Revised July 2006].	(NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.) Determine whether the generator tests for restricted wastes. (NOTE: Determination can be made by testing the waste or using knowledge of the waste. Determination can be made concurrently with the hazardous waste determination.) Verify that, if the generator does not do the determination, the waste is sent to a RCRA-permitted hazardous waste treatment facility where the waste treatment facility tests the waste according to 40 CFR 264.13 (see checklist item HW.145.1.US) and 268.7(b) (see text). Determine if land disposal restricted wastes are generated by reviewing test results (see Appendix 4-8). (NOTE: If a generator determines they are managing a waste or soil contamination with a waste, that displays a hazardous characteristic of ignitability, corrosivity, reactivity, or toxicity, they must comply with the special requirements of 40 CFR 268.9 in addition to any applicable requirements in 40 CFR 268.7.)
HW.90.2.US When a generator is managing a waste or contaminated soil that does not meet treatment standards, a written notice must be issued to the TSDF stating the appropriate treatment standards and prohibition levels. (40 CFR 268.7(a)(2), and 268.7(a)(3))[Revised January 2000; Revised October 2001; Revised July 2006].	(NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.) Verify that, if the waste or contaminated soil does not meet the treatment standards, or if the generator chooses not to make the determination of whether his waste must be treated, with the initial shipment of waste to each treatment or storage facility, the generator sends a one-time written notice to each treatment or storage facility receiving the waste, and places a copy in the file. Verify that the notice includes the following information: - EPA Hazardous Waste Numbers and Manifest Number of first shipment - statement: this waste is not prohibited from land disposal - the waste is subject to the LDRs, the constituents of concern for F001-F005, and F039, and underlying hazardous constituents in characteristic wastes, unless the waste will be treated and monitored for all constituents (NOTE: If all constituents will be treated and monitored, there is no need to put them all on the LDR notice.) - the applicable wastewater/nonwastewater category (see 40 CFR 268.2(d) and(f)) and subdivisions made within a waste code based on waste-specific criteria (such as D003 reactive cyanide) - waste analysis data (when available) - date the waste is subject to the prohibition - for hazardous debris, when treating with the

HW.90.3.US Generators that are managing prohibited wastes in tanks, containers, or containment buildings and treating the waste to meet applicable treatment standards, must develop and follow a written waste analysis plan. (40 CFR 268.7(a)(5))[Revised June 1997; Reviewed October 2001].	Verify that the plan describes the procedures the generator will carry out to comply with treatment standards. (NOTE: Generators treating hazardous debris under the alternative treatment standards are not required to conduct waste analysis.) Verify that the plan is kept onsite and: - the plan is based on a detailed chemical and physical analysis of a representative sample of the prohibited waste being treated - contains all information necessary to treat the wastes in accordance with regulatory requirements, including the selected testing frequency - the plan is kept in the onsite files and made available to inspectors. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)
HW.90.4.US Generators are required to keep specific documents pertaining to restricted wastes onsite. (40 CFR 268.7(a)(6) through 268.7(a)(8))[Revised June 1998; Reviewed October 2001].	Verify that, if the facility is using generator knowledge to determine whether a waste or contaminated soil meets land disposal restriction requirements, the supporting data used in making this determination is retained onsite. Verify that, if the facility has determined whether a waste or contaminated soil is restricted using appropriate test methods, the waste analysis data is retained onsite. Verify that, if the facility has determined they are managing a restricted waste excluded from the definition of a hazardous waste or solid waste or exempt from RCRA Subtitle C, a one-time notice is placed in the generator's files stating that the generated waste is excluded and the disposition of the waste. Verify that a copy of all notices, certifications, demonstrations, waste analysis data, and other documentation is kept for at least 3 yr from the date the waste was last sent to an onsite or offsite TSDF. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)
HW.90.5.US Generators who first claim that hazardous debris is excluded from the definition of hazardous waste are required to meet specific notification and certification requirements. (40 CFR 268.7(d))[Revised June 1997; Reviewed October 2001; Revised January 2007].	Verify that a one-time notification is submitted to the EPA Regional hazardous waste management division director (or their designated representative) or state authorized to implement 40 CFR 268, including the following: - the name and address of the Subtitle D facility receiving the treated debris - a description of the hazardous debris as initially generated, including the applicable USEPA hazardous waste number - for excluded debris, the technology used to treat the debris. Verify that the notification is updated if the debris is shipped to a different facility. Verify that, for debris that is excluded, if a different type of debris is treated or if a different technology is used to treat the debris, the notification is updated. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)
HW.90.6.US The storage of hazardous waste that is restricted from land disposal is not allowed unless specific conditions are met. (40 CFR 268.50)[Reviewed October 2001].	Verify that land disposal restricted waste is not stored onsite unless: the generator is storing the wastes in tanks, containers, or containment buildings onsite only for the purpose of accumulating enough quantity of hazardous waste to facilitate proper recovery, treatment, or disposal and all appropriate standards for containers, tanks, and containment buildings are met. (NOTE: If the 90-day storage period is exceeded, the generator is required to be permitted as a TSDF.) (NOTE: The prohibition on storage does not apply to hazardous wastes that have met treatment standards.) Verify that liquid hazardous wastes containing PCBs at concentrations greater than 50 ppm are stored at a site which meets the requirements of 40 CFR 761.65(b) (see the section titled Toxic Substances Management) and is removed from storage within 1 yr of the date it was first placed into storage. (NOTE: See Appendix 4-7 for a summary of recordkeeping and notification requirements.)

HW.95.1.US If storing hazardous waste at a transfer facility, transporters must meet specific parameters. (40 CFR 263.10(a), 263.10(b), 263.10(d), 263.10(e), and 263.12)[Reviewed October 2001; Moved January 2003; Revised October 2006; Revised April 2010, Revised July 2010].	Determine if there is a transfer facility. Verify the following: - transfer facility storage of hazardous waste is for 10 days or less - DOT packaging requirements from 49 CFR 173, 178, and 179 are met for the hazardous waste (see checklist items under the topic heading HM.50: Hazardous Materials Transportation in the Hazardous Materials Management section of the U.S. TEAM Guide). (NOTE: If storage is for more than 10 days, the transfer facility will become subject to the regulations in 40 CFR 264, 265, 267, 268, and 270 for handling and permitting.) (NOTE: These regulations do not apply to: - onsite transportation of hazardous waste by generators or by owners or operators of permitted hazardous waste management facilities.) - transportation during an explosives or munitions emergency response, conducted in accordance with guidance from an explosive or munitions emergency response specialist or a Federal, State, or Tribal official (see checklist item O6.90.1.US in the Other Environmental Issues section of the U.S. TEAM Guide).) (NOTE: A transporter of hazardous waste subject to the following Federal regulations that is being imported from or exported to designated OECD countries for purposes of recovery is subject to the requirements for transboundary shipments of
HW.100.1.US Transporters of hazardous waste must have an USEPA ID number and must comply with manifest management requirements. (40 CFR 263.10(a), 263.10(b), 263.10(d), 263.10(e), 263.11, 263.20, and 263.22)[Revised October 2001; Revised January 2003; Revised April 2005; Revised October 2006; Revised April 2010].	Determine who transports hazardous waste offsite. (NOTE: These regulations do not apply to: - onsite transportation of hazardous waste by generators or by owners or operators of permitted hazardous waste management facilities.) - transportation during an explosives or munitions emergency response, conducted in accordance with guidance from an explosive or munitions emergency response specialist or a Federal, State, or Tribal official (see checklist item O6.90.1.US in the Other Environmental Issues section of the U.S. TEAM Guide).) (NOTE: This checklist item does not apply when transporting non-chemical waste munitions as Conditionally Exempt (CE), see checklist item O6.100.1.US in the Other Environmental Issues section of the U.S. TEAM Guide.) Verify that a transporter does not transport hazardous wastes without having received an USEPA identification number from the Administrator. (NOTE: A transporter who has not received an USEPA identification number may obtain one by applying to the Administrator using USEPA Form 8700-12. Upon receiving the request, the Administrator will assign an USEPA identification number to the transporter.) Verify that a transporter does not accept hazardous waste from a generator unless the transporter is also provided with a
HW.100.3.US Transporters of hazardous waste must perform immediate notification and clean-up action if a discharge occurs during transport. (40 CFR 263.10(a), 263.10(b), 263.10(d), 263.10(e), 263.30, and 263.31)[Reviewed October 2001; Revised January 2003; Revised October 2006].	Verify that, in the event of a discharge of hazardous waste during transportation, the transporter takes appropriate immediate action to protect human health and the environment (e.g., notify local authorities, dike the discharge area). (NOTE: If a discharge of hazardous waste occurs during transportation and an official (State or local government or a Federal Agency) acting within the scope of his official responsibilities determines that immediate removal of the waste is necessary to protect human health or the environment, that official may authorize the removal of the waste by transporters who do not have USEPA identification numbers and without the preparation of a manifest.) Verify that an air, rail, highway, or water transporter who has discharged hazardous waste gives notice to the National Response Center (800-424-8802 or 202-426-2675) in the following situations: - as a direct result of hazardous waste one of the following occurs: - a person is killed - a person receives injuries requiring his or her hospitalization; - estimated carrier or other property damage exceeds $50,000 - an evacuation of the general public occurs lasting one or more hours - one or more major transportation arteries or facilities are closed or shut down for one hour or more - the operational flight pattern or
HW.100.4.US The onsite transportation of hazardous wastes between buildings should be accomplished in accordance with good management practices to help prevent spills, releases, and accidents. (MP).	Determine if procedures exist to manage the onsite movement of hazardous wastes. Determine if drivers are trained in spill control procedures. Determine if provisions have been made for securing wastes in vehicles when transporting.

HW.100.6.US Transporters of hazardous waste must comply with the contents of the manifest. (40 CFR 263.10(a), 263.10(b), 263.10(d), 263.10(e), and 263.21)[Added January 2003; Revised April 2005].	Verify that the transporter delivers the entire quantity of hazardous waste which he has accepted from a generator or a transporter to one of the following: - the designated facility listed on the manifest - alternate designated facility, if the hazardous waste cannot be delivered to the designated facility because an emergency prevents delivery - the next designated transporter - the place outside the United States designated by the generator. Verify that, if the hazardous waste cannot be delivered because of an emergency condition other than rejection of the waste by the designated facility, the transporter contacts the generator for further directions and revises the manifest according to the generator's instructions. Verify that, if hazardous waste is rejected by the designated facility while the transporter is on the facility's premises, the transporter obtains the following: - for a partial load rejection or for regulated quantities of container residues, a copy of the original manifest that includes the facility's date and signature, and the Manifest Tracking Number of the new manifest that will accompany the shipment, and a description of the partial rejection or container residue in the discrepancy block of the original manifest - for a full load rejection that will be taken back by the transporter, a copy of the
HW.100.7.US In specific circumstances, a transporter of hazardous waste must also meet the requirements for generators of hazardous waste. (40 CFR 263.10(c))[Added January 2003; Revised October 2006].	Verify that a transporter of hazardous waste complies with 40 CFR 262, Standards Applicable to Generators of Hazardous Waste, if he does one of the following: - transports hazardous waste into the United States from abroad - mixes hazardous wastes of different DOT shipping descriptions by placing them into a single container. (NOTE: See checklist items in the following categories for requirements related to: - all sizes of generators - CESQGs: HW.1 and HW.10 - SQGs: HW.20 through HW.50 - LQGs: HW.55 through HW.90.) (NOTE: These regulations do not apply to: - onsite transportation of hazardous waste by generators or by owners or operators of permitted hazardous waste management facilities.) - to transportation during an explosives or munitions emergency response, conducted in accordance with guidance from an explosive or munitions emergency response specialist or a Federal, State, or Tribal official (see checklist item O6.90.1.US in the Other Environmental Issues section of the U.S. TEAM Guide).) (NOTE: A transporter of hazardous waste subject to the following Federal regulations that is being imported from or exported to designated OECD countries for purposes of recovery is subject to the requirements for transfrontier shipments of
HW.100.8.US In order for low level mixed waste (LLMW) to not be transported or disposed of as a hazardous waste, certain parameters must be met. (40 CFR 266.305 through 266.360)[Added January 2004].	NOTE: LLMW is exempt from the regulatory definition of hazardous waste in 40 CFR 261.3 if the waste meets the eligibility criteria and conditions in this checklist. This is referred to as a "transportation and disposal conditional exemption".) (NOTE: Wastes eligible for the transportation and disposal conditional exemption are: - an LLMW that meets the waste acceptance criteria of a LLRWDF - an eligible NARM waste.) Verify that the following conditions are met in order to qualify for and maintain the transportation and disposal conditional exemption: - the eligible waste meets or is treated to meet LDR treatment standards (40 CFR 268, Subpart D) - if the facility is not already subject to NRC, or NRC Agreement State equivalent manifest and transportation regulations for the shipment of the waste, the facility manifests and transports the waste according to NRC regulations 10 CFR 20.2006 and 10 CFR 1.5 - the exempted waste is in containers when it is disposed of in the LLRWDF - the exempted waste is disposed of at a designated LLRWDF. (NOTE: The LLMW transportation and disposal conditional exemption becomes effective once all the following have occurred: - the eligible waste meets the applicable LDR treatment standards. - return receipts have been received so that the facility

HW.110.1.US All TSDF personnel who handle hazardous waste must meet certain training requirements. (40 CFR 264.16(a) through 264.16(c) and 265.16(a) through 265.16(c))[Revised July 2006].	Verify that a person trained in hazardous waste management procedures directs the training program. Verify that, at a minimum, the training program is designed to ensure that facility personnel are able to respond effectively to emergencies by familiarizing them with emergency procedures, emergency equipment, and emergency systems, including, where applicable: - procedures for using, inspecting, repairing, and replacing facility emergency and monitoring equipment - key parameters for automatic waste feed cut-off systems - communications or alarm systems - response to fires or explosions - response to ground-water contamination incidents - shutdown of operations. (NOTE: For facility employees that receive emergency response training pursuant to Occupational Safety and Health Administration (OSHA) regulations 29 CFR 1910.120(p)(8) and 1910.120(q), the facility is not required to provide separate emergency response training, provided that the overall facility training meets all the requirements of this checklist item.) Verify that new employee training is completed within 6 mo of employment. Verify that an annual review of initial training is provided. Verify that employees do not work unsupervised until training is completed. Verify specifically that accumulation point
HW.110.2.US Training records must be maintained for all TSDF staff that manages hazardous waste. (40 CFR 264.16(d)(3), 264.16(d)(4), 264.16(e), 265.16(d)(3), 265.16(d)(4), and 265.16(e))[Revised October 2003].	Verify that there is a written description of the type and amount of both introductory and continuing training that will be given to each person filling a listed position. Verify that training records on current personnel are kept until closure of the facility. Verify that training records on former employees are kept for at least 3 yr from the date the employee last worked at the facility. (NOTE: Personnel training records may accompany personnel transferred within the same company.) Verify that records that document that the training or job experience required have been given to, and completed by, facility personnel. (NOTE: For clarification purposes, the segment of this checklist item which previously addressed job descriptions has been moved to HW.145.14.US.)
HW.167.1.US Hazardous waste munitions and explosives storage units must be designed and operated with containment systems, controls and monitoring. (40 CFR 264.1201(a) and 265.1201(a))[Added February 1997; Revised July 2002; Revised April 2003].	Verify that the containment systems, controls, and monitoring minimize the potential for detonation or other means of release of hazardous waste, hazardous constituents, hazardous decomposition products, or contaminated runoff to the soil, groundwater, surface water, and atmosphere. Verify that the storage units provide a primary barrier that may be a container (including a shell) or a tank, designed to contain the hazardous waste. Verify that wastes stored outdoors are not standing in precipitation. Verify that liquid wastes are provided with a secondary containment system that assures that any released liquids are contained and promptly detected and removed from the waste area, or there are vapor detection systems that assure that any released liquids or vapors are promptly detected and an appropriate response is taken. Verify that there are monitoring and inspection procedures to assure the controls and containment systems are working as designed and that releases are not escaping from the unit. (NOTE: See the Other Environmental Issues section of the U.S. TEAM Guide, heading O6 for the storage and transportation of military waste munitions and explosives.) (NOTE: Depending on explosive hazards, hazardous waste munitions and explosives may also be managed in other types of

HW.167.2.US Hazardous waste munitions and explosives stored are require to be stored in either earth covered magazines, aboveground magazines, or outdoor/open storage areas meeting specific requirements. (40 CFR 264.1201(b) and 265.1201(b))[Added February 1997; Revised April 2003].	Verify that, when used, earth covered magazines meet the following requirements: - constructed of waterproofed, reinforced concrete or structural steel arches, and steel doors that are kept closed when not being accessed - designed and constructed: - to be of sufficient strength and thickness to support the weight of any explosives or munitions stored and any equipment used in the unit - to provide working space for personnel and equipment in the unit - to withstand movement activities that occur in the unit - located and designed with walls and earthen covers that direct an explosion in the unit in a safe direction, so as to minimize the propagation of an explosion to adjacent units and to minimize other effects of any explosion. Verify that, when used, aboveground magazines are located and designed to minimize the propagation of an explosion to adjacent units and to minimize other effects of any explosion. Verify that outdoor or open storage areas are located and designed to minimize the propagation of an explosion to adjacent units and to minimize other effects of any explosion. (NOTE: See the Other Environmental Issues section of the U.S. TEAM Guide, heading O6 for the storage and transportation of military waste munitions and explosives.)
HW.167.3.US Hazardous waste munitions and explosive storage areas are required to have an SOP that ensures safety, security, and environmental protection. (40 CFR 264.1201(c) and 265.1201(c))[Added February 1997; Revised April 2003].	Verify that the storage area has an SOP specifying procedures to ensure safety, security, and environmental protection. (NOTE: If these procedures serve the same purpose as the security and inspection requirements of 40 CFR 264.14 and 265.14 (see checklist item HW.105.4.US), the preparedness and prevention procedures of 40 CFR 264 and 265, subpart C (see checklist item HW.105.5.US), and the contingency plan and emergency procedure requirements of 40 CFR 264 and 265, subpart D (see checklist items HW.105.9.US, HW.105.10.US, HW.145.3.US, and HW.145.4.US), then these procedures will be used to fulfill those requirements.) (NOTE: See the Other Environmental Issues section of the U.S. TEAM Guide, heading O6 for the storage and transportation of military waste munitions and explosives.) (NOTE: Depending on explosive hazards, hazardous waste munitions and explosives may also be managed in other types of storage units, including containment buildings (40 CFR 264 or 265, Subpart DD), tanks (40 CFR 264 or 265, subpart J), or containers (40 CFR 264 or 265, subpart I).)
HW.167.4.US Hazardous waste munitions and explosives must be managed according to specific parameters. (40 CFR 264.1201(d) through 264.1201(f) and 265.1201(d) through 265.1201(f))[Added February 1997; Revised April 2003].	Verify that hazardous waste munitions and explosives are packaged to ensure safety in handling and storage. Verify that hazardous waste munitions and explosives are inventoried at least annually. Verify that hazardous waste munitions and explosives and their storage units are inspected and monitored as necessary to ensure explosive safety and to ensure there is no migration of contaminants outside of the unit. (NOTE: See the Other Environmental Issues section of the U.S. TEAM Guide, heading O6 for the storage and transportation of military waste munitions and explosives.) (NOTE: Depending on explosive hazards, hazardous waste munitions and explosives may also be managed in other types of storage units, including containment buildings (40 CFR 264 or 265, Subpart DD), tanks (40 CFR 264 or 265, subpart J), or containers (40 CFR 264 or 265, subpart I).)

HW.167.5.US Hazardous waste munitions and explosive storage areas are required to undergo specific closure procedures. (40 CFR 264.1202 and 265.1202)[Added February 1997; Revised July 2002; Revised April 2003].	Verify that, at the closure of a magazine or unit which stored hazardous waste, all waste residues, contaminated containment system components, contaminated sub soils, and structures and equipment contaminated with waste are removed or decontaminated. (NOTE: Additional requirements for closure and postclosure of nonhazardous waste munitions TSDFs also apply. The closure plan, closure activities, cost estimates for closure, and financial responsibility for the area must meet all of the requirements specified in 40 CFR 264 and 265, subparts G and H (see checklist items HW.145.7.US, HW.145.8.US, HW.170.1.US through HW.170.5.US, and HW.185.12.US.) Verify that if not all contaminated subsoils can be properly removed or decontaminated, postclosure care is performed in accordance with closure and post-closure requirements that apply to landfills (see checklist items HW.165.9.US and HW.165.10.US). (NOTE: See the Other Environmental Issues section of the U.S. TEAM Guide, heading O6 for the storage and transportation of military waste munitions and explosives.) (NOTE: Depending on explosive hazards, hazardous waste munitions and explosives may also be managed in other types of storage units, including containment buildings (40 CFR
HW.262.5.US Staging piles must be managed according to certain parameters. (40 CFR 264.554)[Added January 2004; Revised July 2006].	(NOTE: A staging pile is an accumulation of solid, nonflowing remediation waste that is not a containment building and is used only during remedial operations for temporary storage at a facility.) Verify that a staging pile is located within the contiguous property under the control of the owner/operator where the wastes to be managed in the staging pile originated. (NOTE: Staging piles must be designated by the Director in a permit or, at an interim status facility, in a closure plan or order.) (NOTE: For the purposes of this checklist item, storage includes mixing, sizing, blending, or other similar physical operations as long as they are intended to prepare the wastes for subsequent management or treatment.) Verify that., when the facility is seeking a staging pile designation, they provide: - sufficient and accurate information to enable the Director to impose appropriate standards and design criteria - certification by a qualified Professional Engineer for technical data, such as design drawings and specifications, and engineering studies, unless the Director determines, based on information that you provide, that this certification is not necessary to ensure that a staging pile will protect human health and the environment. Verify that a staging pile is used to store hazardous remediation
HW.280.1.US Small quantity handlers of universal waste, less than 5000 kg at any time, are generally prohibited from disposing, diluting, or treating universal wastes. (40 CFR 273.11)[Revised March 2000].	(NOTE: 5000 kg is approx. 11,111 lb.) Determine if the facility is a small quantity handler of universal waste. Verify that the facility does not dispose of universal wastes onsite. Verify that, except when responding to a release or performing waste management activities outlined in 40 CFR 273.13 (see checklist item HW.290.1.US through HW.290.5.US), the facility does not dilute or treat universal waste. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste

HW.280.2.US Small quantity handlers of universal waste are required to meet specific accumulation time limits. (40 CFR 273.15)[Reviewed March 2000].	Verify that universal waste is not accumulated for more than 1 yr from the date that the universal waste is generated, or received from another handler. (NOTE: The 1 yr limit may be exceeded if the sole purpose is to accumulate such quantities as necessary to facilitate proper recovery, treatment, or disposal. However, the handler must be able to prove that this is the case.) Verify that the handler can demonstrate the length of time that the universal waste has been accumulated by one of the following methods: - placing the universal waste in a container and marking or labeling the container with the earliest date that any universal waste in the container became a waste or was received - marking or labeling each individual item of universal waste with the date it became waste or was received - maintaining an inventory system onsite that identifies the date each universal waste became a waste or was received - maintaining an inventory system onsite that identifies the earliest date that any universal waste in a group of universal waste items or a group of containers of universal waste became a waste or was received - placing the universal waste in a specific accumulation area and identifying the earliest date that any universal waste in the area became a waste or was received - any other
HW.280.3.US Small quantity handlers of universal waste are required to handle releases according to specific procedures. (40 CFR 273.17)[Reviewed March 2000].	Verify that all releases of universal waste and other universal waste residues are immediately contained. Verify that the facility determines if the material resulting from the release is a hazardous waste. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.)
HW.280.4.US Small quantity handlers of universal waste managing imported universal waste are required to meet specific parameters. (40 CFR 273.70(b) and 273.70(d))[Added March 2000; Revised October 2006; Revised April 2010].	Determine if the small quantity handler of universal waste is receiving universal waste from a foreign country. Verify that the universal waste is handled according to all requirements applicable to small quantity handlers of universal waste (40 CFR 273, Subpart B) immediately after the waste enters the United States. (NOTE: If the universal waste was imported from an Organization for Economic Cooperation and Development (OECD) country as specified in 40 CFR 262.58(a)(1), the requirements of 40 CFR 262, Subpart H apply. The designated OECD countries are: Australia, Austria, Belgium, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of South Korea, the Slovak Republic, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States. Canada and Mexico are considered OECD countries only for the purpose of transit.) (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that

HW.290.1.US Small quantity handlers of universal waste are required to manage universal waste batteries according to specific parameters. (40 CFR 273.12, 273.13(a)(1), and 273.13(a)(2))[Reviewed March 2000].	(NOTE: A small quantity handler of universal waste is not required to notify the USEPA of universal waste handling activities.) (NOTE: Refer to the definition of Battery and Waste Battery.) Verify that universal waste batteries are managed in a way that prevents releases of any universal waste or component of a universal waste to the environment. Verify that batteries that show evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable condition are contained in a container. Verify that containers for batteries with leak potential are closed, structurally sound, compatible with the contents of the battery, and lack evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions. Verify that, when conducting any of the following activities, the casing of each individual battery cell is not breached and remains intact and closed: - sorting batteries by type - mixing battery types in one container - discharging batteries so as to remove the electric charge - regenerating used batteries - disassembling batteries or battery packs into individual batteries or cells - removing batteries from consumer products - removing electrolyte from batteries. (NOTE: Cells may be opened to remove electrolyte but must be
HW.290.2.US Small quantity handlers of universal waste are required to manage the electrolyte from universal waste batteries and other solid wastes generated from battery management activities according to specific parameters. (40 CFR 273.13(a)(3))[Revised March 2000].	Verify that, if the small quantity universal waste handler removes electrolyte from batteries or generates other solid waste (e.g., battery pack materials, discarded consumer products) as a result of battery management activities, the handler determines if any of the wastes exhibit the characteristics of a hazardous waste. Verify that, if it does exhibit the characteristics of a hazardous waste, it is treated and handled as a hazardous waste. Verify that, if the electrolyte or other solid waste is not a hazardous waste, it is managed in accordance with any other applicable state and federal laws and regulations. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as
HW.290.3.US Small quantity handlers of universal waste are required to manage universal waste pesticides according to specific parameters. (40 CFR 273.12 and 273.13(b))[Reviewed March 2000].	(NOTE: A small quantity handler of universal waste is not required to notify the USEPA of universal waste handling activities.) (NOTE: Refer to the definition of Pesticides and Waste Pesticides.) Verify that universal waste pesticides are managed in a way that prevents releases of any universal waste or component of a universal waste to the environment. Verify that the pesticides are contained in one or more of the following: - a container that remains closed, structurally sound, compatible with the pesticide, and that lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions (this is considered an appropriate container) - an inappropriate container that is overpacked in an appropriate container - a tank that meets the requirements of 40 CFR 265, Subpart J, except for 40 CFR 265.197(c) (tank closure plans), 40 CFR 265.200 (waste analysis and trial tests), and 40 CFR 265.201 (requirements for SQGs) - a transport vehicle or vessel that is closed, structurally sound, compatible with the pesticide, and that lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40

HW.290.4.US Small quantity handlers of universal waste are required to manage universal waste mercury-containing equipment according to specific parameters. (40 CFR 273.12, 273.13(c)(1), and 273.13(c)(2))[Revised March 2000; Revised October 2005].	(NOTE: A small quantity handler of universal waste is not required to notify the USEPA of universal waste handling activities.) (NOTE: Refer to the definition of Mercury-Containing Equipment and Waste Mercury-Containing Equipment.) Verify that a small quantity handler of universal waste manages universal waste mercury-containing equipment in a way that prevents releases of any universal waste or component of a universal waste to the environment, as follows: - a small quantity handler of universal waste places in a container any universal waste mercury-containing equipment with non-contained elemental mercury or that shows evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions - the container is closed, structurally sound, compatible with the contents of the device, lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions, and is reasonably designed to prevent the escape of mercury into the environment by volatilization or any other means. (NOTE: A small quantity handler of universal waste may remove mercury-containing ampules from universal waste mercury-containing equipment provided the handler: - removes and manages the ampules in a manner
HW.290.5.US Small quantity handlers of universal waste are required to manage the wastes from universal waste mercury-containing equipment according to specific parameters. (40 CFR 273.12, 273.13(c)(3), and 273.13(c)(4))[Reviewed March 2000; Revised October 2005].	Verify that, when a small quantity handler of universal waste mercury-containing equipment that does not contain an ampule removes the open original housing holding the mercury from universal waste mercury-containing equipment, the handler: - immediately seals the original housing holding the mercury with an air-tight seal to prevent the release of any mercury to the environment - follows all requirements for removing ampules and managing removed ampules under paragraph 40 CFR 273.13(c)(2) (see checklist item number HW.290.4.US). Verify that a small quantity handler of universal waste who removes mercury-containing ampules from mercury-containing equipment or seals mercury from mercury-containing equipment in its original housing determines whether the following exhibit a characteristic of hazardous waste identified in 40 CFR 261, subpart C: - mercury or clean-up residues resulting from spills or leaks - other solid waste generated as a result of the removal of mercury-containing ampules or housings (e.g., the remaining mercury-containing device). Verify that, if the mercury, residues, and/or other solid waste exhibits a characteristic of hazardous waste, it is managed in compliance with all applicable requirements of 40 CFR 260 through 272. (NOTE: The handler is
HW.290.6.US Small quantity handlers of universal waste are required to manage universal waste lamps according to specific parameters. (40 CFR 273.13(d))[Added October 1999; Reviewed March 2000].	Verify that a small quantity handler of universal waste contains any lamp in containers or packages that are structurally sound, adequate to prevent breakage, and compatible with the contents of the lamps. Verify that containers and packages remain closed and lack evidence of leakage, spillage or damage that could cause leakage under reasonably foreseeable conditions. Verify that a small quantity handler of universal waste immediately cleans up and places in a container any lamp that is broken and any lamp that shows evidence of breakage, leakage, or damage that could cause the release of mercury or other hazardous constituents to the environment. Verify that containers are closed, structurally sound, compatible with the contents of the lamps, and lack evidence of leakage, spillage, or damage that could cause leakage or releases of mercury or other hazardous constituents to the environment under reasonably foreseeable conditions. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40

HW.300.1.US Employees who handle or have responsibility for managing universal wastes are required to be trained. (40 CFR 273.16)[Reviewed March 2000].	Verify that employees have been trained in the proper handling and emergency response procedures appropriate to the types of universal waste handled at the facility. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.)
HW.310.1.US Universal wastes at small quantity universal waste handlers are required to be labeled according to specific parameters. (40 CFR 273.14)[Revised October 1999; Reviewed March 2000; Revised October 2005].	Verify that universal waste batteries (each battery), or a container in which the batteries are contained, are labeled or marked clearly with any one of the following phrases: - UNIVERSAL WASTE - BATTERY(IES) - WASTE BATTERY(IES) - USED BATTERY(IES). Verify that containers or multiple container package units, tanks, transport vehicles, or vessels in which recalled universal waste pesticides are contained are marked clearly with: - the label that was on or accompanied the product as sold or distributed - the words UNIVERSAL WASTE PESTICIDE(S) or WASTE PESTICIDE(s). Verify that the container, tanks, or transport vehicles or vessels in which unused pesticide products are contained are labeled or marked clearly with: - the label that was on the product when purchased, if still legible - if this is not feasible, the appropriate DOT label - if it is not feasible to use the original or DOT label, an alternate label prescribed or designated by the waste pesticide collection program administered or recognized by a state - the words UNIVERSAL WASTE - PESTICIDE(S) or WASTE PESTICIDE(S). Verify that universal waste mercury-containing equipment (i.e., each device), or a container in which the equipment is contained, is labeled or marked clearly with any of the following phrases: -
HW.330.1.US Offsite shipments of universal waste from small quantity handlers are required to be done according to specific parameters. (40 CFR 273.18 and 273.19)[Revised March 2000].	Verify that small quantity handlers of universal waste do not send or take universal waste to anyplace other than another universal waste handler, a destination facility, or a foreign destination. (NOTE: If the handler self-transports universal waste, they have to comply with the requirements for transportation in 40 CFR 273.50 through 273.56 (see checklist items HW.450.1.US through HW.450.6.US).) Verify that, if the universal waste being offered for offsite transportation meets the definition of hazardous materials under 49 CFR 171 through 180, the shipment is packaged, labeled, marked, and placarded, and that the proper shipping papers have been prepared under DOT regulations. Verify that, prior to sending the waste to another universal waste handler, the originating handler has ensured that the receiving handler agrees to receive the waste. Verify that, if the receiving handler rejects a waste shipment, the originating handler does one of the following: - receives the waste back when notified the shipment was rejected - agrees with the receiving handler on a destination facility to which the shipment will be sent. Verify that, if the receiving handler rejects a shipment or a portion of the shipment, the receiving handler notifies the originating handler to discuss reshipment of the load, and

HW.330.2.US Small quantity handlers of universal waste that send universal waste to a foreign destination are required to meet specific requirements. (40 CFR 273.20)[Revised March 2000].	Verify that, for universal waste being sent to a foreign destination other than an OECD country, the requirements in 40 CFR 262.53 (notification of intent to export), 40 CFR 262.56(a)(1) through 262.56(a)(4), 262.56(a)(6) and 262.56(b) (annual reports), and 40 CFR 262.57 (recordkeeping) are met. Verify that, for universal waste being sent to an OECD country, the requirements of 40 CFR 262, Subpart H are met. Verify that the receiving country has consented to accept the waste through an Acknowledgment of Consent. Verify that a copy of the USEPA Acknowledgment of Consent for the shipment has been provided to the transporter. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR
HW.370.1.US Large quantity handlers of universal waste, more than 5000 kg at any time, are generally prohibited from disposing, diluting, or treating universal wastes. (40 CFR 273.31)[Revised March 2000].	Determine if the facility is a large quantity handler of universal waste. Verify that the facility does not dispose of universal wastes onsite. Verify that, except when responding to a release or performing waste management activities outlined in 40 CFR 273.13 (see checklist items HW.290.1.US through HW.290.5.US), the facility does not dilute or treat universal waste. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.)
HW.370.2.US Large quantity handlers of universal waste are required to meet specific accumulation time limits. (40 CFR 273.35)[Revised March 2000].	Verify that universal waste is not accumulated for more than 1 yr from the date that the universal waste is generated, or received from another handler. (NOTE: The 1 yr limit may be exceeded if the sole purpose is to accumulate such quantities as are necessary to facilitate proper recovery, treatment, or disposal. However, the handler must be able to prove that this is so.) Verify that the handler can demonstrate the length of time that the universal waste has been accumulated by one of the following methods: - placing the universal waste in a container and marking or labeling the container with the earliest date that any universal waste in the container became a waste or was received - marking or labeling each individual item of universal waste with the date it became waste or was received - maintaining an inventory system onsite that identifies the date each universal waste became a waste or was received - maintaining an inventory system onsite that identifies the earliest date that any universal waste in a group of universal waste items or a group of containers of universal waste became a waste or was received - placing the universal waste in a specific accumulation area and identifying the earliest date that any universal waste in the area became a waste or was received - any other

HW.370.3.US Large quantity handlers of universal waste are required to handle releases according to specific procedures. (40 CFR 273.37)[Reviewed March 2000].	Verify that all releases of universal waste and other universal waste residues are immediately contained. Verify that the facility determines if the material resulting from the release is a hazardous waste and handles it accordingly. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.)
HW.370.4.US Large quantity handlers of universal waste managing imported universal waste are required to meet specific parameters. (40 CFR 273.70(b) and 273.70(d))[Added March 2000; Revised October 2006; Revised April 2010].	Determine if the large quantity handler of universal waste is receiving universal waste from a foreign country. Verify that the imported universal waste is handled according all requirements applicable to large quantity handlers of universal waste immediately after the waste enters the United States. (NOTE: If the universal waste was imported from an Organization for Economic Cooperation and Development (OECD) country as specified in 40 CFR 262.58(a)(1), the requirements of 40 CFR 262, Subpart H apply. The designated OECD countries are: Australia, Austria, Belgium, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of South Korea, the Slovak Republic, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States. Canada and Mexico are considered OECD countries only for the purpose of transit.) (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that
HW.380.1.US Large quantity handlers of universal waste are required to manage universal waste batteries and other solid waste generated from battery management activities according to specific parameters. (40 CFR 273.33(a)(1) and 273.33(a)(2))[Revised March 2000].	(NOTE: Refer to the definition of Battery and Waste Battery.) Verify that universal waste batteries are managed in a way that prevents releases of any universal waste or component of a universal waste to the environment. Verify that batteries that show evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable condition are contained in a container. Verify that containers are closed, structurally sound, compatible with the contents of the battery, and lack evidence of leakage, spillage, or damage that could cause leakage. Verify that, when conducting any of the following activities, the casing of each individual battery cell is not breached and remains intact and closed: - sorting batteries by type - mixing battery types in one container - discharging batteries so as to remove the electric charge - regenerating used batteries - disassembling batteries or battery packs into individual batteries or cells - removing batteries from consumer products - removing electrolyte from batteries. (NOTE: Cells may be opened to remove electrolyte but must be immediately closed after removal.) (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt

HW.380.2.US Large quantity handlers of universal waste are required to manage the electrolyte from universal waste batteries according to specific parameters. (40 CFR 273.33(a)(3))[Reviewed March 2000].	Verify that, if the large quantity universal waste handler removes electrolyte from batteries or generates other solid waste (e.g., battery pack materials, discarded consumer products) as a result of battery management activities, the handler determines if any of the wastes exhibit the characteristics of a hazardous waste. Verify that, if it does exhibit the characteristics of a hazardous waste, it is treated and handled as a hazardous waste. Verify that, if the electrolyte or other solid waste is not a hazardous waste, it is managed in accordance with any other applicable state and federal laws and regulations. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as
HW.380.3.US Large quantity handlers of universal waste are required to manage universal waste pesticides according to specific parameters. (40 CFR 273.33(b))[Reviewed March 2000].	(NOTE: Refer to the definition of Pesticide and Waste Pesticides.) Verify that universal waste pesticides are managed in a way that prevents releases of any universal waste or component of a universal waste to the environment. Verify that the pesticides are contained in one or more of the following: - a container that remains closed, structurally sound, compatible with the pesticide, and lacks evidence of leakage, spillage, or damage that could cause leak age under reasonably foreseeable conditions (NOTE: This is considered an appropriate container) - an inappropriate container that is overpacked in an appropriate container - a tank that meets the requirements of 40 CFR 265, Subpart J except for 40 CFR 265.197(c) (tank closure plans), 40 CFR 265.200 (waste analysis and trial tests), and 40 CFR 265.201 (requirements for SQGs) - a transport vehicle or vessel that is closed, structurally sound, compatible with the pesticide, and that lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type
HW.380.4.US Large quantity handlers of universal waste are required to manage universal waste mercury-containing equipment in a way that prevents release of any universal waste or component of a universal waste to the environment. (40 CFR 273.33(c)(1) and 273.33(c)(2))[Revised March 2000; Revised October 2005].	(NOTE: Refer to the definition of Mercury-Containing Equipment and Waste Mercury-Containing Equipment.) Verify that a large quantity handler of universal waste places in a container any universal waste mercury-containing equipment with non-contained elemental mercury or that shows evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions. Verify that the container is closed, structurally sound, compatible with the contents of the device, lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions, and is reasonably designed to prevent the escape of mercury into the environment by volatilization or any other means. (NOTE: A large quantity handler of universal waste may remove mercury-containing ampules from universal waste mercury-containing equipment provided the handler: - removes and manages the ampules in a manner designed to prevent breakage of the ampules - removes the ampules only over or in a containment device (e.g., tray or pan sufficient to collect and contain any mercury released from an ampule in case of breakage) - ensures that a mercury clean-up system is readily available to immediately transfer any mercury resulting from spills or leaks of broken ampules

HW.380.5.US Large quantity handlers of universal waste are required to manage the wastes from universal waste mercury-containing equipment according to specific parameters. (40 CFR 273.33(c)(3) and 273.33(c)(4))[Reviewed March 2000; Revised October 2005].	Verify that, if a large quantity handler of universal waste mercury-containing equipment that does not contain an ampule removes the open original housing holding the mercury from universal waste mercury-containing equipment the following is done: - immediately seal the original housing holding the mercury with an air-tight seal to prevent the release of any mercury to the environment - follow all requirements for removing ampules and managing removed ampules under 40 CFR 273(c)(2) (see checklist item HW.380.4.US.). Verify that a large quantity handler of universal waste who removes mercury-containing ampules from mercury-containing equipment or seals mercury from mercury-containing equipment in its original housing determines whether the following exhibit a characteristic of hazardous waste identified in 40 CFR 261, subpart C: - mercury or clean-up residues resulting from spills or leaks - other solid waste generated as a result of the removal of mercury-containing ampules or housings (e.g., the remaining mercury-containing device). (NOTE: If the mercury, residues, and/or other solid waste exhibits a characteristic of hazardous waste, it must be managed in compliance with all applicable requirements of 40 CFR 260 through 272. The handler is considered the generator of the
HW.380.6.US Large quantity handlers of universal waste are required to manage universal waste lamps according to specific parameters. (40 CFR 273.33(d))[Added October 1999; Reviewed March 2000].	Verify that a large quantity handler of universal waste contains any lamp in containers or packages that are structurally sound, adequate to prevent breakage, and compatible with the contents of the lamps. Verify that containers and packages remain closed and lack evidence of leakage, spillage or damage that could cause leakage under reasonably foreseeable conditions. Verify that a large quantity handler of universal waste immediately cleans up and places in a container any lamp that is broken and places in a container any lamp that shows evidence of breakage, leakage, or damage that could cause the release of mercury or other hazardous constituents to the environment. Verify that containers are closed, structurally sound, compatible with the contents of the lamps, and lack evidence of leakage, spillage, or damage that could cause leakage or releases of mercury or other hazardous constituents to the environment under reasonably foreseeable conditions. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity
HW.390.1.US Employees who handle or have responsibility for managing universal wastes are required to be trained. (40 CFR 273.36)[Revised March 2000].	Verify that all employees have been trained in the proper handling and emergency response procedures relative to their responsibilities during normal facility operations and emergencies. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 40 CFR 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.)

HW.400.1.US Universal wastes at large quantity universal waste handlers are required to be labeled according to specific parameters. (40 CFR 273.34)[Revised October 1999; Reviewed March 2000; Revised October 2005].	Verify that universal waste batteries (each battery), or a container in which the batteries are contained, are labeled or marked clearly with any one of the following phrases: - UNIVERSAL WASTE - BATTERY(IES) - WASTE BATTERY(IES) - USED BATTERY(IES). Verify that containers or multiple container package units, tanks, transport vehicles, or vessels in which recalled universal waste pesticides are contained are marked clearly with: - the label that was on or accompanied the product as sold or distributed - the words UNIVERSAL WASTE PESTICIDE(S) or WASTE PESTICIDE(s). Verify that the container, tanks, or transport vehicles or vessels in which unused pesticide products are contained are labeled or marked clearly with: - the label that was on the product when purchased, if still legible, or, if this is not feasible, the appropriate DOT label - an alternate label prescribed or designated by the waste pesticide collection program administered or recognized by a state - the words UNIVERSAL WASTE - PESTICIDE(S) or WASTE PESTICIDE(S). Verify that mercury-containing equipment (i.e., each device), or a container in which the equipment is contained, is labeled or marked clearly with any of the following phrases: - Universal Waste--Mercury Containing Equipment - Waste
HW.410.1.US Large quantity handlers of universal waste are required to perform specific notification activities. (40 CFR 273.32)[Revised March 2000; Revised October 2005].	Verify that the handler has sent written notification of universal waste management to the Regional Administrator and received an USEPA identification number before meeting or exceeding the 5000 kg (11,111 lb] storage limit. (NOTE: In the following circumstances, the handler is not required to notify the USEPA: - if the handler has already notified the USEPA of hazardous waste management activity and has received a U.S. USEPA identification number - if recalled pesticides are being managed and notification has already been sent in under 40 CFR 165.) Verify that the notification includes: - the universal waste handlers name and mailing address - the name and business phone of the POC at the facility - the address or physical location of the universal waste management activities - a list of all types of universal waste managed by the handler (e.g., batteries, pesticides, mercury-containing equipment, and lamps) - a statement indicating that the handler is accumulating more than 5000 kg [approx. 11,111 lb] of universal waste at one time and the types of universal waste that are accumulated above this quantity. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt
HW.420.1.US Offsite shipment of universal waste from large quantity handlers is required to be done according to specific parameters. (40 CFR 273.38)[Revised March 2000].	Verify that large quantity handlers of universal waste do not send or take universal waste to anyplace other than another universal waste handler, a destination facility, or a foreign destination. (NOTE: If the handler self-transports universal waste, they have to comply with the requirements for transportation in 40 CFR 273.50 through 273.56 (see checklist items HW.450.1.US through HW.450.6.US).) Verify that, if the universal waste being offered for off-site transportation, the material meets the definition of hazardous materials under 49 CFR 171 through 180, the shipment is packaged, labeled, marked, and placarded, and the proper shipping papers have been prepared under DOT regulations. Verify that, prior to sending the waste offsite, the originating handler has ensured that the receiving handler agrees to receive the waste. Verify that, if the receiving handler rejects a waste shipment, the originating handler does one of the following: - receives the waste back when notified the shipment was rejected - agrees with the receiving handler on a destination facility to which the shipment will be sent. Verify that, if the receiving handler rejects a shipment or a portion of a shipment, the receiving handler notifies the originating handler to discuss reshipment of the load, and either: - sends the

HW.420.2.US Large quantity handlers are required to track offsite shipments. (40 CFR 273.39)[Revised March 2000].	Verify that a record of each shipment of universal waste received at the facility is kept in one of the following: - a log - invoices - manifests - bill of lading - other shipping document. Verify that the record for each shipment received includes the following: - name and address of the originating handler or foreign shipper from who the waste was sent - the quantity of each type of universal waste received - the date of receipt of the shipment. Verify that a record of each shipment of universal waste shipped offsite is kept in one of the following: - a log - invoices - manifests - bill of lading - other shipping document. Verify that the record for each offsite shipment includes the following: - name and address of the handler, destination facility, or foreign destination to whom the universal waste was sent - the quantity of each type of universal waste shipped - the date the shipment left the facility. Verify that records are retained for at least 3 yr: - for shipments received at the facility, from the date of receipt of the shipment - for shipments sent off-site by the handler, from the date the shipment left the facility. (NOTE: The following waste may, at the option of the generator, be managed under the
HW.420.3.US Large quantity handlers of universal waste that send universal waste to a foreign destination are required to meet specific requirements. (40 CFR 273.40)[Revised March 2000].	Verify that, for universal waste being sent to a foreign destination other than an OECD country, the requirements in 40 CFR 262.53 (notification of intent to export), 40 CFR 262.56(a)(1) through 262.56(a)(4), 262.56(a)(6) and 262.56(b) (annual reports), and 40 CFR 262.57 (recordkeeping) are met. Verify that, for universal waste being sent to an OECD country, the requirements of 40 CFR 262, Subpart H are met. Verify that the receiving country has consented to accept the waste through an Acknowledgment of Consent. Verify that a copy of the USEPA Acknowledgment of Consent for the shipment has been provided to the transporter. (NOTE: The following waste may, at the option of the generator, be managed under the requirements of 40 CFR 273 (40 CFR 273.5(a)): - household wastes that are exempt under 40 CFR 261.4(b)(1) and are also the same type as the universal wastes defined at 273.6 - conditionally exempt small quantity generator wastes that are exempt under 40 CFR 261.5 and are also the same types as the universal waste defined in 40 CFR 273.6.) (NOTE: When the following wastes are commingled with universal wastes, the commingled wastes must be managed under 40 CFR 273 as universal waste (40 CFR 273.5(b)): - household wastes that are exempt under 40 CFR
HW.450.1.US Universal waste transporters are prohibited from disposing or treating universal wastes. (40 CFR 273.51)[Reviewed March 2000].	Determine if the facility is a transporter of universal waste. Verify that the facility does not dispose of universal wastes onsite. Verify that, except when responding to a release or performing waste management activities outlined in 40 CFR 273.13 (see checklist item HW.290.1.US through HW.290.5.US), the facility does not dilute or treat universal waste.
HW.450.2.US Universal waste transporters are required to manage the waste they transport according to specific parameters. (40 CFR 273.52)[Reviewed March 2000].	Verify that the waste is managed according to applicable DOT regulations depending on whether it meets the criteria for definition as a hazardous material or as a hazardous waste.
HW.450.3.US Universal waste transporters may only store the universal waste at a transfer facility for 10 days. (40 CFR 273.53)[Reviewed March 2000].	Verify that universal waste is not stored at a transfer facility for more than 10 days. (NOTE: If the waste is stored for more than 10 days, the transporter becomes a handler.)

HW.450.4.US Universal waste transporters are required to handle releases according to specific procedures. (40 CFR 273.54)[Reviewed March 2000].	Verify that all releases of universal waste and other universal waste residues are immediately contained. Verify that the transporter determines if the material resulting from the release is a hazardous waste.
HW.450.5.US Offsite shipments of universal waste transporters are required to be done according to specific parameters. (40 CFR 273.18 and 273.19)[Reviewed March 2000].	Verify that transporters of universal waste do not send or take universal waste to any place other than a universal waste handler, a destination facility, or a foreign destination. Verify that, if the universal waste being offered for offsite transportation meets the definition of hazardous materials under 49 CFR 171 through 180, it is placarded, packaged and shipped according to DOT requirements.
HW.450.6.US Transporters of universal waste that send universal wastes to a foreign destination are required to meet specific requirements. (40 CFR 273.56)[Revised March 2000; Revised October 2006; Revised April 2010].	(NOTE: If the universal waste was imported from an Organization for Economic Cooperation and Development (OECD) country as specified in 40 CFR 262.58(a)(1), the requirements of 40 CFR 262, Subpart H apply. The designated OECD countries are: Australia, Austria, Belgium, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of South Korea, the Slovak Republic, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States. Canada and Mexico are considered OECD countries only for the purpose of transit.) Verify that the transporter has determined that the shipment conforms to the USEPA Acknowledgment of Consent. Verify that a copy of the USEPA Acknowledgment of Consent accompanies the shipment. Verify that appropriate measures are taken to ensure the universal waste is delivered to the facility designated by the person initiating the shipment.
HW.450.7.US Universal waste transporters managing imported universal waste are required to meet specific parameters. (40 CFR 273.70(a) and 273.70(d))[Added March 2000; Revised October 2006; Revised April 2010].	Determine if the universal waste transporter is managing universal waste from a foreign country. Verify that the universal waste is handled according all requirements applicable to universal waste transporters immediately after the waste enters the United States. (NOTE: If the universal waste was imported from an Organization for Economic Cooperation and Development (OECD) country as specified in 40 CFR 262.58(a)(1), the requirements of 40 CFR 262, Subpart H apply. The designated OECD countries are: Australia, Austria, Belgium, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of South Korea, the Slovak Republic, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States. Canada and Mexico are considered OECD countries only for the purpose of transit.)
HW.470.1.US Destination facilities are required to meet specific requirements. (40 CFR 273.60)[Revised October 1999; Reviewed March 2000].	Verify that the owner or operator of a destination facility meets all applicable requirements of 40 CFR 264, 265, 266, 268, 270, and the notification requirement under section 3010 of RCRA. Verify that the owner/operator of a destination facility that recycles a particular universal waste without storing that universal waste before it is recycled complies with 40 CFR 261.6(c)(2).

HW.470.2.US Destination facilities are required to meet specific standards in relation to offsite shipments of universal waste. (40 CFR 273.61)[Revised March 2000].	Verify that the destination facility does not send or take universal waste to a place other than a universal waste handler, another destination facility, or foreign destination. Verify that, if the destination facility rejects a shipment or portion of a shipment containing universal waste, they contact the shipper to notify him of the rejection and discuss reshipment of the load. Verify that, if a shipment is rejected, the destination facility does one of the following: - sends the shipment back to the original shipper - sends the shipment to another destination facility if agreed upon by the shipper and the holding destination facility. Verify that, if a destination facility receives a shipment containing hazardous waste that is not universal waste, the facility immediately notifies the regional USEPA office of the illegal shipment and provides the name, phone numbers, and address of the originating shipper. (NOTE: If the facility receives a shipment of nonhazardous nonuniversal waste, the facility may manage the waste in any way that is in compliance with Federal, state, or local regulations.)
HW.470.3.US Destination facilities are required to track universal waste shipments. (40 CFR 273.62)[Revised March 2000].	Verify that a record of each shipment of universal waste received at the facility is kept in one of the following: - a log - invoices - manifests - bill of lading - other shipping document. Verify that the record for each shipment received includes the following: - name and address of the originating universal waste handler, destination facility or foreign shipper from whom the waste was sent - the quantity of each type of universal waste received - the date of receipt of the shipment. Verify that records are retained for 3 yr from the date of receipt of a shipment of universal waste.
HW.470.4.US Universal waste destination facilities managing imported universal waste are required to meet specific parameters. (40 CFR 273.70(c) and 273.70(d))[Added March 2000; Revised October 2006].	Determine if the universal waste destination facility is managing universal waste from a foreign country. Verify that the universal waste is handled according all requirements applicable to universal waste destination facility immediately after the waste enters the United States. (NOTE: If the universal waste was imported from an OECD country as specified in 40 CFR 262.58(a)(1), the requirements of 40 CFR 262, Subpart H apply. The designated OECD countries are: Australia, Austria, Belgium, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, the Slovak Republic, South Korea, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States. Canada and Mexico are considered OECD countries only for the purpose of transit.)
NR.1.1.US The current status of any ongoing or unresolved consent orders, ESA biological opinions, Section 404 CWA permits, compliance agreements, notices of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, ESA biological opinions, Section 404 CWA permits, compliance agreements, NOVs, interagency agreements, NEPA documentation, litigation settlement agreements, court imposed injunctions, or equivalent state enforcement actions.

NR.1.2.US When military installations are required to prepare an INRMP, the INRMP must meet certain standards. (Sikes Act, 16 USC 670 et. seq.)[Added March 1998, Citation Revised July 2010].	(NOTE: The Secretary of Defense is responsible for carrying out a program to provide for the conservation and rehabilitation of natural resources on military installations. The Secretary of each military department is responsible for preparing and implementing an INRMP for each military installation, unless the Secretary determines that the absence of significant natural resources on a particular installation makes preparation of such a plan inappropriate.) (NOTE: See component-specific Supplements for additional DOD, Air Force, and Army requirements pertaining to the INRMP. Additional requirements include definition of types of installations requiring an INRMP and expanded content requirements.) Verify that the INRMP, to the extent appropriate and applicable, provides for: - fish and wildlife management, land management, forest management, and fish and wildlife oriented recreation - fish and wildlife habitat enhancement or modifications - wetland protection, enhancement, and restoration, where necessary for support of fish, wildlife, or plants - integration of, and consistency among, the various activities conducted under the plan - establishment of specific natural resource management goals and objectives and time frames for proposed action - sustainable use by
NR.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are Federally regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
NR.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
NR.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
NR.5.1.US Department of the Army permits are required for the discharge of dredged or fill material into waters of the United States. (33 CFR 323.3(a) and 323.3(b))[Revised June 1996; Revised July 2007].	(NOTE: Be sure to review any requirements associated with the state implementation of Section 401 of the CWA.) Determine if there are wetlands. Verify that any activities involving dredging and filling wetlands are permitted by the Army Corps of Engineers. Verify that the parameters outlined in the permit are being met. (NOTE: Fill material means any material used for the primary purpose of replacing an aquatic area with dry land or changing the bottom elevation of a water body. The term does not include any pollutant discharged into the water primarily to dispose of waste, as that activity is regulated under section 402 of the CWA.) (NOTE: See the definition of "Waters of the United States.") (NOTE: Under the joint EPA and Corps of Engineers Legal Memorandum, Clean Water Act Jurisdiction Following the U.S. Supreme Court's Decision in Rapanos v. United States & Carabell v. United States, the agencies will assert jurisdiction over: traditional navigable waters which includes all the waters described in 33 CFR 328.3(a)(1) "All waters which are currently used, or were used in the past, or may be susceptible to use in interstate or foreign commerce, including all waters which are subject to the ebb and flow of the tide" wetlands adjacent to traditional navigable waters, including over

NR.10.1.US Noxious weeds must not be moved through the United States unless allowed by a permit. (7 CFR 360.100 through 360.300)[Revised April 2000].	Verify that no one is moving a federal noxious weed into or through the United States, or interstate, unless: - a permit is obtained - the movement is consistent with the specific conditions contained in the permit. (NOTE: A list of noxious weeds is in Appendix 5-1.)
NR.10.2.US Floodplains and wetlands should be identified and protected. (MP).	Verify that floodplains and wetlands are identified and protected by reviewing the operations management plan. Verify that proper permits are obtained for activities in floodplains.
NR.10.3.US DoD Components occupying withdrawn lands are required to have a MOU with the SOI implementing a management plan developed by the SOI. (PL 99-606, Section 3(c)).	Verify that a MOU has been entered into with SOI. Verify that a copy of the management plan is available and the requirements of the plan are being met. (NOTE: See Appendix 5-2 for a list of withdrawn lands.)
NR.20.1.US Programs must be carried out for the conservation of Federally designated endangered and threatened species. (50 CFR 402.01(a), 402.10, and 402.12).	Verify that a survey has been done to determine if there are any threatened or endangered species if conditions are present that such species could be present. Verify that consultations have been held with the U.S. Fish and Wildlife Service (FWS) and state conservation agency when revising management plans. Verify that measures have been initiated to maintain threatened and endangered species by checking records of FWS consultations/opinions received. Verify that action has been taken to comply with FWS requirements if a jeopardy biological opinion has been given. Verify that terms and conditions of any biological opinion are being met.
NR.20.2.US Proposed actions and activities must be reviewed to ensure that they are not likely to jeopardize the continued existence of a listed species or to destroy or adversely modify its critical habitat. (50 CFR 402.01(a) and 40 CFR 1500).	Verify that the following documents are considered in the review process: - 40 CFR 1500 through 1508, Council on Environmental Quality. - 50 CFR 17, Endangered and Threatened Wildlife and Plants. - 50 CFR 402, Interagency Cooperation-Endangered Species Act 1973, as amended. - 50 CFR 450, Endangered Species Exemption Process: General Provisions. - 50 CFR 451, Endangered Species Exemption Process: Application Procedures.
NR.20.3.US No person may take, possess, import, export, transport, sell, purchase, barter, or offer for sale, purchase, or barter, any migratory bird, or the parts, nests, or eggs of such bird without a permit. (50 CFR 21.2, 21.11, 21.12, 21.15, 21.21(a), 21.22(a), 21.23(a), 21.24(a), 21.25(a), 21.27(a), 21.28(a), 21.30(a), 21.41(a) through 21.50)[Revised January 1999; Revised July 2004; Revised April 2007; Revised October 2007].	Verify that no person takes, possesses, imports, exports, transports, sells, purchases, barters, or offers for sale, purchase, or barter, any migratory bird, or the parts, nests, or eggs of such bird except as may be permitted under the terms of a valid permit. (NOTE: Employees of the DOI authorized to enforce the provisions of the Migratory Bird Treaty Act of July 3, 1918, as amended (40 Stat. 755; 16 U.S.C. 703-711), may, without a permit, take or otherwise acquire, hold in custody, transport, and dispose of migratory birds or their parts, nests, or eggs as necessary in performing their official duties.) (NOTE: State game departments, municipal game farms or parks, and public museums, public zoological parks, accredited institutional members of the American Association of Zoological Parks and Aquariums (AAZPA) and public scientific or educational institutions may acquire by gift or purchase, possess, transport, and by gift or sale dispose of lawfully acquired migratory birds or their progeny, parts, nests, or eggs without a permit. But such birds must have been acquired only from persons authorized by this NOTE or by a permit issued to possess and dispose of such birds, or from Federal or State game authorities by the gift of seized, condemned, or sick or injured birds.) Verify that seized, condemned, sick, or injured birds acquired without a permit, and any progeny therefrom, are disposed of only to persons

NR.20.4.US Individuals may not take, possess, import, export, transport, sell, purchase, barter, or offer for sale, purchase, or barter any endangered and/or threatened wildlife without a permit. (50 CFR 17.4(a), 17.21 through 17.23, 17.31, and 17.32)[Added July 2001; Revised April 2005].	(NOTE: This checklist item does not apply to any activity involving endangered or threatened wildlife which was held in captivity or in a controlled environment on 28 December 1973 provided that: - the purposes of such holding were not contrary to the purposes of the Act; and - the wildlife was not held in the course of a commercial activity.) Verify that, unless permitted to do so, the facility does not import or to export any endangered wildlife. (NOTE: Any shipment in transit through the United States is an importation and exportation, whether or not it has entered the country for customs purposes.) Verify that, unless permitted to do so, the facility does not take endangered wildlife within the United States, within the territorial sea of the United States, or upon the high seas. (NOTE: The high seas are all waters seaward of the territorial sea of the United States, except waters officially recognized by the United States as the territorial sea of another country, under international law.) (NOTE: Any person may take endangered wildlife in defense of his own life or the lives of others. Any employee or agent of the FWS, any other Federal land management agency, the National Marine Fisheries Service, or a State conservation agency, who is designated by his agency for such purposes, may, when acting in the
O1.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
O1.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations
O1.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
O1.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements. .

O1.5.1.US The NEPA process must be integrated into planning for projects as early as possible in order to prevent delays in project implementation. (40 CFR 1501.1 and 1501.2)[Revised July 2007].	(NOTE: The April 2007 CEQ document Aligning NEPA Processes with EMS: A Guide for NEPA and EMS Practitioners conveys how EMS aspects can inform the development of NEPA analyses and documentation, see Appendix 6-0. Additionally the completed NEPA process can provide information to update the EMS aspects.) Verify that the NEPA process is routinely reviewed as a part of new project development and potentially environmentally significant issues identified. Verify that early cooperative consultation among agencies, such as SHPO, Fish and Wildlife Service, Indian Tribes, is also a part of new project development. Verify that environmental effects and values are identified in adequate detail so they can be compared to economic and technical analysis. Verify that appropriate alternatives are developed and described to recommended actions in any proposal that involves unresolved conflicts concerning alternative uses of available resources. Verify that USEPA documents are used to evaluate and compare reasonable alternatives to recommend actions in any proposals.
O1.5.2.US An EA must be produced, under certain circumstances, to determine if an EIS is necessary. (40 CFR 1501.1(b), 1501.4(a), and 1508.9)[Revised May 1996; Revised July 2007].	(NOTE: The April 2007 CEQ document Aligning NEPA Processes with EMS: A Guide for NEPA and EMS Practitioners details how EMS aspects can inform an agency's identification of the type of activities that normally merit an EA or an EIS, see Appendix 6-0. Additionally the completed NEPA process can provide information to update the EMS aspects.) Determine if an EA has been completed and submitted for review before any contract for action is entered into or action is begun unless: - the action normally requires an EIS - qualifies for a categorical exclusion. Verify that the assessment was prepared according to agency policies. (NOTE: Title 40 CFR 1501.3 states that agencies will adopt procedures to indicate when an EA is required to be done. See the Agency-specific Supplement.)
O1.5.3.US An EIS must be produced if certain conditions exist due to a proposed action. (40 CFR 1501.4(a), 1501.4(c), and 1502.4)[Revised July 2007].	(NOTE: The April 2007 CEQ document Aligning NEPA Processes with EMS: A Guide for NEPA and EMS Practitioners details how EMS aspects can inform an agency's identification of the type of activities that normally merit an EA or an EIS, see Appendix 6-0. Additionally the completed NEPA process can provide information to update the EMS aspects.) Verify that an EIS is produced for any activity which normally required an EIS including: - the adoption of new Agency programs or regulations that cover broad Federal actions - technological developments with significant affect on the quality of the environment - an EA indicates it is necessary. (NOTE: Federal agencies are required to develop policies indicating what types of actions require an EIS. See the Agency-specific Supplement.)
O1.5.4.US If, due to the results of an EA, an EIS is not going to be prepared, a FONSI must be prepared according to specific parameters. (40 CFR 1501.4(e) and 1508.13).	Verify that FONSIs include the following information: - the name of the action - a brief description of the action (including any alternatives considered) - a short discussion of anticipated environmental effects - the conclusions that have led to the FONSI. Verify that the FONSI is made available for public review for 30 days prior to making a final determination whether to prepare an EIS and before the action begins when: - the proposed action is, or is closely similar to, one which normally requires the preparation of an EIS by the Federal Agency - the nature of the proposed action is without precedence.

O1.5.5.US When two or more agencies propose or are involved in the same action or are involved in a group of actions directly related to each other because of their functional interdependencies or geographical proximity, a lead agency will supervise the preparation of the EIS. (40 CFR 1501.5 and 1501.6).	Determine if the Federal facility is involved in an EIS that includes agencies other than their own. Determine and identify the lead agency. (NOTE: Federal, state, or local agencies, including at least one Federal agency may act as joint lead agencies to prepare an EIS.) Verify that there is a letter or memorandum indicating which agency is the lead Federal agency and which are the cooperating agencies. Verify that if the Federal facility is a lead agency it: - requests the participation of each cooperating agency in the NEPA process at the earliest possible time - uses the environmental analysis and proposals of cooperating agencies with jurisdiction by law or special expertise, to the maximum extent possible consistent with its responsibility as lead agency - meets with a cooperating agency at the cooperating agency's request. Verify that cooperating agency's roles and responsibilities are clear.
O1.5.6.US As a part of the EIS process, a notice of intent (NOI) must be published and scoping must be done according to specific requirements. (40 CFR 1501.7(a), 1501.7(b), and 1508.22).	Determine if a NOI of the proposed action is published in the Federal Register and made available to the media in the areas potentially affected by the proposed action. Verify that after the NOI has been published, scoping procedures begin to determine the relative significance of issues and to what depth they must be addressed in the EIS. Verify that in the scoping process the lead agency: - invites the participation of affected Federal, state, and local agencies, any affected Indian tribe, the proponent of the action and other interested persons unless there is a limited exception as defined by agency regulations - determines the scope and the significant issues to be analyzed in depth in the EIS - identifies and eliminates from detailed study the issues which are not significant or which have been covered by prior environmental review - allocates assignments for preparation of the EIS among the lead and cooperating agencies with the lead agency retaining responsibility for the statement - indicates any public EAs and other EISs which are being or will be prepared that are related but are not part of the scope of the EIS under consideration - identifies other environmental review and consultation requirements so that other analyses and studies may be prepared concurrently with, and integrated with the
O1.5.7.US A draft EIS must be prepared according to a specific format and process. (40 CFR 1502.6 and 1502.9 through 1502.18).	Verify that, for projects directly undertaken by a Federal Agency, the EIS is prepared at the feasibility analysis stage. Verify that a preliminary draft is prepared from the scoping procedure with the following format: - cover sheet: list of responsible agencies; title of proposed action; name, address, and telephone number of the person at the agency who can supply further information; the designation of the statement as draft, final, or draft or final supplement; a one paragraph abstract; date by which comments must be received - summary: must adequately summarize the statement, stressing major conclusions, areas of controversy, and issues to be resolved - table of contents - purpose of and need for action briefly specifying the underlying purpose and need to which the Federal facility is responding in proposing the alter natives including the proposed action - alternatives including the proposed action: explore and objectively evaluate all reasonable alternatives, identify preferred alternative with justification - affected environment: description of the area(s) to be affected or created by the alternatives under considerations - environmental consequences: discussion of direct effects and their significance, indirect effects and their significance, possible conflicts between the proposed action and

O1.5.8.US Public involvement is a required part of the EIS process. (40 CFR 1506.6).	Verify that a diligent effort has been made to involve the public including: - providing public notice of NEPA-related hearings, public meetings, and the availability of environmental documentation such as: - mailing of notices to those who have requested it on an individual action - notice in the Federal Register and mailings to national organizations reasonably expected to be interested if the action is of national concern - notice to the state, local Indian tribes, local newspapers and other local media if the action is of local concern - notice to potentially interested community organizations including small business associations - publication in newsletters that may be expected to reach potentially interested persons - direct mailing to owners and occupants of nearby or affected property - posting of notice on and offsite in the area where the action is to be located - holding or sponsoring public meetings in response to: - substantial environmental controversy or substantial interest in holding the meeting - a request for a hearing by another agency with jurisdiction over the action supported by reasons the hearing would be helpful - soliciting appropriate information from the public - explanations of where individuals can get information or status reports.
O1.5.9.US After the preparation of the draft EIS, comments are required to be requested and obtained from specific individuals. (40 CFR 1502.19 and 1503.1).	Verify that the entire draft and final EIS are circulated to the following: - any Federal agency with jurisdiction by law or special expertise with respect to any environmental impact involved or which is authorized to develop and enforce environmental standards - the applicant, if any - any person, organization, or agency requesting the entire EIS - in the case of a final EIS, any person, organization, or agency which submitted substantive comments. Verify that prior to preparing the final EIS, comments have been obtained of any Federal agency with jurisdiction by law or special expertise with respect to any environmental impact involved or which is authorized to develop and enforce environmental standards. Verify that prior to preparing the final EIS, comments were requested from the following: - appropriate state and local agencies which are authorized to develop and enforce environmental standards - Indian tribes, when the effects may be on a reservation - any agency that has requested that it receives statements on actions of the kind proposed. Verify that comments were requested from the public.
O1.5.10.US When preparing the final EIS specific actions are required. (40 CFR 1503.4).	Verify that, when preparing the final EIS, all comments are assessed and considered and responded to in one of the following ways: - the alternatives are modified, including the proposed action - alternatives not previously given serious consideration by the agency are developed and evaluated - the analysis is supplemented, improved, or modified - an explanation is provided as to why the comments do not warrant further agency response. Verify that all substantive comments received on the draft (or a summary of the comments) are attached to the final statement whether or not the comment is thought to merit individual discussion.
O1.5.11.US Under certain circumstances, supplements to the draft or final EIS must be prepared. (40 CFR 1502.9(c)(1) and 1502.9(c)(4)).	Verify that a supplement is prepared if one of the following occurs: - there are substantial changes made in the proposed action that are relevant to environmental concern - there are significant new circumstances or information relevant to environmental concerns and bearing on the proposed action or its impacts. Verify that the supplement is prepared, circulated, and filed in the same way that a draft and final statement unless alternate procedures have been approved by the Council on Environmental Quality (CEQ).
O1.5.12.US At the time of a decision, a concise public record of decision is required to be prepared. (40 CFR 1505.2).	Verify that the record states what the decision was and: - identifies all alternatives considered in reaching the decision, specifying the alternative or alternatives considered to be environmentally preferable - a statement as to whether all practicable means to avoid or minimize environmental harm from the alternative selected have been adopted, and if not, why not.

O1.5.13.US Specific requirements are required to be met when implementing the record of decision. (40 CFR 1505.3).	Verify that mitigation and other conditions established in the EIS or during its review and committed as a part of the decision are implemented. Verify that appropriate conditions are included in grants, permits, or other approvals. Verify that funding is based on actions of mitigation. Verify that results of relevant monitoring are made available upon request. Verify that appropriate permits and approvals are obtained.
O1.5.14.US A monitoring and enforcement program will be adopted and summarized where applicable for any mitigation. (40 CFR 1502.2(c))[Revised July 2007].	(NOTE: The April 2007 CEQ document Aligning NEPA Processes with EMS: A Guide for NEPA and EMS Practitioners details how monitoring and mitigation commitments made in a ROD or a FONSI can be incorporated into the EMS and carried through the system, see Appendix 6-0.) Determine if any mitigation commitments are made in the NEPA documents. Verify that the mitigation is funded and implemented as planned. Verify that the mitigation actions are effective. Verify that remedies for ineffective mitigation actions are enforced.
O1.5.15.US EISs together with comments and responses must be filed with the EPA. (40 CFR 1506.9)[Added October 2005].	Verify that EISs, together with comments and responses, are filed with the EPA, attention Office of Federal Activities, EIS Filing Section, Ariel Rios Building (South Oval Lobby), Mail Code 2252-A, Room 7220, 1200 Pennsylvania Ave., NW., Washington, DC 20460. (NOTE: The above address is for deliveries by US Postal Service [including USPS Express Mail]. For deliveries in-person or by commercial express mail services, including Federal Express or UPS, the correct address is: US EPA, Office of Federal Activities, EIS Filing Section, Ariel Rios Building (South Oval Lobby), Room 7220, 1200 Pennsylvania Avenue, NW., Washington, DC 20004.) Verify that statements are filed with the EPA no earlier than they are also transmitted to commenting agencies and made available to the public. (NOTE: EPA shall deliver one copy of each statement to the Council, which shall satisfy the requirement of availability to the President.) (NOTE: EPA may issue guidelines to agencies to implement its responsibilities under this section.).
O3.1.4.US The remedial design/remedial action (RD/RA) is required to be in conformance with the remedy selected and set forth in the ROD or other decision document. (40 CFR 300.435).	Verify that the RD/RA activities meet the requirements outlined in the ROD or IAG, including meeting deadlines.
O3.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
O3.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
O3.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.

O4.1.1.US The current status of any ongoing or unresolved consent Orders, Compliance agreements, notice of violations (NOVs), inter agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
O4.1.2.US No later than 1 January 2010, at least 1 renewable fuel pump will be installed at each Federal fleet fueling center in the United States. (Energy Security and Independence Act (ESIA), Section 246)[Added January 2008].	Verify that, no later than 1 January 2010, at least 1 renewable fuel pump is installed at each Federal fleet fueling center in the United States. (NOTE: This does not apply to a DoD fueling center with a fuel turnover rate of less than 100,000 gal/yr of fuel.) (NOTE: The ESIA does not include a definition of the term "Federal fleet fueling center.")
O4.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are Federally regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
O4.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
O4.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.

O4.6.1.US Government agencies are required to increase their purchases of products containing recovered materials. (RCRA, Section 6002(c)(1); 40 CFR 247.2 through 247.17)[Added July 1999; Revised April 2000; Revised July 2000; Revised July 2004; Revised October 2007].	(NOTE: This applies to all procuring agencies and to all procurement actions involving items designated by USEPA, where the procuring agency purchases $10,000 or more worth of one of these items during the course of a fiscal year, or where the cost of such items or of functionally equivalent items purchased during the preceding fiscal year was $10,000 or more. This guideline applies to Federal agencies, to state and local agencies using appropriated Federal funds to procure designated items, and to persons contracting with any such agencies with respect to work performed under such contracts. Federal procuring agencies should note that the requirements of RCRA section 6002 apply to them whether or not appropriated Federal funds are used for procurement of designated items. The $10,000 threshold applies to procuring agencies as a whole rather than to agency subgroups such as regional offices or subagencies of a larger department or agency.) Verify that procured Comprehensive Procurement Guideline (CPG) designated items are composed of the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, considering such guidelines. Verify that, if the purchase of products containing recovered materials does not
O4.6.2.US Contracts for procurement by federal facilities are required to contain specific clauses relating to hazardous materials identification, recovered materials certification, pollution prevention, biobased product content, and Right-to-Know information. (48 CFR 52.223-1 through 52.223-5)[Added July 2001; Revised January 2009].	(NOTE: Title 48 of the Code of Federal Regulations is titled the "Federal Acquisition Regulations System.") Verify that the clauses concerning hazardous material identification, recovered materials certification, biobased product content, and pollution prevention and right-to-know information are included in appropriate contracts. (NOTE: See Appendix 6-2 for the actual text of the clauses Verify that the clauses are enforced.
O4.6.3.US Federal facilities should develop a procurement program for biobased products. (7 CFR 2902.3, 2902.4(a), 2902.4(b), and 2902.5(c))[Added April 2005; Revised April 2006; Revised October 2006; Revised July 2008; Revised January 2010].	(NOTE: Consult http://www.biobased.oce.usda.gov for details on the status of the Biobased Products Preferred Procurement Program.) (NOTE: The guidelines in this checklist item apply to all procurement actions by procuring agencies involving items designated by USDA in this part, where the procuring agency purchases $10,000 or more worth of one of these items during the course of a fiscal year, or where the quantity of such items or of functionally equivalent items purchased during the preceding fiscal year was $10,000 or more. The $10,000 threshold applies to Federal agencies as a whole rather than to agency subgroups such as regional offices or subagencies of a larger Federal department or agency.) (NOTE: This checklist item does not apply to purchases of designated items that are unrelated to or incidental to Federal funding; i.e., not the direct result of a contract or agreement with persons supplying items to a procuring agency or providing support services that include the supply or use of items.) (NOTE: The following applications are exempt from the preferred procurement requirements: military equipment which is defined as products or systems designed or procured for combat or combat-related missions spacecraft systems and launch support
O4.6.5.US In the case of electric motors of 1 to 500 horsepower, only premium efficient motors that meet a specification designated by the Secretary of Energy will be selected and purchased as of 18 August 2006. (Energy Policy Act (EPACT) of 2005, Section 104(a))[Added October 2006].	Verify that, in the case of electric motors of 1 to 500 horsepower, only premium efficient motors that meet the specification designated by the Secretary of Energy are selected and purchased. (NOTE: See Appendix 6-2a for DOE specifications.)

O4.6.6.US Only external standby powers devices using no more than one watt in their standby power consuming mode will be purchased. (E.O. 13221, Section 1)[Added October 2006].	Verify that, when purchasing commercially available, off-the-shelf products that use external standby power devices, or that contain an internal standby power function, the products purchased will use no more than one watt in their standby power consuming mode. (NOTE: If such products are not available, purchase products with the lowest standby power wattage while in their standby power consuming mode.) (NOTE: Agencies shall adhere to these requirements, when life-cycle cost-effective and practicable and where the relevant product's utility and performance are not compromised as a result. Annually the DoE, in consultation with the Department of Defense and the General Services Administration, compiles a preliminary list of products to be subject to these requirements.)
O4.6.7.US ENERGY STAR®-qualified or FEMP-designated products will be chosen when acquiring energy-using products. (10 CFR 436.40, 436.42, 436.43 and 48 CFR 23.203(a)(1)(i), 23.203(a)(2), 23.203(b), 23.204, and 23.206)[Added October 2006; Citation Revised January 2007; Revised January 2008, Revised April 2009].	(NOTE: Title 48 of the Code of Federal Regulations is titled the "Federal Acquisition Regulations System.") Verify that the procurement of ENERGY STAR and FEMP designated products is required in new service contracts and other existing service contracts as they are recompeted. Verify that, to the extent possible, ENERGY STAR and FEMP designated product requirements and preferences into existing contracts as they are modified or extended through options. Verify that, when acquiring energy using products listed in ENERGY STAR(Program or the Federal Energy Management Program (FEMP), ENERGY STAR(or FEMP products are purchased. Verify that the use of ENERGY STAR(or other energy-efficient items listed on the FEMP Product Energy Efficiency Recommendations product list is included when contracting for services or construction. Verify that criteria for energy efficiency that are consistent with the criteria used for rating qualified products are included in the factors for the evaluation of: offers received for procurements involving covered products offers received for construction, renovation, and services contracts that include provisions for covered products. Verify that the use of ENERGY STAR and FEMP products are considered in the following circumstances:
O4.6.8.US Procurement of products that consume power in a standby mode and are listed on FEMP's Standby Power Devices product listing must be done according to specific parameters. (48 CFR 23.203(a)(1)(ii), 23.203(b), and 23.204)[Added October 2006; Revised January 2008].	(NOTE: Title 48 of the Code of Federal Regulations is titled the "Federal Acquisition Regulations System.") Verify that, for products that consume power in a standby mode and are listed on FEMP's Standby Power Devices product listing, agencies do one of the following: purchase items which meet FEMP's standby power wattage recommendation or document the reason for not purchasing such items if FEMP has listed a product without a corresponding wattage recommendation, purchase items which use no more than one watt in their standby power consuming mode. (NOTE: When it is impracticable to meet the one watt requirement, agencies shall purchase items with the lowest standby wattage practicable.) (NOTE: The FEMP Standby Power Devices product listing is available at http://www.eere.energy.gov/femp/procurement/eep_standby_power.cfm.) (NOTE: Procurement of an Energy Star(product or FEMP-designated product is not required if one of the following is true and is documented in writing: no Energy Star(or FEMP-designated product is cost-effective over the life of the product taking energy cost savings into account no Energy Star(or FEMP-designated product is reasonably available that meets the functional requirements of the agency.)
O4.6.10.US Clauses related to EPEAT are required to be included solicitations and contracts. (48 CFR 23.705(c) and 23.706)[Added January 2008].	Verify that the clauses in Appendix 6-2b (FAR 52.223-10, Waste Reduction Program) are included in all solicitations and contracts for contractor operation of Government-owned or -leased facilities and all solicitations and contracts for support services at Government-owned or -operated facilities. Verify that, unless there is an approved exemption from the agency, the clause at 52.223-16, IEEE 1680 Standard for the Environmental Assessment of Personal Computer Products (see Appendix 6-2b), is inserted in all solicitations and contracts for: personal computer products services that require furnishing of personal computer products for use by the Government contractor operation of Government-owned facilities. (NOTE: Agencies may use the clause with its Alternate I when there are sufficient EPEAT Silver registered products available to meet agency needs.) (NOTE: Agencies will establish procedures for granting exceptions to the use of EPEAT.) (NOTE: This is effective as of December 26, 2007.)

O4.6.11.US When life-cycle cost effective, an energy-savings performance contract (ESPC) must be used to reduce energy use and cost at facilities and operations. (48 CFR 23.204(a))[Added January 2008].	Verify that, when life-cycle cost effective, an energy-savings performance contract (ESPC) is used to reduce energy use and cost at facilities and operations.
O4.6.12.US When acquiring light duty motor vehicles or medium duty passenger vehicles, a low greenhouse gas emitting vehicle must be procured. (Energy Policy Act of 1992 as amended by the Energy Security and Independence Act (ESIA), Section 141)[Added January 2008, Revised April 2009].	(NOTE: For this checklist item, the term "Federal agency" does not include any office of the legislative branch, except in certain instances members of the House of Representatives.) (NOTE: See 41 CFR 102-34 for GSA acquisition and operation requirements. The updated version of these regulations is available at http://edocket.access.gpo.gov/2009/E9-6152.htm.) (NOTE: A Medium duty Passenger Vehicle means a vehicle which would satisfy the criteria in 49 CFR 523.5 (relating to light trucks) but for its gross vehicle weight rating or its curb weight, which is rated at more than 8,500 lbs GVWR or has a vehicle curb weight of more than 6,000 lbs or has a basic vehicle frontal area in excess of 45 ft2, and which is designed primarily to transport passengers, but does not include a vehicle that meets one of the following: - is an "incomplete truck" as defined in 49 CFR - has a seating capacity of more than 12 persons - is designed for more than 9 persons in seating rearward of the driver's seat - is equipped with an open cargo area (for example, a pick-up truck box or bed) of 72.0 inches in interior length or more. A covered box not readily accessible from the passenger compartment will be considered an open cargo area for purposes of this definition.) Verify that no Federal agency acquires a light duty
O4.9.1.US Actions will be taken to maximize the efficiency of air conditioning and refrigeration equipment. (EPACT 2005 Section 104(a))[Added October 2006].	Verify that facilities take actions to maximize the efficiency of air conditioning and refrigeration equipment, including appropriate cleaning and maintenance. Verify that facilities use any system treatment or additive that will reduce the electricity consumed by air conditioning and refrigeration equipment. Verify that any such treatment or additive is: determined by the Secretary to be effective in increasing the efficiency of air conditioning and refrigeration equipment without having an adverse impact on air conditioning performance (including cooling capacity) or equipment useful life determined by the Administrator of the EPA to be environmentally safe shown to increase seasonal energy efficiency ratio (SEER) or energy efficiency ratio (EER) when tested by the National Institute of Standards and Technology according to Department of Energy test procedures without causing any adverse impact on the system, system components, the refrigerant or lubricant, or other materials in the system. (NOTE: For purposes of this checklist item, a hardware device or primary refrigerant shall not be considered an additive.)
O5.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.

O5.2.1.US Federal facilities are required to comply with all applicable regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the Federal facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the Federal facility is in compliance with all applicable and newly issued regulations.
O5.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
O5.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
O6.150.1.US Permanent contamination of real property by final disposal of ammunition and explosives or chemical agents is prohibited. (DoD 6055.9-STD, para C12.2.4)[Added April 2003, Revised April 2009].	(NOTE: The particular policies and procedures outlined in this checklist item are necessary to provide protection to personnel as a result of DoD ammunition, explosives, or chemical agent contamination of real property currently and formerly owned, leased, or used by the DoD.) Verify that there is no disposal (e.g., burying, dumping) of military munitions on land or in water except when specifically authorized by the DoD Component. Verify that authorized disposal actions comply with applicable regulatory requirements. (NOTE: This disposal prohibition does not preclude: the covering of munitions with earth to control fragments and noise during authorized destruction by detonation the use of in situ capping when implemented as an engineered remedy under an authorized response action.
O6.150.3.US Installations are required to manage property contaminated with ammunition, explosives or chemical agents according to certain parameters. (DoD 6055.9-STD, para C12.2.1, C12.2.2, C12.2.3, and C12.3.1)[Added April 2003, Revised April 2009].	Verify that, in order to ensure explosives and CA safety risk is identified and controlled on real property currently or formerly under the jurisdiction, custody, or control of a DoD Component, DoD Components: - identify all areas known or suspected to present explosive or CA hazards (Geographic Information Systems [GIS] should be used): - in installation master plans for active installations (NOTE: In some cases, these areas are also required to be identified in other documents) - in DoD's Military Munitions Response Site Inventory for those sites that are included in the Military Munitions Response Program (see Management Guidance for the Defense Environmental Restoration Program (DERP) (Reference (ag)) and 10 U.S.C. 2710(a) (Reference (ah))) - maintain permanent records of those areas identified as contaminated and ensure such records are readily available to current and future users of the property - retain records for areas such as operational ranges, former ranges, current or former munitions manufacturing facilities, current or former sites used for munitions demilitarization activities, and locations previously used for the burial of munitions. Verify that records include: - when practicable, the nomenclature and the known or suspected location - a summary of any clearance

PM.1.2.US No person can distribute or sell any pesticide product that is not registered under FIFRA. (40 CFR 152.15, 152.30, and 155.25)[Revised October 2001].	Verify that no person distributes or sells any pesticide product that is not registered under FIFRA. (NOTE: A pesticide is any substance (or mixture of substances) intended for a pesticidal purpose, i.e., use for the purpose of preventing, destroying, repelling, or mitigating any pest or use as a plant regulator, defoliant, or desiccant. A substance is considered to be intended for a pesticidal purpose, and thus to be a pesticide requiring registration, if: - the person who distributes or sells the substance claims, states, or implies (by labeling or otherwise) one of the following: - that the substance (either by itself or in combination with any other substance) can or should be used as a pesticide - that the substance consists of or contains an active ingredient and that it can be used to manufacture a pesticide - the substance consists of or contains one or more active ingredients and has no significant commercially valuable use as distributed or sold other than: - use for pesticidal purpose (by itself or in combination with any other substance) - use for manufacture of a pesticide - the person who distributes or sells the substance has actual or constructive knowledge that the substance will be used, or is intended to be used, for a pesticidal purpose.) (NOTE: See Appendix 7-1a for exempted pesticides.) (NOTE: An
PM.1.3.US Federal and state agencies are required to use pesticides in accordance with their labels unless an emergency exemption has been granted by the USEPA or a crisis exemption by the appropriate authority. (40 CFR 166.1, 166.2, 166.20, 166.28, 166.32, 166.45, and 166.50)[Revised May 1997; Revised October 2001].	Verify that pesticides are used in accordance with label instructions unless one or more of the following emergency conditions exist: - specific exemptions may be authorized to avoid conditions of: - significant economic loss - significant risk to threatened or endangered species - significant risk to beneficial organisms - significant risk to the environment - quarantine exemptions may be authorized to control the introduction or spread of any pest new to or unknown to be widespread throughout the United States and its territories - public health exemptions may be authorized to control a pest that imposes significant risk to human health - crisis exemptions may be utilized when the time constraint between discovery and implementation of pesticide use will not allow a specific, quarantine, or public health exemption to be issued. Verify that applications for exemptions are submitted to the regional administrator in writing and include: - identity of contact persons - a description of the pesticide - the proposed use - any alternative means of control and why those means are not feasible - effectiveness of proposed use - discussion of residues for food uses - discussion of risk information - coordination with other affected state or Federal agencies - notification of registrant or basic manufacturer -
PM.1.4.US Every pesticide product is required to be labeled with specific information. (40 CFR 156.10(a))[Added January 1999; Reviewed September 2000].	Verify that every pesticide product has a label that clearly shows the following: - the name, brand, or trademark under which the product is sold - the name and address of the producer, registrant, or person for whom it was produced - the net contents - the product registration number - the producing establishment number - an ingredient statement - warning or precautionary statements - the directions for use. Verify that all words, statements, graphic representations, designs, or other information are clearly legible to a person with normal vision and are places with such conspicuousness and expressed in terms such that it is likely to be read and understood by the ordinary individual under customary conditions of purchase and use.
PM.1.5.US An experimental use permit is required in certain situations. (40 CFR 172.2 and 172.3)[Added October 2001].	Verify that any person accumulating information necessary to register a pesticide not registered with USEPA or register a pesticide for a use not previously approved in the registration of the pesticide has an experimental use permit. Verify that pesticides under experimental use permits are not sold or distributed other than through participants and, if sold or distributed through participants, are used only at an application site of a cooperator and in accordance with the terms and conditions of the experimental use permit. (NOTE: It may be presumed that EUPs are not required when: - the experimental use of the pesticide is limited to: - laboratory or greenhouse tests - limited replicated field trials to confirm such tests - other tests whose purpose is only to assess the pesticide's potential efficacy, toxicity, or other properties - the producer, applicator, or any other person conducting the test does not expect to receive any benefit in pest control from the pesticide's use.) (NOTE: The following types of experimental tests are presumed not to need an EUP: - a small-scale test involving use of a particular pesticide conducted on a cumulative total of no more than 10 acres of land per pest, except that: - when testing for more than one target pest occurs at the same time and in the same locality, the 10 acre

PM.1.6.US Applications for experimental use permits are required to meet specific parameters. (40 CFR 172.4 and 172.9)[Added October 2001].	Verify that, an application or request for amendment to an existing EUP is submitted in triplicate to the Registration Division, Office of Pesticide Programs, Environmental Protection Agency, Washington, DC 20460, as far as possible in advance of the intended date of shipment or use. Verify that the application includes: - the name and address of the applicant - the registration number of the product, if registered - the purpose or objectives of the proposed testing; a description in detail of the proposed testing program including test parameters; a designation of the pest organism(s) involved; the amount of pesticide product proposed for use; the crops, fauna, flora, sites, modes, dosage rates, and situation of application on or in which the pesticide is to be used; the states in which the proposed program will be conducted; the number of acres, number of structural sites, or number of animals by state to be treated or included in the area of experimental use; the proposed dates or period(s) during which the testing program is to be conducted; and the manner in which supervision of the program will be accomplished - the name, street address, telephone number, and qualifications of all participants in the program (whether or not in the employ of the applicant) - the name and street
PM.1.7.US EUP programs are subject to surveillance and reporting requirements. (40 CFR 172.8)[Added October 2001].	Verify that the permittee supervises the test program and evaluates the results of testing at each site of application. Verify that the permittee immediately reports to the USEPA or authorized regulatory agency, or to any person designated by USEPA or authorized regulatory agency, any adverse effects from use of, or exposure to, the pesticide. Verify that a final report is submitted to the Registration Division within 180 days after the expiration of the permit, unless a request for extension of time is approved, and the report includes: - all data gathered during the testing program; field notes need not be submitted but must be maintained and submitted upon request - a description of the disposition of any pesticide containers and any unused pesticides including amounts disposed of and the method and site of disposition - the method of disposition of affected food and/or feed. (NOTE: The data gathered during the testing program may be submitted as part of an application for registration submitted within 180 days after the expiration of the permit, provided that the final report includes a statement that such application has been made, and the date of such application.) (NOTE: Testing intended to support a registration must be conducted in accordance with the Good Laboratory Practice Standards (40
PM.1.8.US Any person who plans to conduct small-scale testing of a type of microbial pesticide must submit a Notification to USEPA and obtain prior approval. (40 CFR 172.45 through 172.48)[Added October 2001].	Verify that individuals who plan to conduct small-scale testing of a type of microbial pesticide submit a Notification to USEPA and obtain prior approval for either of the following tests: - small-scale tests that involve an intentional environmental introduction of that microbial pesticide - small-scale tests performed in a facility without adequate containment and inactivation controls. (NOTE: Instead of a Notification, individuals may submit an application for an experimental use permit (EUP) to USEPA for approval.) (NOTE: This requirement applies to either of the following microbial pesticides: - microbial pesticides whose pesticidal properties have been imparted or enhanced by the introduction of genetic material that has been deliberately modified - nonindigenous microbial pesticides that have not been acted upon by the USDA (i.e., either by issuing or denying a permit or determining that a permit is unnecessary; or a permit is not pending with the USDA). (NOTE: Microbial pesticides resulting from deletions or rearrangements within a single genome that are brought about by the introduction of genetic material that has been deliberately modified are exempt from the notification requirement.) (NOTE: Testing conducted in a facility with adequate containment and
PM.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this check list. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities which are Federally regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.

PM.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
PM.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
PM.5.1.US Commercial or Private applicators of restricted-use pesticides must be certified to apply restricted-use pesticides. (40 CFR 171.4, 171.5, 171.9)[Revised October 2001].	Determine if personnel apply restricted-use pesticides (see Appendix 7-1). Verify that commercial applicators of restricted-use pesticides have passed a written exam, and, as appropriate, performance testing. Verify that they are certified for both general use and each category (see definitions) or subcategory, if any, in which they are working. (NOTE: See Appendix 7-2 and Appendix 7-3 of this document for the general standards and category specific standards.) (NOTE: These commercial applicator standards do not apply to the following persons: - persons conducting laboratory type research involving restricted use pesticides - Doctors of Medicine and Doctors of Veterinary Medicine applying pesticides as drugs or medication during the course of their normal practice.) Verify that private applicators of restricted use pesticides are certified. Verify that a private applicator shows that he possesses a practical knowledge of the pest problems and pest control practices associated with his agricultural operations; proper storage, use, handling and disposal of the pesticides and containers; and his related legal responsibility. Verify that the practical knowledge includes the ability to: - recognize common pests to be controlled and damage caused by them - read and understand the label
PM.5.2.US Supervision of noncertified applicators is required to be executed according to specific parameters. (40 CFR 171.6)[Added October 2001].	Verify that, when necessary, noncertified applicators are supervised by certified private or commercial applicators. (NOTE: The availability of the certified applicator is directly related to the hazard of the situation. In many situations, where the certified applicator is not required to be physically present, "direct supervision" shall include verifiable instruction to the competent person, as follows: - detailed guidance for applying the pesticide properly - provisions for contacting the certified applicator in the event he is needed. In other situations, and as required by the label, the actual physical presence of a certified applicator may be required when application is made by a noncertified applicator.) Verify that certified applicators whose activities indicate a supervisory role demonstrate a practical knowledge of federal and state supervisory requirements, including labeling, regarding the application of restricted use pesticides by noncertified applicators.
PM.10.1.US The use of pesticides must not jeopardize the existence of threatened or endangered species. (50 CFR 402.01).	Determine what measures are taken to ensure that threatened or endangered species are not impacted. Verify that applications are made according to label instructions regarding the protection of endangered species. (NOTE: Refer to the checklist items on endangered species in Natural Resources Management.)

PM.40.1.US Certified applicators of restricted-use pesticides are required to keep application records. (7 CFR 110.3)[Revised February 1995; Moved January 2005].	(NOTE: This was previously PM.10.2.US.) Verify that the certified applicators keep records with the following information: the brand or product name, and the USEPA registration number of the restricted-use pesticide that was applied - the total amount of the restricted-use pesticide that was applied - the location of the application, the size of the area treated, and the crop, commodity, stored product, or site to which a restricted-use pesticide was applied - the month, day, and year of the application - the name and certification number of the certified applicator who applied or supervised the application. Verify that the following information is kept for applications of restricted-use pesticides made on the same day in a total areas of less than one-tenth of an acre: - brand or product name and USEPA registration number - total amount applied - location, designated as "spot application," followed by a concise description of location and treatment - the amount, day, and year of application. Verify that the information is recorded within 14 days of the application. Verify that these application records are retained for 2 yr. Verify that commercial applicators provide a copy of the records within 30 days. (NOTE: State and local standards may differ for this requirement. DOD policy requires pesticides applicators to keep
PM.45.2.US Pesticide storage, mixing and preparation facilities must provide structures and procedures to ensure safety of personnel. (29 CFR 1910.133 and 1910.134)[Revised December 1997].	Determine if a ventilation system is specifically provided for all indoor pesticide mixing/preparation areas. Verify that personal protective clothing and equipment is provided and used by pest management personnel. The following equipment depends upon magnitude and type of operations: - respirators - masks - gloves - safety shoes - coveralls - specialized personal protective equipment for fumigation. Verify that operations include health and safety procedures emphasizing good work habits, reduction or elimination of hazards, and use of personal protective equipment. (NOTE: Storage areas must also meet the general requirements for the storage of hazardous materials found in 29 CFR 1910.106, see Section 3, Hazardous Materials Management.)
PM.45.3.US Containment for pesticide containers and pesticide dispensing areas must meet specific requirements by 17 August 2009. (40 CFR 165.80 and 165.81)[Added October 2006, Revised January 2009].	(NOTE: This checklist item applies if you are an owner or operator of one of the following businesses and if you also have a stationary pesticide container or a pesticide dispensing (including container refilling) area: refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more than 50% of total annual revenue comes from retail operations) custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that stationary pesticide containers have a secondary containment unit unless any of the following conditions exists: the container is empty, that is, all pesticide that can be removed by methods such as draining, pumping or aspirating has been removed (whether or not the container has been rinsed or washed) the container holds only pesticide rinsates or wash waters, and is labeled accordingly the container holds only pesticides which would be gaseous when released at atmospheric
PM.45.4.US Containment for pesticide dispensing areas must meet specific requirements by 17 August 2009. (40 CFR 165.80, 165.81(b) and 165.82)[Added October 2006, Revised January 2009].	(NOTE: This checklist item applies if you are an owner or operator of one of the following businesses and if you also have a stationary pesticide container (see definitions) or a pesticide dispensing (including container refilling) area: - refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more than 50% of total annual revenue comes from retail operations) custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that a pesticide dispensing area has a containment pad if any of the following activities occur: refillable containers of agricultural pesticide are emptied, cleaned or rinsed agricultural pesticides are dispensed from a stationary pesticide container designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1818 kg) of dry pesticide for any purpose, including refilling or emptying for

PM.45.5.US New containment structures must meet certain parameters. (40 CFR 165.80, 165.81(b), and 165.85)[Added October 2006, Revised January 2009].	(NOTE: This checklist item applies if to owners or operators of one of the following businesses if they also have a stationary pesticide container (see definitions) or a pesticide dispensing (including container refilling) area: refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more than 50% of total annual revenue comes from retail operations) custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that new containment structures consist of the following construction materials: steel, reinforced concrete or other rigid material capable of withstanding the full hydrostatic head, load and impact of any pesticides, precipitation, other substances, equipment and appurtenances placed within the structure, and: the structure liquid-tight with cracks, seams and joints are appropriately sealed materials compatible with the pesticides stored. (NOTE: In this case, compatible
PM.45.6.US Existing containment structures must meet certain parameters. (40 CFR 165.80 and 165.87)[Added October 2006].	(NOTE: This checklist item applies if to owners or operators of one of the following businesses if they also have a stationary pesticide container or a pesticide dispensing (including container refilling) area: refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more that 50% of total annual revenue comes from retail operations). custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that, for existing containment structures the following material specifications are used: the containment structure is constructed of steel, reinforced concrete or other rigid material capable of withstanding the full hydrostatic head, load and impact of any pesticides, precipitation, other substances, equipment and appurtenances placed within the structure the structure is liquid-tight with cracks, seams and joints appropriately sealed the containment structure is made of materials
PM.45.7.US The operation and maintenance of all new and existing pesticide containment structures must meet specific parameters. (40 CFR 165.80, 165.81(b), and 165.90)[Added October 2006, Revised January 2009].	(NOTE: This checklist item applies if to owners or operators of one of the following businesses if they also have a stationary pesticide container (see definitions) or a pesticide dispensing (including container refilling) area: refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more that 50% of total annual revenue comes from retail operations). custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that new and existing pesticide containment structures are managed in a manner that prevents pesticides or materials containing pesticides from escaping from the containment structure (including, but not limited to, pesticide residues washed off the containment structure by rainfall or cleaning liquids used within the structure). Verify that pesticide spills and leaks on or in any containment structure are collected and recovered in a manner that ensures

PM.45.8.US In situations where both a containment pad and a secondary containment unit are needed, certain requirements must be met. (40 CFR 165.80 and 165.92)[Added October 2006].	(NOTE: This checklist item applies if to owners or operators of one of the following businesses if they also have a stationary pesticide container or a pesticide dispensing (including container refilling) area: refilling establishments who repackage agricultural pesticides and whose principal business is retail sale (i.e., more that 50% of total annual revenue comes from retail operations). custom blenders of agricultural pesticides. businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that, if both a containment pad and a secondary containment unit are used as an integrated system, the requirements in 40 CFR 165.85, 165.87, and 165.90 are met.
PM.45.9.US Records must be kept for each containment structure and for each stationary pesticide container. (40 CFR 165.80, 165.81(b), and 165.95)[Added October 2006, Revised January 2009].	(NOTE: This checklist item applies if to owners or operators of one of the following businesses if they also have a stationary pesticide container (see definitions) or a pesticide dispensing (including container refilling) area: - refilling establishments who repackage agricultural pesticides - and whose principal business is retail sale (i.e., more than 50% of total annual revenue comes from retail operations) - custom blenders of agricultural pesticides. - businesses which apply an agricultural pesticide for compensation (other than trading of personal services between agricultural producers). This checklist item applies to stationary pesticide containers designed to hold undivided quantities of agricultural pesticides equal to or greater than 500 gal (1890 L) of liquid pesticide or equal to or greater than 4000 lb (1,818 kg) of dry pesticide.) Verify that records of inspection and maintenance for each containment structure and for each stationary pesticide container and its appurtenances are kept for 3 yr and include the following information: - name of the person conducting the inspection or maintenance - date the inspection or maintenance was conducted - conditions noted - specific maintenance performed. Verify that records for any non-stationary pesticide container designed to hold undivided
PO.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreement, or equivalent state enforcement actions.
PO.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.

PO.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
PO.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
PO.5.1.US Certain non-transportation-related onshore or offshore facilities that store, transport, or dispense petroleum products are required to prepare an SPCC Plan. (40 CFR 112.1(b), 112.1(d), 112.1(f), 112.3(a) through 112.3(c), 112.3(f), and 112.4)[May 1997; Revised July 2002; Revised January 2003; Revised April 2003; Revised October 2004; Revised January 2006; Revised January 2007; Revised July 2007; Revised January 2009; Revised January 2010].	(NOTE: These requirements apply to any owner or operator of a non-transportation-related onshore or offshore facility engaged in drilling, producing, gathering, storing, processing, refining, transferring, distributing, using, or consuming oil and oil products, which due to its location, could reasonably be expected to discharge oil in quantities that may be harmful, into or upon the navigable waters of the United States or adjoining shorelines, or into or upon the waters of the contiguous zone, or in connection with activities under the Outer Continental Shelf Lands Act or the Deepwater Port Act of 1974, or that may affect natural resources belonging to, appertaining to, or under the exclusive management authority of the United States (including resources under the Magnuson Fishery Conservation and Management Act) that has oil in: - any aboveground container - any completely buried tank (see definitions) - any container that is used for standby storage, for seasonal storage, or for temporary storage, or not otherwise "permanently closed" (see definitions) - any "bunkered tank" or "partially buried tank" (see definitions), or any container in a vault, each of which is considered an aboveground storage container for purposes of 40 CFR 112.) (NOTE: The 40 CFR 112 definition of "navigable waters of the United States" has been revised in November 2008, see the definitions.) Verify that the owner or operator of an onshore or offshore facility prepares in writing and implements a SPCC Plan. Verify that, if the onshore or offshore facility
PO.5.2.US The SPCC Plan is required to contain specific information. (40 CFR 112.1(b), 112.1(d), and 112.7(a), 112.7(b), 112.7(d), and 112.7(j))[Revised July 2002; Revised July 2004; Revised January 2007; Revised January 2009; Revised January 2010].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for applicability and exemptions.) Verify that the SPCC Plan is prepared in writing in accordance with good engineering practices. Verify that the SPCC Plan has the full approval of management at a level of authority to commit the necessary resources to fully implement the SPCC Plan. (NOTE: If the SPCC Plan does not follow the sequence specified in this checklist item, the facility must prepare an equivalent SPCC Plan acceptable to the Regional Administrator that meets all of the applicable requirements listed in this checklist, and the facility must supplement it with a section cross-referencing the location of requirements listed in this checklist item and the equivalent requirements in the other prevention plan.) Verify that, if the SPCC Plan calls for additional facilities or procedures, methods, or equipment not yet fully operational, these items are discussed in separate paragraphs, and the details of installation and operational start-up are explained. Verify that the SPCC Plan includes the physical layout of the facility and a facility diagram, which marks the location and contents of each fixed oil storage container and the storage area where mobile or portable containers are located. Verify that the facility diagram identifies the location of and marks

PO.5.3.US Each SPCC Plan must be reviewed at least once every 5 yr. (40 CFR 112.1(b), 112.1(d), and 112.5(b))[Revised July 2002; Citation Revised January 2009; Citation Revised January 2010].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for applicability and exemptions.) Verify that the SPCC Plan is reviewed and evaluated at least once every 5 yr from the date the facility becomes subject to 40 CFR 112. (NOTE: If the facility was in operation on or before 16 August 2002, 5 yr from the date the last review was required under 40 CFR 112.) Verify that the SPCC Plan is amended within 6 mo of the review to include more effective prevention and control technology if the technology has been field-proven at the time of the review and will significantly reduce the likelihood of a discharge from the facility. Verify that any amendment is implemented as soon as possible, but not later than 6 mo following preparation of any amendment. Verify that the completion of the review and evaluation is documented and a statement signed as to whether the SPCC Plan will be amended. (NOTE: The statement can be either at the beginning or end of the SPCC Plan or in a log or an appendix to the SPCC Plan. The following words will suffice, "I have completed review and evaluation of the SPCC Plan for (name of facility) on (date), and will (will not) amend the Plan as a result.")
PO.5.4.US The SPCC Plan must be reviewed and/or amended under specific circumstances. (40 CFR 112.1(b), 112.1(d), and 112.5(a))[February 1995; Revised July 2002].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on what the requirements of 40 CFR 112 do and do not apply to.) Verify that the SPCC Plan is amended when there is a change in the facility design, construction, operation, or maintenance that materially affects its potential for a discharge as described in 40 CFR 112.1(b). (NOTE: Examples of changes that may require amendment of the SPCC Plan include, but are not limited to: commissioning or decommissioning containers; replacement, reconstruction, or movement of containers; reconstruction, replacement, or installation of piping systems; construction or demolition that might alter secondary containment structures; changes of product or service; or revision of standard operation or maintenance procedures at a facility.) Verify that an amendment is prepared within 6 mo and implemented as soon as possible, but not later than 6 mo following preparation of the amendment.
PO.5.5.US A registered professional engineer must certify each SPCC Plan and any amendments and the plan and each amendment must be prepared according to sound engineering practices. (40 CFR 112.1(b), 112.1(d), 112.3(d), 112.3(g), 112.5(e), and 112.6(d))[February 1995; Revised July 2002; Revised January 2007; Revised January 2009; Revised January 2010].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for applicability and exemptions) Verify that, except as provided in 40 CFR 112.6 (see below in this checklist item and PO.5.9.US, and PO.20.6.US) for qualified facilities, a licensed Professional Engineer (PE) reviews and certifies an SPCC Plan for it to be effective to satisfy the requirements of 40 CFR 112. (NOTE: By means of this certification the PE attests: - that he is familiar with the requirements of 40 CFR 112 - that he or his agent has visited and examined the facility - that the SPCC Plan has been prepared in accordance with good engineering practice, including consideration of applicable industry standards, and with the requirements of 40 CFR 112 - that procedures for required inspections and testing have been established - that the SPCC Plan is adequate for the facility that, if applicable, for a produced water container subject to 40 CFR 112.9(c)(6) [at onshore oil production facilities], any procedure to minimize the amount of free-phase oil is designed to reduce the accumulation of free-phase oil and the procedures and frequency for required inspections, maintenance and testing have been established and are described in the Plan.) (NOTE: By means of this certification the PE attests the following for SPCC at onshore oil
PO.5.6.US When an SPCC Plan is required, a copy of the SPCC Plan is required to be available. (40 CFR 112.1(b), 112.1(d), and 112.3(e))[Revised July 2002].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on what the requirements of 40 CFR 112 do and do not apply to.) Verify that the owner or operator of a facility for which an SPCC Plan is required maintains a complete copy of the SPCC Plan at the facility if the facility is normally attended at least 4 h/day, or at the nearest field office if the facility is not so attended. Verify that the SPCC Plan is available to the Regional Administrator for on-site review during normal working hours.

PO.5.7.US Oil-handling personnel are required to be trained to prevent discharges. (40 CFR 112.1(b), 112.1(d), and 112.7(f))[Revised July 2002].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on what the requirements of 40 CFR 112 do and do not apply to.) Verify that, at a minimum, the facility trains oil-handling personnel in: - the operation and maintenance of equipment to prevent discharges - discharge procedure protocols - applicable pollution control laws, rules, and regulations - general facility operations - the contents of the facility SPCC Plan. Verify that a person is designated at each applicable facility who is accountable for discharge prevention and who reports to facility management. Verify that discharge prevention briefings are scheduled and conducted for oil-handling personnel at least once a year to assure adequate understanding of the SPCC Plan for that facility. Verify that briefings highlight and describe known discharges or failures, malfunctioning components, and any recently developed precautionary measures.
PO.5.8.US When a facility is required to comply with 40 CFR 112 due to discharges of oil, certain parameters are required to be met. (40 CFR 112.4)[Added July 2002].	(NOTE: A facility becomes subject to 40 CFR 112 when it has done one of the following: - discharged more than 1,000 U.S. gal of oil in a single discharge - discharged more than 42 U.S. gal of oil in each of two discharges occurring within any 12 mo period.) Verify that a facility which becomes subject to 40 CFR 112 due to discharges submits the following information to the Regional Administrator within 60 days from the time the facility becomes subject to 40 CFR 112: - name of the facility - your name - location of the facility - maximum storage or handling capacity of the facility and normal daily throughput - corrective action and countermeasures taken, including a description of equipment repairs and replacements - an adequate description of the facility, including maps, flow diagrams, and topographical maps, as necessary - the cause of such discharge, including a failure analysis of the system or subsystem in which the failure occurred - additional preventive measures taken or contemplated to minimize the possibility of recurrence - such other information as the Regional Administrator may reasonably require pertinent to the Plan or discharge. (NOTE: These requirements do not apply until the expiration of the time permitted for the initial preparation and implementation of the
PO.5.9.US If the owner or operator of a Tier I qualified facility chooses to self-certify their SPCC Plan, specific parameters must be met. (40 CFR 112.3(g), 112.6(a))[Added January 2007, Revised January 2009; Revised January 2010].	(NOTE: A qualified facility is one that meets one of the following Tier I or Tier II qualified facility criteria: - a Tier I qualified facility meets the qualification criteria for Tier II qualified facilities and has no individual aboveground oil storage container with a capacity greater than 5,000 U.S. gal - a Tier II qualified facility is one that has had no single discharge exceeding 1,000 U.S. gal or no two discharges each exceeding 42 U.S. gal within any 12 mo period in the 3 yr prior to the SPCC Plan self-certification date, or since becoming subject to 40 CFR 112 if the facility has been in operation for less than 3 years (other than discharges that are the result of natural disasters, acts of war, or terrorism), and either: - has an aggregate aboveground oil storage capacity of 10,000 U.S. gal or less - is an onshore oil production facility with: - no more than two producing wells per single tank battery, each of which produce ten bbl or less of crude oil per well per day, if the facility has an injection well; or - no more than four producing wells per single tank battery, each of which produce ten barrels or less of crude oil per well per day, and with no injection wells at the facility.) Verify that the owner or operator
PO.5.10.US Written procedures must be developed and implemented for inspections and tests required by 40 CFR 112. (40 CFR 112.7(e))[Added July 2008].	Verify that inspections and tests required by 40 CFR 112 are done in accordance with written procedures that the facility or the certifying engineer developed for the facility. Verify that the written procedures and a record of the inspections and tests, signed by the appropriate supervisor or inspector, are kept with the SPCC Plan for a period of 3 yr. (NOTE: Records of inspections and tests kept under usual and customary business practices will suffice.)

PO.5.11.US If the owner or operator of a Tier II qualified facility chooses to self-certify their SPCC Plan, specific parameters must be met. (40 CFR 112.3(g), 112.6(b))[Added January 2009; Revised January 2010].	(NOTE: A qualified facility is one that meets one of the following Tier I or Tier II qualified facility criteria: - a Tier I qualified facility meets the qualification criteria for Tier II qualified facilities and has no individual aboveground oil storage container with a capacity greater than 5,000 U.S. gal - a Tier II qualified facility is one that has had no single discharge exceeding 1,000 U.S. gal or no two discharges each exceeding 42 U.S. gal within any 12 mo period in the 3 yr prior to the SPCC Plan self-certification date, or since becoming subject to 40 CFR 112 if the facility has been in operation for less than 3 years (other than discharges that are the result of natural disasters, acts of war, or terrorism), and either: - has an aggregate aboveground oil storage capacity of 10,000 U.S. gal or less - is an onshore oil production facility with: - no more than two producing wells per single tank battery, each of which produce ten bbl or less of crude oil per well per day, if the facility has an injection well - no more than four producing wells per single tank battery, each of which produce ten barrels or less of crude oil per well per day, and with no injection wells at the facility.) Verify that the owner/operator of a
PO.10.1.US Nontransportation related onshore facilities that, because of location, could reasonably be expected to cause substantial harm to the environment by discharging oil into or on the navigable waters or adjoining shoreline are required to prepare and submit a facility response plan to the Regional Administrator according to specific parameters. (40 CFR 112.1(b), 112.1(d), 112.20(a)(1) through 112.20(a)(3), 112.20(e) through 112.20(h), and Appendix C)[Revised January 1999; Citation Revised July 2000; Revised July 2002; Revised July 2004; Revised January 2009].	(NOTE: See Appendix 8-1 for a chart of due dates for the response plan.) (NOTE: The 40 CFR 112 definition of "navigable waters of the United States" has been revised in November 2008, see the definitions.) (NOTE: A facility could, because of its location, reasonably be expected to cause substantial harm if it meets any of the following criteria: - the facility transfers oil over water to or from vessels and has a total oil storage capacity greater than or equal to 42,000 gal - the facility's total oil storage capacity is greater than or equal to 1 million gal and one of the following is true: - the facility does not have secondary containment for each aboveground area sufficiently large to contain the capacity of the largest AST within each storage area plus sufficient freeboard to allow for precipitation - the facility is located at a distance such that discharge from the facility could cause injury to fish and wildlife and sensitive environment - the facility is located at a distance such that a discharge from the facility would shut down a public drinking water intake - the facility has had a reportable oil spill in an amount greater than or equal to 10,000 gal within the last 5 yr.) (NOTE: Consult with the Regional Administrator if there is difficulty in determining if a facility meets any of these criteria.) Verify that a determination has been made as to whether or not a facility "could reasonably be expected to cause substantial harm to the environment by discharging oil into or on the navigable waters or adjoining shoreline" according to the guidance provided in Appendix C of 40 CFR 112. (NOTE: The Settlement Agreement between EPA and the joint plaintiffs of the API and Marathon Oil dated 29 March 2004 stipulates that as used above, "facility" is as defined in 40 CFR 112.2.) Verify that, if it has been determined a facility does not meet the substantial harm criteria; a copy of the certification form found in Appendix C of
PO.10.2.US Facilities that have a material change must revise and update the facility response plan. (40 CFR 112.20(d)).	Verify that, after a facility change that may materially affect the response to a worst case discharge, revised portions of the plan are submitted to the Regional Administrator within 60 days of the change. (NOTE: A change in the facility's configuration that materially alters the information in the plan include: - a change in the type of oil handled, stored, or transferred that materially alters the required response resources - a material change in capabilities of the oil spill removal organizations that provide equipment and personnel to respond to discharges of oil - a material change in the facility's spill prevention and response equipment or emergency response procedures.) (NOTE: A material change does not include amendments to personnel and telephone numbers.) Verify that, when changes are submitted, the facility provides the USEPA issued facility identification number (where one has been assigned).

PO.10.3.US Facilities that are required to have a response plan are also required to develop and implement a facility response training program and a drill/exercise program that meet specific parameters. (40 CFR 112.21).	Verify that the facility has a response training program for those individuals involved in spill response activities. Verify that the response training program includes correct instruction on procedures to response to discharges of oil and applicable laws, rules, and regulations. Verify that training is functional in nature according to job tasks for both supervisory and nonsupervisory operational personnel. Verify that the facility also has a program of facility drills/exercises, including evaluation procedures. (NOTE: It is suggested that the response training program be based on the USCG's Training Elements for Oil Spill Response and the drills/exercises of the National Preparedness for Response Exercise Program.)
PO.10.4.US The owner or operator of any non-transportation-related facility that handles, stores, or transports animal fats and vegetable oils must prepare and submit a facility response plan. (40 CFR 112.20(a)(4))[Added July 2000].	(NOTE: The owner or operator of a facility with a facility response plan that has been approved by 31 July 2000 need not prepare or submit a revised plan except as otherwise required by 40 CFR 112.20(b) through 40 CFR 112.20(d).) Verify that, except for facilities with approved plans, the owner or operator of a facility that has submitted a response plan to the Regional Administrator prior to 31 July 2000 reviews the plan to determine if it meets or exceeds the applicable provisions. (NOTE: An owner or operator need not prepare or submit a new plan if the existing plan meets or exceeds the applicable provisions of 40 CFR 112. If the plan does not meet or exceed the applicable provisions, the owner or operator must prepare and submit a new plan by 28 September 2000.) Verify that the owner or operator of a newly constructed facility that commences operation after 31 July 2000 prepares and submits a plan. Verify that the owner or operator of an existing facility that must prepare and submit a plan after 31 July 2000 as a result of a planned or unplanned change in facility characteristics that causes the facility, to become regulated, prepares and submits a plan. Verify that the owner or operator of a facility submitting an amended plan after 31 July 2000, including plans that had been previously approved,
PO.12.1.US Certain communication and packaging requirements must be met when transporting any liquid petroleum oil in a packaging having a capacity of 3,500 gal or more or any liquid petroleum or non-petroleum oil in a quantity greater than 42,000 gallons per packaging. (49 CFR 130.2(a) through 130.2(c), 130.11, and 130.21)[Added October 2000].	(NOTE: The requirements of this checklist item do not apply to: - any mixture or solution in which oil is in a concentration by weight of less than 10 percent - transportation of oil by aircraft or vessel - any petroleum oil carried in a fuel tank for the purpose of supplying fuel for propulsion of the transport vehicle to which it is attached - oil transport exclusively within the confines of a non-transportation-related or terminal facility in a vehicle not intended for use in interstate or intrastate commerce (see 40 CFR Part 112, checklist items PO.5.1.US through PO.5.7.US). (NOTE: The requirements of this checklist item have no effect on: - the applicability of the Hazardous Materials Regulations set forth in subchapter C of this chapter - the discharge notification requirements of the United States Coast Guard [33 CFR 153] and USEPA [40 CFR 110 (see checklist items PO.15.1.US and PO.15.2.US)].) Verify that no person offer oil for transportation unless they provide the person accepting the oil for transportation a document indicating the shipment contains oil. Verify that transportation does not occur unless a readily available document indicating that the shipment contains oil is in the possession of the transport vehicle operator during transportation. (NOTE: A material subject to these requirements need
PO.12.2.US Response plans are required when transporting any liquid petroleum oil in a packaging having a capacity of 3,500 gal or more or any liquid petroleum or non-petroleum oil in a quantity greater than 42,000 gallons per packaging. (49 CFR 130.2(a) through 130.2(d), 130.11, and 130.21)[Added October 2000].	(NOTE: See PO.12.1.US for information on the applicability of this checklist item.) Verify that the transporter has a current basic written plan that: - sets forth the manner of response to discharges that may occur during transportation - takes into account the maximum potential discharge of the contents from the packaging - identifies private personnel and equipment available to respond to a discharge - identifies the appropriate persons and agencies (including their telephone numbers) to be contacted in regard to such a discharge and its handling, including the National Response Center - for each motor carrier, is retained on file at that person's principal place of business and at each location where dispatching of motor vehicles occurs; and for each railroad, is retained on file at that person's principal place of business and at the dispatcher's office. Verify that, when transporting oil in a quantity greater than 1,000 bbl (42,000 gal), the transporter has a current comprehensive written plan that: - conforms with all requirements specified above - is consistent with the requirements of the National Contingency Plan (40 CFR Part 300) and Area Contingency Plans - identifies the qualified individual having full authority to implement removal actions, and requires immediate

PO.15.1.US Discharges of oil into or upon the navigable waters of the United States or adjoining shorelines or into or upon the waters of the contiguous zone or into areas that may affect natural resources belonging to, or under the exclusive management authority of the United States must be reported. (40 CFR 110.2, 110.3, 110.5, and 110.6)[Revised March 1996].	Determine if there have been any discharges of oils. (NOTE: Discharges of oil are defined as those which violate applicable water quality standards or cause a film or a sheen upon or discoloration of the surface of the water or adjoining shoreline or cause sludge or emulsion to be deposited beneath the surface of the water or upon adjoining shores.) Verify that the National Response Center (NRC) was notified immediately after discovery of a discharge as defined in the above NOTE. (NOTE: If direct reporting to the NRC is not practicable, reports may be made to the Coast Guard or USEPA predesignated OSC.) (NOTE: The following discharges of oil are not considered harmful: - discharges from a properly functioning vessel engine and any discharges of such oil accumulated in the bilges of a vessel discharged in compliance with MARPOL 73/78, Annex I - other discharges permitted under MARPOL 73/78, Annex I - any discharge of oil explicitly permitted by the Administrator in connection with research, demonstration projects, or studies relating to the prevention, control, or abatement of oil pollution.)
PO.15.2.US Dispersants or emulsifiers cannot be added to oils that are discharged. (40 CFR 110.4)[Revised March 1996].	Verify that dispersants or emulsifiers are not added to discharges of oils.
PO.20.1.US Specific provisions are required to be implemented to prevent discharged petroleum products from reaching navigable water courses. (40 CFR 112.1(b), 112.1(d), and 112.7(c))[Revised January 1999; Revised July 2002; Revised January 2007; Revised January 2009].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on applicability and exemptions.) (NOTE: The 40 CFR 112 definition of "navigable waters of the United States" has been revised in November 2008, see the definitions.) Verify that the facility provides appropriate containment and/or diversionary structures or equipment to prevent a discharge except as provided in 40 CFR 112.7(k) [see checklist item PO.20.6.US] for qualified oil-filled operational equipment and except as provided in 40 CFR 112.9(d)(3) for flowlines and intra-facility gathering lines at an oil production facility. Verify that the entire containment system, including walls and floor, is capable of containing oil and is constructed so that any discharge from a primary containment system, such as a tank, will not escape the containment system before cleanup occurs. (NOTE: In determining the method, design, and capacity for secondary containment, the Plan needs only to address the typical failure mode, and the most likely quantity of oil that would be discharged. Secondary containment may be either active or passive in design.) Verify that, at a minimum, one of the following prevention systems or its equivalent is used: - for onshore facilities: - dikes, berms, or retaining walls sufficiently
PO.20.2.US Onshore facility drainage is required to meet specific parameters. (40 CFR 112.1(b), 112.1(d), 112.8(b), and 112.12(b))[Revised April 2000; Revised July 2002].	(NOTE: These requirements apply to petroleum oils and non-petroleum oils, animal fats and oils and greases, and fish and marine mammal oils; and vegetable oils (including oils from seeds, nuts, fruits, and kernels) (NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on what the requirements of 40 CFR 112 do and do not apply to.) Verify that the facility restrains drainage from diked storage areas by valves to prevent a discharge into the drainage system or facility effluent treatment system, except where facility systems are designed to control such discharge. (NOTE: Diked areas may be emptied by pumps or ejectors; however, personnel must manually activate these pumps or ejectors and must inspect the condition of the accumulation before starting, to ensure no oil will be discharged.) Verify that no flapper-type drain valves are used to drain diked areas. (NOTE: If the facility drainage drains directly into a watercourse and not into an on-site wastewater treatment plant, personnel must inspect and may drain uncontaminated retained stormwater based on the procedures outlined in the following paragraphs.) Verify that facility drainage systems from undiked areas with a potential for a discharge (such as where piping is located outside containment walls or where
PO.20.3.US This checklist item has been deleted. [Deleted July 2002].	(NOTE: The July 2002 revision of 40 CFR 112 resulted in the deletion of this checklist item.)

PO.20.4.US Bulk storage containers of oil are required to met specific parameters. (40 CFR 112.1(b), 112.1(d), 112.7(i), 112.8(c), 112.12(c))[Added July 2002; Revised July 2004; Revised January 2007; Revised October 2009].	(NOTE: This checklist item replaced ST.5.1.US through ST.5.5.US and ST.40.1.US as of the July 2002 revision of 40 CFR 112. Aboveground storage tank requirements issued by state regulatory agencies that are specific to "storage tanks" versus POL containers or POL storage facilities may be found in ST.4 and/or ST.5.) (NOTE: These requirements apply to petroleum oils and non-petroleum oils, animal fats and oils and greases, and fish and marine mammal oils; and vegetable oils [including oils from seeds, nuts, fruits, and kernels].) (NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on applicability and exemptions.) (NOTE: In the "Section by Section Analysis" associated with the 17 July 2002 version of 40 CFR 112, the USEPA comments on page 47066 that the minimum size bulk storage container is 55 gal. On page 47072, they comment that a bulk storage container may be aboveground, partially buried, bunkered, or completely buried.) Verify that a container is not used for the storage of oil unless its material and construction are compatible with the material stored and conditions of storage such as pressure and temperature. Verify that all bulk storage container installations (except mobile refuelers and other non-transportation related tank trucks) are
PO.20.5.US Checklist item deleted. [Added July 2002; Revised July 2004, Deleted January 2009].	Checklist item deleted. The security requirements which must be detailed in the SPCC Plan are outlined in PO.5.2.US.
PO.20.6.US Bulk storage containers at qualified facilities must meet inspection and recordkeeping requirements. (40 CFR 112.3(d), 112.6(c)(4), and 112.7(k))[Added January 2007; Revised January 2010].	(NOTE: A qualified facility is one that meets one of the following Tier I or Tier II qualified facility criteria: - a Tier I qualified facility meets the qualification criteria for Tier II qualified facilities and has no individual aboveground oil storage container with a capacity greater than 5,000 U.S. gal - a Tier II qualified facility is one that has had no single discharge exceeding 1,000 U.S. gal or no two discharges each exceeding 42 U.S. gal within any 12 mo period in the 3 yr prior to the SPCC Plan self-certification date, or since becoming subject to 40 CFR 112 if the facility has been in operation for less than 3 yr [other than discharges that are the result of natural disasters, acts of war, or terrorism], and has an aggregate aboveground oil storage capacity of 10,000 U.S. gal or less.) Verify that bulk storage containers at qualified facilities are inspected according to one of the following options: - comply with the requirements under 40 CFR 112.8(c)(6) or 40 CFR 112.12(c)(6) [see checklist item PO.20.4.US], as applicable - test/inspect each aboveground container for integrity on a regular schedule and whenever material repairs are made. Verify that, when choosing the test/inspection option, the
PO.45.1.US Liquids at automotive service stations are required to be stored in approved closed containers not exceeding 60 gal capacity, in tanks underground, tanks in special enclosures, or in aboveground tanks that meet specific requirements. (29 CFR 1910.106(g)(1)(i)(a) through 1910.106(g)(1)(i)(e), 1910.106(g)(1)(ii), and 1910.106(g)(1)(iii)).	Verify that, if aboveground tanks are located in an adjoining bulk plant, they are connected by piping to service station underground tanks if, in addition to valves at the aboveground tank, there is a valve installed within the control of service station personnel. Verify that apparatus for dispensing Class I liquids into the fuel tanks of motor vehicles of the public is not located at a bulk plant unless it is separated by a fence or similar barrier from the area in which bulk operations occur. (NOTE: These requirements do not prohibit the dispensing of flammable liquids in the open from a tank vehicle to a motor vehicle if: - the tank vehicle complies with the requirements in Standard on Tank Vehicles for Flammable Liquids, NFPA 385-1966 - the dispensing is done on premises not open to the public - the dispensing hose does not exceed 50 ft - the dispensing nozzle is a listed automatic closing type without a latch open device.) Verify that underground tanks are installed as required by Section 10 titled Storage Tank Management. Verify that, if tanks for flammable or combustible liquids are installed in enclosures because it is impractical due to property or building limitations to correctly install USTs, the enclosure meets the following: - it is substantially liquid and vapor tight without backfill - sides, top, and bottom of the

PO.45.2.US Class I liquids at automotive service stations are required to not be stored or handled within a building having a basement or pit into which flammable vapors can travel. (29 CFR 1910.106(g)(1)(i)(f)).	Verify that Class I liquids are not stored or handled in a building with a basement or pit into which flammable vapors can travel unless the area is provided with adequate ventilation.
PO.45.3.US Dispensing of Class I liquids into portable containers is restricted at automotive service stations. (29 CFR 1910.106(g)(1)(v)).	Verify that Class I liquids are not dispensed into portable containers at automotive service stations unless the container is constructed of metal, has a tight closure with screwed or spring cover, and is fitted with a spout or designed to prevent spilling.
PO.45.4.US Dispensing devices at automotive service stations are required to meet specific standards. (29 CFR 1910.106(g)(3))[Revised April 1995].	Verify that dispensing systems are located so that all parts of the vehicle being served are located on the premises of the station. Verify that, if the dispensing unit is located inside a building, the following are met: - the dispensing area is separated from other areas - the unit and its piping are mounted either on a concrete island or protected against collision damage - the area has an approved mechanical or gravity ventilation system. (NOTE: When indoor dispensing units are below grade, only approved mechanical ventilation can be used, and the entire dispensing area must be protected by an approved automatic sprinkler system.) Verify that ventilating systems are electronically interlocked with gasoline dispensing units that cannot be operated unless the ventilating fan motors are energized. Verify that all dispensing units are equipped with a clearly identified and easily accessible switch or circuit breaker at a location remote from the dispensing devices to shut off power in case of an emergency. Verify that Class I liquids are transferred from tanks by means of a fixed pump that is designed and operated to prevent leakage or accidental discharge. Verify that Class I liquids are not dispensed by pressure from drums, barrels, or similar containers. Verify that all dispensing units, except
PO.55.1.US Onshore tank car and tank truck loading/ unloading racks are required to meet specific structural standards. (40 CFR 112.1(b), 112.1(d), and 112.7(h))[Revised October 1998; Revised July 2002, Revised January 2009; Revised January 2010].	(NOTE: See the first NOTE and the last NOTE in PO.5.1.US for information on applicability and exemptions.) Verify that where onshore facility tank car and tank truck loading/unloading rack (excluding offshore facilities) drainage does not flow into a catchment basin or treatment facility designed to handle discharges, a quick drainage system is used for tank car or tank truck loading and unloading areas. Verify that any containment system is designed to hold at least the maximum capacity of any single compartment of a tank car or tank truck loaded or unloaded at the facility. Verify that there is an interlocked warning light or physical barrier system, warning signs, wheel chocks, or vehicle break interlock system in the area adjacent to a loading/unloading rack to prevent vehicles from departing before complete disconnection of flexible or fixed oil transfer lines. Verify that, prior to filling and departure of any tank car or tank truck, the lowermost drain and all outlets of such vehicles are closely inspected, and if necessary, they are tightened, adjusted, or replaced to prevent liquid discharge while in transit.
PO.55.3.US As of 20 June 1994, inland oil barges must have appropriate equipment and supplies ready during transfer operations for immediate use to control and remove on-deck oil cargo spills of at least 1 bbl [42 gal]. (33 CFR 155.215).	Verify that the equipment consists of: - sorbents - nonsparking hand scoops, shovels, and buckets - containers suitable for holding recovered waste - emulsifiers for deck cleaning - protective clothing. (NOTE: The oil barge owner or operator may rely on equipment available at the transfer facility receiving from or discharging to the barge if the use of the equipment has been prearranged by contract or other methods approved by the Coast Guard.)

PO.55.4.US Transfer operations are required to be done according to specific parameters. (33 CFR 156.100 and 156.120)[Revised January 2003].	Verify that transfer operations are not conducted unless: - the moorings are strong enough to hold during expected conditions and long enough to allow for adjustments - transfer hoses and loading arms are long enough to allow the vessel to move without straining hoses - each hose is supported to prevent kinks or other damage to the hose and strain on its coupling - each part of the transfer system is aligned to allow the flow of oil - parts of the transfer system not needed for the transfer are shutoff or securely blanked - the end of each hose and loading arm that is not connected for the transfer is blanked off - the transfer system is attached to a fixed connection on the vessel and the facility except that when a vessel is receiving fuel, an automatic back pressure shut off nozzle may be used - each overboard discharge or sea suction valve that is connected to the vessel's transfer or cargo tank system is sealed or lashed in the closed positions, except when in use - transfer hoses have no unrepaired loose covers, kinks, bulges, soft spots, or any other defect that would permit the discharge of material - discharge containment equipment is readily accessible - drains and scuppers are closed by mechanical means - connections in the transfer system are leak free. - each tank level or
PO.55.5.US In specific cases of discharges, transfer operations of oil must be stopped. (33 CFR 156.100 and 156.125).	Verify that transfer operations of oil are stopped when there is a discharge: - in the transfer operation work area - into the water or upon adjacent shoreline in the transfer area. Verify that prior to restarting the transfer, the discharge is contained and cleaned up. (NOTE: These requirements apply to the transfer of oil on the navigable waters or contiguous zone of the United States to, from, or within each vessel with a capacity of 250 bbl [10,500 gal] or more.)
PO.55.6.US Oil must not be transferred unless the declaration of inspection form has been filled out and signed. (33 CFR 156.100 and 156.150).	Verify that this form has been signed prior to transfer. Verify that a copy of the form is retained on board the vessel or at the facility for at least 1 mo from the date of signature. (NOTE: These requirements apply to the transfer of oil or hazardous materials on the navigable waters or contiguous zone of the United States to, from, or within each vessel with a capacity of 250 bbl [10,500 gal] or more.)
PO.60.1.US Depending on the constituents of the used oil, (see Appendix 8-3), facilities are required to handle used oil as a hazardous waste or according to specific used oil requirements. (40 CFR 279.10 and 279.81)[Revised March 2000].	Determine which types of the used oils listed in Appendix 8-3 are generated. Verify that used oil is handled according to its classification as one of the following: - a hazardous waste - used oil that falls under the requirements of 40 CFR 279 (see checklist items PO.65.1.US. through PO.90.1.US.) - used oil that is not subject to the requirements of 40 CFR 279 and neither is the mixture a hazardous waste by either listing or characteristic.
PO.60.2.US Used oil cannot be managed in surface impoundments or waste piles unless specific parameters are met. (40 CFR 279.12(a))[Added March 2000].	Verify that used oil is not managed in surface impoundments or waste piles unless the units are subject to regulation under 40 CFR 264 or 265.

PO.65.1.US Used oil generators that detect a release (other than a UST release) after the effective date of the recycled used oil management program in effect in the State in which the release is located, must meet specific requirements. (40 CFR 279.20(a) and 279.22(d))[Revised June 1998; Reviewed March 2000].	Verify that, when a release is detected, the following is done: - stop the release - contain the released used oil - clean up and manage properly the released used oil and other materials - repair or replace any leaking used oil storage containers or tanks prior to returning them to service. (NOTE: Release reporting requirements are outlined in 40 CFR 110.2 through 110.12, see checklist item PO.15.1.US.) (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.2.US Generators are allowed to burn used oil in used oil-fired space heaters if specific parameters are met. (40 CFR 279.20(a) and 279.23)[Reviewed March 2000].	Determine if any used oil-fired space heaters are prepared. Verify that the following parameters are met: - the heater burns only used oil that the facility generates or used oil received from household DIY used oil generators - the heater is designed to have a maximum capacity of not more than 0.5 MBtu/ h - the combustion gases from the heater are vented to the ambient air. (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.3.US Except in specific circumstances, used oil generators must ensure that their used oil is transported only by transporters who have a USEPA identification number. (40 CFR 279.20(a), 279.24(a) through 279.24(e))[Revised March 2000].	Determine who is transporting used oil. Verify that the generator is not transporting the used oil themselves, the transporter has an USEPA identification number. (NOTE: Used oil generators may arrange for used oil to be transported by a transporter without an USEPA identification number if the used oil is reclaimed under a contractual agreement and the reclaimed oil is returned to the generator for use as lubricant, cutting oil, or coolant, and the contract (or tolling agreement) contains the following: - the type of used oil and frequency of shipments - verification that the vehicle used for transportation is owned by the used oil processor/re-refiner - verification that reclaimed oil will be returned to the generator.) Verify that if the used oil generator is transporting the used oil themselves (without a USEPA identification number) to approved collection centers the following parameters are met: - the used oil is generated at the generators site or is used oil collected from household do-it-yourselfers - the transporting vehicles is owned by the generator or an employee of the generator - no more than 55 gal is transported at any time - the used oil collection center is registered, licensed, permitted, or recognized by a state/county/municipal government to manage use oil. Verify that if the used oil

PO.65.4.US Used oil generators are not allowed to mix hazardous waste with used oil unless specific parameters are met. (40 CFR 279.20(a) and 279.21(a))[Revised March 2000].	Verify that hazardous waste is not mixed with used oil unless: - the resulting mixture does not exhibit any characteristics of hazardous waste - the waste is hazardous solely because it exhibits the characteristic of ignitability and the mixture does not exhibit ignitability characteristic. (NOTE: If the used oil contains greater than or equal to 1,000 ppm total halogens, it is presumed to be a hazardous waste because it has been mixed with halogenated hazardous waste listed in subpart D of 40 CFR 261. Demonstrating that the used oil does not contain hazardous waste may rebut the presumption. The rebuttable presumption does not apply to metalworking oils/fluids containing chlorinated paraffins, if they are processed, through a tolling arrangement to reclaim metalworking oils/fluids. The presumption does apply to metalworking oils/fluids if such oils/fluids are recycled in any other manner, or disposed. The rebuttable presumption does not apply to used oils contaminated with chlorofluorocarbons (CFCs) removed from refrigeration units if the CFCs are destined for reclamation. The rebuttable presumption does apply to used oils contaminated with CFCs that have been mixed with used oil from sources other than refrigeration units.) (NOTE: The requirements for used oil generators do not
PO.65.5.US Containers used to store used oil at used oil generators must be in good condition and not leaking. (40 CFR 279.20(a) and 279.22(b))[Reviewed March 2000].	Verify that containers are not leaking, bulging, rusting, damaged, or dented. Verify that used oil is transferred to a new container or managed in another appropriate manner when necessary. (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.6.US The label USED OIL must be clearly marked on containers used to store used oil and fill pipes used to transfer used oil into underground storage facilities. (40 CFR 279.20(a) and 279.22(c))[Reviewed March 2000].	Verify that containers and fill pipes used to transfer used oil are clearly marked with the phrase USED OIL. (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.7.US Containers of used oil at used oil generators should be managed in accordance with good management practices. (MP).	Verify the following by inspecting containers and storage areas: - containers are not stored more than two high and have pallets between them - at least 3 ft of aisle space is provided between rows of containers.

PO.65.8.US Depending on their operations, used oil generators are required to also meet the standards for transporters. (40 CFR 279.20(a) and 279.20(b)(1))[Added March 2000].	Verify that used oil generators who transport used oil, except under the self-transport provisions of 40 CFR. 279.24 (see checklist item PO.65.3.US.), also comply with 40 CFR 279.40 through 40 CFR 279.47 (see checklist items PO.75.1.US. through PO.75.9.US.). (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.9.US Depending on their operations, used oil generators are required to also meet the standards for processors and re-refiners. (40 CFR 279.20(a) and 279.20(b)(2))[Added March 2000].	Verify that used oil generators who process or re-refine used oil also comply with 40 CFR 279.50 through 40 CFR 279.59 (see checklist items PO.87.1.US. through PO.87.16.US.). (NOTE: Used oil generators who perform the following activities are not processors provided that the used oil is generated onsite and is not being sent off-site to a burner of on- or off-specification used oil fuel: - filtering, cleaning, or otherwise reconditioning used oil before returning it for reuse by the generator - separating used oil from wastewater generated onsite to make the wastewater acceptable for discharge or reuse pursuant to section 402 or section 307(b) of the Clean Water Act or other applicable federal or state regulations governing the management or discharge of wastewaters - using oil mist collectors to remove small droplets of used oil from in-plant air to make plant air suitable for continued recirculation - draining or otherwise removing used oil from materials containing or otherwise contaminated with used oil in order to remove excessive oil to the extent possible - filtering, separating or otherwise reconditioning used oil before burning it in a space heater (see checklist item PO.65.2.US. for details of 40 CFR 279.23.) (NOTE: The requirements for used oil generators do not apply to the
PO.65.10.US Depending on their operations, used oil generators are required to also meet the standards for used oil burners. (40 CFR 279.20(a) and 279.20(b)(3))[Added March 2000].	Verify that used oil generators who burn off-specification used oil for energy recovery, except under the onsite space heater provisions of 40 CFR 279.23 (see checklist item PO.65.2.US.), comply with 40 CFR 279.60 through 40 CFR 279.67 (see checklist items PO.80.2.US. through PO.80.12.US.). (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)

PO.65.11.US Depending on their operations, used oil generators are required to also meet the standards for marketers. (40 CFR 279.20(a) and 279.20(b)(4))[Added March 2000].	Verify that generators who direct shipments of off-specification used oil from their facility to a used oil burner, or first claim that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (see Appendix 8-3 of this document), also complies with 40 CFR 279.70 through 279.75 (see checklist items PO.85.1.US. through PO.85.9.US.). (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.12.US Depending on their operations, used oil generators are required to also meet the standards for used oil disposers. (40 CFR 279.20(a) and 279.20(b)(5))[Added March 2000].	Verify that used oil generators who dispose of used oil, including the use of used oil as a dust suppressant, must also comply with 40 CFR 279.80 through 279.82 (see checklist items PO.60.1.US. and PO.90.1.US.). (NOTE: The requirements for used oil generators do not apply to the following: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore.)
PO.65.13.US Used oil generators must retain certain records. (40 CFR 279.74(b) and 279.74(c))[Added October 2003].	Verify that a generator who first claims that used oil that is to be burned for energy recovery meets the fuel specifications under 40 CFR 279.11 (see Appendix 8-3) keeps a record of each shipment of used oil to the facility to which it delivers the used oil. Verify that records for each shipment include the following information: - the name and address of the facility receiving the shipment - the quantity of used oil fuel delivered - the date of shipment or delivery - a cross-reference to the record of used oil analysis or other information used to make the determination that the oil meets the specification as required under 40 CFR 279.72(a) (see checklist item PO.85.2.US). Verify that records are maintained for 3 yr.
PO.85.1.US Used oil fuel marketers may only initiate a shipment of off-specification used oil to a used oil burner who has an USEPA identification number and burns the used oil in an industrial furnace or boiler. (40 CFR 279.70(a)(1), 279.70(b) and 279.71)[Revised March 2000].	Determine if the facility is a used oil fuel marketer initiates a shipment of off-specification used oil to a used oil burner. Verify that it is going to an appropriate used oil burner. (NOTE: These requirements do not apply to the following: - persons who direct shipments of on-specification used oil and who are not the first person to claim the oil is on-specification - used oil generators and transporters who transport used oil received only from generators, unless the generator or transporter directs a shipment of off-specification used oil from their facility to a used oil burner.) (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).

PO.85.2.US Generators, transporters, processor/re- refiners, or burners must determine if used oil to be burned for energy recovery is off or on-specification. (40 CFR 279.70(b) and 279.72)[Revised March 2000].	Verify that a determination as to whether the used oil fuel is off or on-specification is made by analyses or obtaining copies of other analyses. Verify that records of analyses are maintained for 3 yr. (NOTE: These requirements do not apply to the following: - persons who direct shipments of on-specification used oil and who are not the first person to claim the oil is on-specification - used oil generators and transporters who transport used oil received only from generators, unless the generator or transporter directs a shipment of off-specification used oil from their facility to a used oil burner.) (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.85.3.US Used oil fuel marketers are required to have a USEPA identification number. (40 CFR 279.70(b) and 279.73)[Revised March 2000].	Verify that the used oil fuel marketer has a USEPA identification number. (NOTE: A used oil marketer who has not received an USEPA identification number may obtain one by notifying the USEPA or authorized regulatory agency of their used oil activity by submitting either a completed USEPA Form 8700-12 or a letter requesting an USEPA identification number.) (NOTE: These requirements do not apply to the following: - persons who direct shipments of on-specification used oil and who are not the first person to claim the oil is on-specification - used oil generators and transporters who transport used oil received only from generators, unless the generator or transporter directs a shipment of off-specification used oil from their facility to a used oil burner.) (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.85.4.US Any used oil marketer that directs a shipment of used oil to a burner is required to keep specific records. (40 CFR 279.70(b), 279.74(a), and 279.74(c))[Revised June 1998; Reviewed March 2000; Revised October 2003].	Verify that records containing the following information are kept of each shipment of off-specification oil: - the name and address of the transporter who delivers the used oil to the burner - the name and address of the burner who will receive the used oil - the USEPA identification number of the burner - the quantity of used oil shipped - the date of shipment. (NOTE: These records may take the form of a bill of lading, log, invoice, or manifest, or other shipping documents.) Verify that records are maintained for 3 yr. (NOTE: These requirements do not apply to the following: - persons who direct shipments of on-specification used oil and who are not the first person to claim the oil is on-specification - used oil generators and transporters who transport used oil received only from generators, unless the generator or transporter directs a shipment of off-specification used oil from their facility to a used oil burner.) (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 [See Appendix 8-3 of this document]).
PO.85.5.US Before a used oil generator, transporter, or processor/re-refiner directs the first shipment of off-specification used oil to a burner, they must obtain a one-time written and signed notice from the burner. (40 CFR 279.70(b) and 279.75)[Reviewed March 2000].	Verify that notice from the burner has been received that indicates the burner notified the USEPA of the location and used oil management activities and that the burner will only burn off-specification oil in approved furnaces and boilers. Verify that a copy of the notice is kept for 3 yr from the date the last shipment of off- specification used oil is shipped to the burner. (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).

PO.85.6.US Depending on their operations, used oil marketers are required to also meet the standards for used oil generators. (40 CFR 279.70(c)(1))[Added March 2000].	Verify that used oil marketers who generate used oil also comply with 40 CFR 279.20 through 40 CFR 279.24 (see checklist items PO.65.1.US. through PO.65.12.US.). (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.85.7.US Depending on their operations, used oil marketers are required to also meet the standards for used oil transporters. (40 CFR 279.70(c)(2))[Added March 2000].	Verify that used oil marketers who transport used oil also comply with 40 CFR 279.40 through 40 CFR 279.47 (see checklist items PO.75.1.US. through PO.75.9.US.). (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.85.8.US Depending on their operations, used oil marketers are required to also meet the standards for processors and re-refiners. (40 CFR 279.70(c)(3))[Added March 2000].	Verify that used oil marketers who process or re-refine used oil also comply with 40 CFR 279.50 through 40 CFR 279.59 (see checklist items PO.87.1.US. through PO.87.16.US.). (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.85.9.US Depending on their operations, used oil marketers are required to also meet the standards for used oil burners. (40 CFR 279.70(c)(3))[Added March 2000].	Verify that used oil marketers who burn off-specification used oil for energy recovery also comply with 40 CFR 279.60 through 40 CFR 279.67 (see checklist items PO.80.2.US. through PO.80.12.US.). (NOTE: The standards for used oil marketing applies to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.87.1.US Used oil processors and re-refiners are required to have an USEPA identification number. (40 CFR 279.50(a) and 279.51)[Added March 2000].	Verify that the used oil processor and re-refiner have a USEPA identification number. (NOTE: A used oil processors and re-refiners who has not received an USEPA identification number may obtain one by notifying the USEPA or authorized regulatory agency of their used oil activity by submitting either a completed USEPA Form 8700-12 or a letter requesting an USEPA identification number.) (NOTE: These requirements do not apply to either of the following: - transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41 (see checklist item PO.75.2.US.) - burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US. and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).

PO.87.2.US Used oil processing and re-refining are required to meet specific preparedness and prevention requirements. (40 CFR 279.50(a) and 279.52(a))[Added March 2000; Revised January 2007].	Verify that facilities are maintained and operated to minimize the possibility of a fire, explosion, or any unplanned sudden or non-sudden release of used oil to air, soil, or surface water that could threaten human health or the environment. Verify that all facilities are equipped with the following, unless none of the hazards posed by used oil handled at the facility could require the particular kind of equipment specified: - an internal communications or alarm system capable of providing immediate emergency instruction (voice or signal) to facility personnel - a device, such as a telephone (immediately available at the scene of operations) or a hand-held two-way radio, capable of summoning emergency assistance from local police departments, fire departments, or state or local emergency response teams - portable fire extinguishers, fire control equipment (including special extinguishing equipment, such as that using foam, inert gas, or dry chemicals), spill control equipment and decontamination equipment - water at adequate volume and pressure to supply water hose streams, or foam producing equipment, or automatic sprinklers, or water spray systems. Verify that all facility communications or alarm systems, fire protection equipment, spill control equipment, and decontamination equipment,
PO.87.3.US Used oil processing and re-refining are required to have a contingency plan. (40 CFR 279.50(a) and 279.52(b)(1) through 279.52(b)(4))[Added March 2000; Revised January 2007].	Verify that the contingency plan is designed to minimize hazards to human health or the environment from fires, explosions, or any unplanned sudden or non-sudden release of used oil to air, soil, or surface water. Verify that the provisions of the plan are carried out immediately whenever there is a fire, explosion, or release of used oil that could threaten human health or the environment. Verify that the contingency plan describes the actions personnel must take to in response to fires, explosions, or any unplanned sudden or non-sudden release of used oil to air, soil, or surface water at the facility. (NOTE: If the owner or operator has already prepared a Spill Prevention, Control, and Countermeasures (SPCC) Plan in accordance with 40 CFR 112, or 40 CFR 1510 of chapter V, or some other emergency or contingency plan, the owner or operator need only amend that plan to incorporate used oil management provisions.) Verify that the plan: - describes arrangements agreed to by local police departments, fire departments, hospitals, contractors, and state and local emergency response teams to coordinate emergency services - lists names, addresses, and phone numbers (office and home) of all persons qualified to act as emergency coordinator - a list of all emergency equipment at the
PO.87.4.US Used oil processing and re-refining are required to have an emergency coordinator and emergency procedures. (40 CFR 279.50(a), 279.52(b)(5), and 279.52(b)(6))[Added March 2000; Revised January 2007].	Verify that there is, at all times, at least one employee either on the facility premises or on call (i.e., available to respond to an emergency by reaching the facility within a short period of time) with the responsibility for coordinating all emergency response measures. Verify that the emergency coordinator is thoroughly familiar with all aspects of the facility's contingency plan, all operations and activities at the facility, the location and characteristic of used oil handled, the location of all records within the facility, and facility layout. Verify that the emergency coordinator has the authority to commit the resources needed to carry out the contingency plan. Verify that whenever there is an imminent or actual emergency situation, the emergency coordinator (or the designee when the emergency coordinator is on call) immediately: - activates internal facility alarms or communication systems, where applicable, to notify all facility personnel - notifies appropriate state or local agencies with designated response roles if their help is needed. Verify that whenever there is a release, fire, or explosion, the emergency coordinator immediately identifies the character, exact source, amount, and areal extent of any released materials. (NOTE: This identification may be done by observation or review of

PO.87.5.US Used oil processors and re-refiners are required determine if used oil is a hazardous waste. (40 CFR 279.50(a), 40 CFR 279.53)[Added March 2000; Revised July 2005].	Verify that the used oil is either tested or the used oil processor/re-refiner applies their knowledge of the halogen content of the used oil in light of the materials or processes used, or using information from another source. Verify that copies of analyses are maintained for 3 yr. (NOTE: If the used oil contains greater than or equal to 1,000 ppm total halogens, it is presumed to be a hazardous waste because it has been mixed with halogenated hazardous waste listed in subpart D of 40 CFR 261. The presumption may be rebutted by demonstrating that the used oil does not contain hazardous waste (for example, by showing that the used oil does not contain significant concentrations of halogenated hazardous constituents listed in appendix VIII of 40 CFR 261). The rebuttable presumption does not apply to metalworking oils/fluids containing chlorinated paraffins, if they are processed, through a tolling arrangement to reclaim metalworking oils/fluids. The presumption does apply to metalworking oils/fluids if such oils/fluids are recycled in any other manner, or disposed. The rebuttable presumption does not apply to used oils contaminated with chlorofluorocarbons (CFCs) removed from refrigeration units if the CFCs are destined for reclamation. The rebuttable presumption does apply to used oils
PO.87.6.US Used oil processors/re-refiners are required to store used oil in containers and tanks that meet specific requirements. (40 CFR 279.50(a) and 40 CFR 279.54(a) through 279.54(f))[Added March 2000].	Verify that containers and aboveground tanks used to stored used oil at are in good condition (no severe rusting, apparent structural defects or deterioration); and not leaking. Verify that containers used to store used oil have secondary containment that meets the following minimum requirements: - dikes, berms, or retaining walls - a floor that covers the entire area within the dikes, berms, or retaining walls - an equivalent secondary containment system - the system is impervious to used oil to prevent migration to the soil, groundwater, or surface water. Verify that aboveground storage tanks (ASTs) used to store used oil have secondary containment that meets the following minimum requirements: - dikes, berms, or retaining walls - a floor that covers the entire area within the dikes, berms, or retaining walls - the system is impervious to prevent migration to the soil, groundwater, or surface water. Verify that containers and aboveground storage tanks (ASTs) are labeled with the phrase USED OIL. Verify that fill pipes used to transfer used oil into underground storage tanks at transfer facilities are labeled with the phrase USED OIL. (NOTE: These requirements do not apply to either of the following: - transporters that conduct incidental processing operations that occur during the
PO.87.7.US Specific steps must be followed in response to a release at a used oil processor/re-refiner. (40 CFR 279.50(a) and 40 CFR 279.54(g))[Added March 2000].	(NOTE: This applies when the release is not from an underground storage tank (UST) and has occurred after the effective date of the recycled used oil management program in effect in the state in which the release is located.) Verify that the following steps are taken: - the release is stopped - the release is contained - the released used oil and other materials are cleaned up and properly managed - necessary repairs and replacements are done on containers or tanks prior to returning them to service. (NOTE: These requirements do not apply to either of the following: - transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item PO.75.2.US.) - burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US. and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR

PO.87.8.US Used oil processors/re-refiners are required to follow specific steps for closure. (40 CFR 279.50(a) and 40 CFR 279.54(h))[Added March 2000].	Verify that when closing a tank system, the owner or operator removes or decontaminates used oil residues in tanks, contaminated containment system components, contaminated soils, and structures and equipment contaminated with used oil, and manages them as hazardous waste, unless the materials are not hazardous waste. (NOTE: If the owner or operator demonstrates that not all contaminated soils can be practicably removed or decontaminated, then the owner or operator must close the tank system and perform post-closure care in accordance with the closure and post-closure care requirements that apply to hazardous waste landfills.) Verify that, at closure, containers holding used oils or residues of used oil are removed from the site. Verify that, in relation to containers, the owner or operator removes or decontaminate used oil residues, contaminated containment system components, contaminated soils, and structures and equipment contaminated with used oil, and manages them as hazardous waste, unless the materials are not hazardous waste. (NOTE: These requirements do not apply to either of the following: - transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item
PO.87.9.US Used oil processors/re-refiners are required to develop and follow a written waste analysis plan. (40 CFR 279.50(a) and 40 CFR 279.55)[Added March 2000].	Verify that the used oil processor/re-refiner has, and follows, a written waste analysis plan and a copy of the plan is at the facility. Verify that the plan specifies the following: - whether sample analyses or knowledge of the halogen content of the used oil will be used to make this determination - if sample analyses are used to make this determination: - the sampling method used to obtain representative samples to be - analyzed - the frequency of sampling to be performed, and whether the analysis will be performed onsite or off-site - the methods used to analyze used oil for the parameters specified in 40 CFR 279.53 - the type of information that will be used to determine the halogen content of the used oil. Verify that the plan specifies the following if 40 CFR 279.72 (see checklist item PO.85.2.US.) is applicable: - whether sample analyses or other information will be used to make this determination - if sample analyses are used to make this determination: - the sampling method used to obtain representative samples to be analyzed - whether used oil will be sampled and analyzed prior to or after any processing/re-refining - the frequency of sampling to be performed, and whether the analysis will be performed onsite or off-site - the methods used to analyze used oil for the parameters specified in 40
PO.87.10.US Used oil processors/re-refiners are required to meet specific documentation requirements. (40 CFR 279.50(a), 40 CFR 279.56, 279.57, 279.74(b), and 279.74(c))[Added March 2000; Revised October 2003].	Verify that used oil processors/re-refiners keep a record of each used oil shipment accepted for processing/re-refining and each record includes the following information: - the name and address of the transporter who delivered the used oil to the processor/re-refiner - the name and address of the generator or processor/re-refining from whom the used oil was sent for processing/re-refining - the USEPA identification number of the transporter who delivered the used oil to the processor/re-refiner - the USEPA identification number (if applicable) of the generator or processor/re-refiner from whom the used oil was sent for processing/re-refining - the quantity of used oil accepted - the date of acceptance. (NOTE: Records may take the form of a log, invoice, manifest, bill of lading, or other shipping documents.) Verify that used oil processor/re-refiners keep a record containing the following for each shipment of used oil that is shipped to a used oil burner, processor/ re-refiner, or disposal facility: - the name and address of the transporter who delivers the used oil to the burner, processor/re-refiner, or disposal facility - the name and address of the burner, processor/re-refiner or disposal facility who will receive the used oil - the USEPA identification number of the transporter who delivers the used oil to the

PO.87.11.US Used oil processors/re-refiners who initiate shipments of used oil off-site must ship the used oil using a used oil transporter who has obtained an USEPA identification number. (40 CFR 279.50(a) and 40 CFR 279.58)[Added March 2000].	Verify that used oil processors/re-refiners who initiate shipments of used oil off-site, ship the used oil using a used oil transporter who has obtained an USEPA identification number. (NOTE: These requirements do not apply to either of the following: - transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item PO.75.2.US.) - burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US. and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): - directs a shipment of off-specification used oil from their facility to a used oil burner - first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.87.12.US Depending on their operations, used oil processors/re-refiners are required to also meet the standards for used oil generators. (40 CFR 279.50(a) and 40 CFR 279.50(b)(1))[Added March 2000].	Verify that used oil processors/re-refiners who generate used oil also comply with 40 CFR 279.20 through 40 CFR 279.24 (see checklist items PO.65.1.US. through PO.65.12.US.). (NOTE: These requirements do not apply to either of the following: transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item PO.75.2.US.) burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US. and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): directs a shipment of off-specification used oil from their facility to a used oil burner first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.87.13.US Depending on their operations, used oil processors/re-refiners are required to also meet the standards for used oil transporters. (40 CFR 279.50(a) and 40 CFR 279.50(b)(2))[Added March 2000].	Verify that used oil processors/re-refiners who transport used oil also comply with 40 CFR 279.40 through 40 CFR 279.47 (see checklist items PO.75.1.US. through PO.75.9.US.). (NOTE: These requirements do not apply to either of the following: transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item PO.75.2.US.) burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US. and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): directs a shipment of off-specification used oil from their facility to a used oil burner first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).

PO.87.14.US Depending on their operations, used oil processors/re-refiners are required to also meet the standards for used oil burners. (40 CFR 279.50(a) and 40 CFR 279.50(b)(3))[Added March 2000].	Verify that used oil processors/re-refiners who burn off-specification used oil for energy recovery also comply with 40 CFR 279.60 through 40 CFR 279.67 (see checklist items PO.80.2.US. through PO.80.12.US.). (NOTE: This does not apply to processor/re-refiners burning used oil for energy recovery under either of the following conditions: the used oil is burned in an onsite space heater that meets the requirements of 40 CFR 279.23 (see checklist item PO.65.2.US.) the used oil is burned for purposes of processing used oil, which is considered burning incidentally to used oil processing; (NOTE: These requirements do not apply to either of the following: transporters that conduct incidental processing operations that occur during the normal course of transportation as provided in 40 CFR 279.41(see checklist item PO.75.2.US.) burners that conduct incidental processing operations that occur during the normal course of used oil management prior to burning as provided in 40 CFR 279.61(b) (see checklist items PO.80.1.US and PO.80.10.US.).) (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): directs a shipment of off-specification used oil from their facility to a used oil burner first claims that used oil that is to be
PO.87.15.US Depending on their operations, used oil processors/re-refiners are required to also meet the standards for marketers. (40 CFR 279.50(a) and 40 CFR 279.50(b)(4))[Added March 2000].	Verify that processors/re-refiners who direct shipments of off-specification used oil from their facility to a used oil burner or first claim that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11, also complies with 40 CFR 279.70 through 40 CFR 279.75 (see checklist items PO.85.1.US. through PO.85.9.US.). (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): directs a shipment of off-specification used oil from their facility to a used oil burner first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.87.16.US Depending on their operations, used oil processors/re-refiners are required to also meet the standards for used oil disposers. (40 CFR 279.50(a) and 40 CFR 279.50(b)(5))[Added March 2000].	Verify that used oil processors/re-refiners who dispose of used oil, including the use of used oil as a dust suppressant, must also comply with 40 CFR 279.80 through 279.82 (see checklist items PO.60.1.US. and PO.90.1.US.). (NOTE: The standards for used oil marketers apply to any person who does either of the following (40 CFR 279.70(a)): directs a shipment of off-specification used oil from their facility to a used oil burner first claims that used oil that is to be burned for energy recovery meets the used oil fuel specifications set forth in 40 CFR 279.11 (See Appendix 8-3 of this document).).
PO.90.1.US Used oil cannot be used for dust suppression unless allowed by the state. (40 CFR 279.12(b) and 279.82)[Revised March 2000].	Verify that used oil is not used for dust suppression.
SO.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.

SO.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
SO.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
SO.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
SO.10.1.US All solid wastes and all materials separated for recycling are required to be stored according to specific guidelines. (40 CFR 243.100(b), 243.100(i), and 243.200-1)[Revised January 2000; Reviewed March 2000; Revised January 2004].	(NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) Verify that all solid wastes are stored so as not to cause a fire, health, or safety hazard. Verify that all solid waste containing food wastes are stored in covered or closed containers that are nonabsorbent, leakproof, durable, easily cleaned, and designed for safe handling. Verify that solid waste containers are of an adequate size and number to contain all waste generated between collections. Verify that bulky wastes are stored so as not to create a nuisance and to avoid the accumulation of solid waste and water in and around the bulky items. Verify that reusable containers are capable of being serviced without the collector coming into contact with the waste. Verify that waste containers used for the storage of solid waste (or materials which have been separated for recycling) meet the standards established by ANSI for waste containers as follows: - Waste Containers--Safety Requirements, 1994, American National Standards Institute, ANSI Z245.30-1994 - Waste Containers--
SO.10.2.US All facilities are required to operate their collection systems in a manner to protect the health and safety of personnel associated with the operation. (40 CFR 243.100(b), 243.100(i), and 243.201-1)[Revised January 2000; Reviewed March 2000; Revised January 2004].	Verify that the collection system is operated safely. (NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) (NOTE: Federal agencies that have decided not to adopt the requirements contained in 40 CFR 243 are required to provide a report of the analysis and rationale used. See 40 CFR 243.100(i) for details on the content of this report.) (NOTE: The following guidelines (NOT requirements) are suggested for operations in 40 CFR 243.201-2: - all solid waste collection personnel receive instructions and training in safe container and waste handling techniques, and in the proper operation of collection equipment, such as those presented in Operation Responsible: Safe Refuse Collection - PPE such as gloves, safety glasses, respirators, and footwear is used by collection employees, as appropriate, and PPE meets the applicable provisions of the OSHA Standards for Subpart I--Personal Protective Equipment (29 CFR 1910.132 through 1910.137) - scavenging is prohibited at all times to avoid injury and to prevent interference with collection operations -

SO.10.3.US Collection equipment must be maintained according to certain standards if such equipment is considered to be operating in interstate or foreign commerce. (40 CFR 243.100(b), 243.100(i), and 243.202-1(a))[Revised January 2000; Reviewed March 2000].	(NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) Verify that all vehicles used for the collection and transportation of solid waste meet all applicable standards established by the Federal Government including: - Motor Carrier Safety Standards (49 CFR 390 through 396) - Noise Emission Standards for Motor Carriers Engaged in Interstate Commerce (40 CFR 202) - Federal Motor Vehicle Safety Standards (49 CFR 500 through 580) (Federally owned collection equipment only). (NOTE: Federal agencies that have decided not to adopt the requirements contained in 40 CFR 243 are required to provide a report of the analysis and rationale used. See 40 CFR 243.100(i) for details on the content of this report.)
SO.10.4.US All collection equipment is required to meet specific criteria. (40 CFR 243.100(b), 243.100(i), 243.202-1(b), and 243.202-1(d))[Revised January 2000; Reviewed March 2000; Revised January 2004].	(NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) Verify that all vehicles used for the collection and transportation of solid wastes or materials separated for recycling are enclosed or have suitable cover to prevent spillage. Verify that collection equipment used for the collection, storage, and transportation of solid waste (or materials separated for recycling) meet the following ANSI standards: - Mobile Refuse Collection and Compaction Equipment--Safety Requirements, 1992, American National Standards Institute, ANSI Z245.1-1992 - Stationary Compactors--Safety Requirements, 1997, American National Standards Institute, ANSI Z245.2-1997. (NOTE: A copy may be obtained from American National Standards Institute, 11 W. 42nd Street, New York, NY 10036.) (NOTE: Federal agencies that have decided not to adopt the requirements contained in 40 CFR 243 are required to provide a report of the analysis and rationale used. See 40 CFR 243.100(i) for details on the content of this report.) (NOTE: The following guidelines (NOT
SO.10.5.US Solid wastes or materials separated for recycling are required to be collected according to a certain schedule. (40 CFR 243.100(b), 243.100(i), and 243.203-1)[Revised January 2000; Reviewed March 2000; Revised January 2004].	(NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) Verify that solid wastes that contain food wastes are collected at a minimum of once during each week. Verify that bulky wastes are collected a minimum of once every 3 mo. Verify that all wastes are collected with sufficient frequency to inhibit the propagation or attraction of vectors and the creation of nuisances. (NOTE: Federal agencies that have decided not to adopt the requirements contained in 40 CFR 243 are required to provide a report of the analysis and rationale used. See 40 CFR 243.100(i) for details on the content of this report.) (NOTE: The following guidelines (NOT requirements) are suggested for collection equipment design in 40 CFR 243.203-2: - a minimum collection frequency consistent with public health and safety is adopted to minimize collection costs and fuel consumption - in establishing collection frequencies, generation rates, waste composition, and storage capacity will be taken into consideration - when solid wastes are separated at the point of storage into various
SO.10.6.US Solid waste is required to be collected in a safe, efficient manner. (40 CFR 243.100(b), 243.100(i), and 243.204-1)[Revised January 2000; Reviewed March 2000; Revised January 2004].	(NOTE: These requirements apply to the collection of residential, commercial, and institutional solid wastes and street wastes. Excluded from these requirements are mining, agricultural, and industrial solid wastes; hazardous wastes; sludges; construction and demolition wastes; and infectious wastes.) Verify that solid wastes or materials separated for recycling are collected in a safe, efficient manner. Verify that the collection vehicle operator immediately cleans up any spillage caused by his operations. (NOTE: Federal agencies that have decided not to adopt the requirements contained in 40 CFR 243 are required to provide a report of the analysis and rationale used. See 40 CFR 243.100(i) for details on the content of this report.) (NOTE: 40 CFR 243.202-3(b) suggests (NOT requires) that solid waste not be allowed to remain in collection vehicles over 24 h and is only left in a vehicle overnight when this practice does not constitute a fire, health, or safety hazard.)

SO.25.1.US Federal facilities should participate in any state or local recycling programs and reduce the volume of solid waste materials at the source whenever practical. (MP).	Verify that a solid waste reduction program exists. Verify that recycling programs are in compliance with applicable state or local requirements. Verify that reusable or marketable materials are collected at regular intervals.
SO.25.2.US Office facilities of over 100 office workers are required to recover high- grade paper. (40 CFR 246.200-1)[Reviewed March 2000].	Determine if there are over 100 office workers. Verify that high-grade paper is separated at the source of generation. Verify that high-grade paper is separately collected. Verify that high-grade paper is sold for recycling.
SO.25.3.US Facilities at which more than 500 families reside are required to recycle newspapers. (40 CFR 246.201-1)[Reviewed March 2000].	Determine if there are more than 500 families residing onsite. Verify that used newspapers are separated at the source of generation. Verify that used newspapers are separately collected. Verify that used newspapers are sold for recycling.
SO.25.4.US Facilities generating 10 tons or more of waste corrugated containers per month are required to segregate/separately collect for recycling or alternative energy use. (40 CFR 246.202-1)[Reviewed March 2000].	Determine if the facility generates 10 tons or more of waste corrugated containers per month. Verify that waste corrugated containers are collected separately. Verify that waste corrugated containers are recycled or used as an alternative energy resource.
SO.25.7.US Federal agencies which decide to not source separate must make available to the EPA the analysis and rationale used in making the determination. (40 CFR 246.100(f))[Added July 2006].	Verify that federal agencies that make the determination not to source separate as described in 40 CFR 246.200-1, 246.201-1, and 246.202-1 (see checklist items SO.25.1.US through SO.25.4.US), for whatever reason, makes available to the EPA the analysis and rationale used in making that determination. (NOTE: The EPA Administrator shall publish notice of the availability of this report to the general public in the Federal Register. The following are considered to be valid reasons for not source separating under individual facts and circumstances: inability to sell the recovered materials due to lack of market, and costs so unreasonably high as to render source separation for materials recovery economically impracticable.) Verify that the required report includes: - a description of alternative actions considered with emphasis on those alternatives which involve source separation for materials recovery - a description of ongoing actions which will be continued and new actions taken or proposed - identification of all agency facilities which will be affected by these actions including a brief description of how such facilities will be affected - an analysis in support of the action chosen by the agency including technical data, market studies, and policy considerations used in arriving at such a
SO.25.8.US Each facility or installation that has a recycling program must have a designated recycling coordinator. (EO 13423, Section IX, para B4)[Added July 2007].	Verify that each facility or installation that has a recycling program has a designated recycling coordinator.
SO.30.5.US Open dumping is prohibited. (40 CFR 257.1(a)(2))[Moved April 1999; Reviewed March 2000; Revised April 2004].	NOTE: This was previously SO.35.20.US.) Verify that open dumping is not practiced. (NOTE: See checklist items SO.30.7.US through SO.30.14.US for descriptions of what constitutes open dumping.)

SO.30.6.US Federal facilities should survey for and be aware of old disposal sites at the Federal facility. (MP)[Moved April 1999].	(NOTE: This was previously SO.40.2.US.) Determine if any old disposal sites exist by interviewing personnel. Determine whether a records review has been done to identify former disposal sites.
SO.30.7.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment in a floodplain. (40 CFR 257.1, 257.3, and 257.3-1(a))[Added April 2004].	Verify that facilities or practices in floodplains do not restrict the flow of the base flood, reduce the temporary water storage capacity of the floodplain, or result in washout of solid waste, so as to pose a hazard to human life, wildlife, or land or water resources. (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA. Facilities and practices failing to satisfy the criteria in 40 CFR 257.1 through 257.4 result in open dumping.) (NOTE: These criteria also provide guidelines for the disposal of sewage sludge on the land when the sewage sludge is not used or disposed through a practice regulated in 40 CFR 503.) (NOTE: These criteria apply to all solid waste disposal facilities and practices with the following exceptions: - the criteria do not apply to agricultural wastes, including manures and crop residues, returned to the soil as fertilizers or soil conditioners - the criteria do not apply to overburden resulting from mining operations intended for return to the mine site - the criteria do not apply to the land application of domestic sewage or treated domestic sewage - the criteria do not apply to the location
SO.30.8.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment to threatened or endangered species. (40 CFR 257.1, 257.3, 257.3-2(a), and 257.3-2(b))[Added April 2004].	Verify that facilities or practices do not cause or contribute to the taking of any endangered or threatened species of plants, fish, or wildlife. Verify that the facility or practice does not result in the destruction or adverse modification of the critical habitat of endangered or threatened species as identified in 50 CFR 17. (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA. Facilities and practices failing to satisfy the criteria in 40 CFR 257.1 through 257.4 result in open dumping.) (NOTE: These criteria also provide guidelines for the disposal of sewage sludge on the land when the sewage sludge is not used or disposed through a practice regulated in 40 CFR 503.) (NOTE: These criteria apply to all solid waste disposal facilities and practices with the following exceptions: - the criteria do not apply to agricultural wastes, including manures and crop residues, returned to the soil as fertilizers or soil conditioners - the criteria do not apply to overburden resulting from mining operations intended for return to the mine site - the criteria do not apply to the land application of domestic sewage or treated domestic
SO.30.9.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment through wastewater discharges. (40 CFR 257.1, 257.3, and 257.3-3)[Added April 2004].	Verify that, a facility does not cause a discharge of pollutants into waters of the United States that is in violation of the requirements of NPDES. Verify that a facility does not cause a discharge of dredged material or fill material to waters of the United States that is in violation of the requirements under section 404 of the Clean Water Act. Verify that a facility or practice does not cause non-point source pollution of waters of the United States that violates applicable legal requirements implementing an area-wide or Statewide water quality management plan that has been approved by the Administrator. (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA. Facilities and practices failing to satisfy the criteria in 40 CFR 257.1 through 257.4 result in open dumping.) (NOTE: These criteria also provide guidelines for the disposal of sewage sludge on the land when the sewage sludge is not used or disposed through a practice regulated in 40 CFR 503.) (NOTE: These criteria apply to all solid waste disposal facilities and practices with the following exceptions: - the criteria do not apply to agricultural wastes,

SO.30.10.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment through groundwater contamination. (40 CFR 257.1, 257.3, 257.3-4(a), and 257.3-4(b))[Added April 2004].	Verify that a facility or practice does not contaminate an underground drinking water source beyond the solid waste boundary or beyond a specified alternative boundary. (NOTE: For purposes of section 1008(a)(3) of the Act or section 405(d) of the CWA, a party charged with open dumping or a violation of section 405(e) with respect to sewage sludge that is not used or disposed through a practice regulated in 40 CFR 503 may demonstrate that compliance should be determined at an alternative boundary in lieu of the solid waste boundary. The court shall establish an alternative boundary only if it finds that such a change would not result in contamination of ground water which may be needed or used for human consumption. For purposes of sections 4004(a) and 1008(a)(3), the State may establish an alternative boundary for a facility to be used in lieu of the solid waste boundary only if it finds that such a change would not result in the contamination of ground water that may be needed or used for human consumption.) (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA. Facilities and practices
SO.30.12.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment through disease vectors. (40 CFR 257.1, 257.3, and 257.3-6(a) through 257.3-6(b))[Added April 2004].	Verify that the facility or practice does not exist or occur unless the onsite population of disease vectors is minimized through the periodic application of cover material or other techniques as appropriate so as to protect public health. Verify that a facility or practice involving disposal of sewage sludge or septic tank pumpings does not exist or occur unless in compliance with one of the following: - sewage sludge that is applied to the land surface or is incorporated into the soil is treated by a Process to Significantly Reduce Pathogens prior to application or incorporation, and: - public access to the facility is controlled for at least 12 m - grazing by animals whose products are consumed by humans is prevented for at least 1 mo - septic tank pumpings that are applied to the land surface or incorporated into the soil are treated by a Process to Significantly Reduce Pathogens prior to application or incorporation, unless public access to the facility is controlled for at least 12 mo and unless grazing by animals whose products are consumed by humans is prevented for at least 1 mo - sewage sludge or septic tank pumpings that are applied to the land surface or are incorporated into the soil are treated by a Process to Further Reduce Pathogens, prior to application or incorporation, if crops for direct human
SO.30.13.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment through air emissions. (40 CFR 257.1, 257.3, 257.3-7(a), and 257.3-7(b))[Added April 2004].	Verify that the facility or practice does not engage in open burning of residential, commercial, institutional, or industrial solid waste. (NOTE: This requirement does not apply to infrequent burning of agricultural wastes in the field, silvicultural wastes for forest management purposes, land-clearing debris, diseased trees, debris from emergency clean-up operations, and ordnance.) (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA. Facilities and practices failing to satisfy the criteria in 40 CFR 257.1 through 257.4 result in open dumping.) (NOTE: These criteria also provide guidelines for the disposal of sewage sludge on the land when the sewage sludge is not used or disposed through a practice regulated in 40 CFR 503.) (NOTE: These criteria apply to all solid waste disposal facilities and practices with the following exceptions: - the criteria do not apply to agricultural wastes, including manures and crop residues, returned to the soil as fertilizers or soil conditioners - the criteria do not apply to overburden resulting from mining operations intended for return to the mine site - the criteria do

SO.30.14.US Solid waste disposal facilities or practices must not pose a reasonable probability of adverse effects on health or the environment through unsafe practices. (40 CFR 257.1, 257.3, and 257.3-8(a) through 257.3-8(d))[Added April 2004].	Verify that the concentration of explosive gases generated by the facility or practice do not exceed: - 25 percent of the lower explosive limit (LEL) for the gases in facility structures (excluding gas control or recovery system components) - the LEL for the gases at the property boundary. Verify that a facility or practice does not pose a hazard to the safety of persons or property from fires. (NOTE: The hazard avoidance for fires may be accomplished through compliance with 40 CFR 257.3-7 [See checklist item SO.30.13.US] and through the periodic application of cover material or other techniques as appropriate.) Verify that a facility or practice disposing of putrescible wastes that may attract birds and which occurs within 10,000 ft (3,048 m) of any airport runway used by turbojet aircraft or within 5,000 ft (1,524 m) of any airport runway used by only piston-type aircraft do not pose a bird hazard to aircraft. Verify that a facility or practice does not allow uncontrolled public access so as to expose the public to potential health and safety hazards at the disposal site. (NOTE: The criteria in 40 CFR 257.1 through 257.4 are for determining which solid waste disposal facilities and practices pose a reasonable probability of adverse effects on health or the environment under sections 1008(a)(3) and 4004(a) of RCRA.
SO.30.15.US Nonmunicipal nonhazardous waste disposal units that receive CESQG hazardous waste must meet certain location restrictions. (40 CFR 257.1, 257.5(a), 257.8, and 257.9)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [see checklist items SO.30.7.US through SO.30.14.US].) Verify that any nonmunicipal nonhazardous waste disposal unit that is receiving CESQG hazardous waste is in compliance with the requirements in 40 CFR 257.7 through 257.30. Verify that any nonmunicipal nonhazardous waste disposal unit that does not meet the requirements in this checklist item does not receive CESQG wastes. (NOTE: Any nonmunicipal nonhazardous waste disposal unit that is not receiving CESQG Hazardous waste as of 1 January 1998, continues to be subject to the requirements in 40 CFR 257.1 through 257.4. [See checklist items SO.30.7.US through SO.30.14.US].) Verify that owners or operators of new units, existing units, and lateral expansions
SO.30.16.US Nonmunicipal nonhazardous waste disposal units that receive CESQG hazardous waste must meet certain groundwater monitoring requirements. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.22)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) (NOTE: Groundwater monitoring requirements may be suspended by the Director of an approved State for a unit if the owner or operator can demonstrate that there is no potential for migration of hazardous constituents from that unit to the uppermost aquifer during the active life of the unit plus 30 yr. This demonstration must be certified by a qualified groundwater scientist and approved by the Director of an approved State.) Verify that groundwater monitoring is conducted throughout the active life of the unit plus 30 years. (NOTE: The Director of an approved State may decrease the 30-yr period if the owner/operator demonstrates that a shorter period of time is adequate to protect human health and

SO.30.17.US Nonmunicipal nonhazardous waste disposal units that receive CESQG hazardous waste must meet certain groundwater sampling and analysis requirements. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.23)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that the groundwater monitoring program includes consistent sampling and analysis procedures that are designed to ensure monitoring results that provide an accurate representation of groundwater quality at the background and downgradient wells. Verify that the owner or operator notifies the State Director that the sampling and analysis program documentation has been placed in the operating record and the program includes procedures and techniques for: - sample collection - sample preservation and shipment - analytical procedures - chain of custody control - quality assurance and quality control. Verify that the groundwater monitoring program includes sampling and analytical
SO.30.18.US Nonmunicipal nonhazardous waste disposal units that receives CESQG hazardous waste must have a detection monitoring program. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.24)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that the facility has a detection monitoring program at all ground-water monitoring wells defined under 40 CFR 257.22(a)(1) and 257.22(a)(2) (see checklist item SO.30.16.US) and at a minimum the program includes the monitoring for the constituents listed in appendix I of 40 CFR 258 (see Appendix 9-4). (NOTE: The Director of an approved State may delete any of the Appendix 9-4 monitoring parameters for a unit if it can be shown that the removed constituents are not reasonably expected to be contained in or derived from the waste contained in the unit. The Director of an approved State may establish an alternative list of indicator parameters for a unit if the alternative parameters
SO.30.19.US Nonmunicipal nonhazardous waste disposal units that receives CESQG hazardous waste must have an assessment monitoring program. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.25)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that assessment monitoring is done whenever a statistically significant increase over background has been detected for one or more of the constituents listed in Appendix 9-4 or in the Director-approved alternative list. Verify that, within 90 days of triggering an assessment monitoring program, and annually thereafter, the owner or operator samples and analyzes the groundwater for all constituents identified in Appendix 9-5. Verify that a minimum of one sample from each downgradient well is collected and analyzed during each sampling event. Verify that, for any constituent detected in the downgradient wells as the result of the complete Appendix 9-5 analysis, a minimum of four

SO.30.20.US Nonmunicipal nonhazardous waste disposal units that receives CESQG hazardous waste must have an assessment of corrective measures and select a remedy if constituents have been detected at inappropriate levels. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), 257.26, and 257.27)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that, within 90 days of finding that any of the constituents listed in Appendix 9-5 have been detected at a statistically significant level exceeding the groundwater protection standards, the owner or operator initiates an assessment of corrective measures. Verify that the assessment is completed within a reasonable period of time. Verify that the owner or operator continues to monitor in accordance with the assessment monitoring program as specified in 40 CFR 257.25 (see checklist item SO.30.19.US). Verify that the assessment includes an analysis of the effectiveness of potential corrective measures in meeting all of the requirements and objectives of the remedy,
SO.30.21.US Nonmunicipal nonhazardous waste disposal units that receive CESQG hazardous waste must implement the corrective action program. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.28)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that, based on the previously established schedule for initiation and completion of remedial activities, the owner/operator: - establishes and implements a corrective action ground-water monitoring program that: - at a minimum, meets the requirements of an assessment monitoring program - indicates the effectiveness of the corrective action remedy - demonstrates compliance with ground-water protection standard - implements the selected corrective action remedy - takes any interim measures necessary to ensure the protection of human health and the environment. Verify that the following factors are considered by an owner or operator in determining whether interim
SO.30.22.US Nonmunicipal nonhazardous waste disposal units that receive CESQG hazardous waste must meet certain recordkeeping requirements. (40 CFR 257.1, 257.5(a), 257.21(a) through 257.21(e), and 257.30)[Added April 2004].	(NOTE: These requirements in this section apply to owners/operators of any nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste. Nonmunicipal nonhazardous waste disposal units that meet the requirements of this checklist may receive CESQG wastes. Any owner/operator of a nonmunicipal nonhazardous waste disposal unit that receives CESQG hazardous waste continues to be subject to the requirements in 40 CFR 257.3-2, 257.3-3, 257.3-5, 257.3-6, 257.3-7, 257.3-8(a), and 257.3-8(b), and 257.3-8 (d) [See checklist items SO.30.7.US through SO.30.14.US].) Verify that the owner/operator of a nonmunicipal nonhazardous waste disposal unit records and retains, near the facility in an operating record or in an alternative location approved by the Director of an approved State, the following information as it becomes available: - any location restriction demonstration required under 40 CFR 257.7 through 257.12 (see checklist item SO.30.15.US) - any demonstration, certification, finding, monitoring, testing, or analytical data required in 40 CFR 257.21 through 257.28 (see checklist items SO.30.16.US through SO.30.22.US). Verify that the owner/operator notifies the State Director when the records listed above have been placed or added to the

SO.55.1.US Specific limitations must be met regarding the location of new, existing, or lateral expansions of MSWLFs in relation to airports. (40 CFR 258.10 and 258.16)[Revised March 2000; Revised July 2002; Revised January 2003; Revised January 2004].	(NOTE: This checklist item applies to the location of new, existing, or lateral expansions of MSWLFs within 10,000 ft [3,048 m] of any airport runway end used by turbojet aircraft or within 5,000 ft [1,524 m] of any airport runway end used by only piston-type aircraft) (NOTE: In the 8 October 2002 Federal Register, page 62647, the USEPA withdrew the direct final rule for Municipal Solid Waste Landfill Location Restrictions for Airport Safety. They were published 11 July 2002 [67 FR 45915]. The changes were removed from this checklist item January 2003.) Verify that it has been demonstrated that the MSWLF is designed and operated so as to not pose a bird hazard to aircraft. Verify that the FAA and the affected airport have been notified as to the presence of a new MSWLF or a lateral expansion within a 5-mi radius of any airport runway. (NOTE: A prohibition on locating a new MSWLF near certain airports was enacted in section 503 of the Wendell H. Ford Aviation Investment and Reform Act for the 21st Century (Ford Act), Pub. L. 106-181 [49 U.S.C. 44718 note]. Section 503 prohibits the "construction or establishment" of new MSWLFs after 5 April 2000 within 6 mi of certain smaller public airports. The FAA administers the Ford Act and has issued guidance in FAA Advisory Circular 150/5200-34, dated
SO.110.1.US Contaminated reusable sharps must be placed in containers that meet specific requirements as soon as possible after use until properly reprocessed. (29 CFR 1910.1030(d)(2)(viii) and 1910.1030(d)(4)(ii)(E)).	Verify that contaminated reusable sharps are placed in containers that are: - puncture resistant - labeled or color coded - leakproof on the sides and bottom. Verify that reusable sharps that are contaminated with blood or other potentially infectious materials are not stored or processed in a manner that requires employees to reach by hand into the containers.
SO.110.2.US Specimens of blood or other potentially infectious material are required to be placed in a container that prevents leakage during collection, handling, processing, storage, transport, or shipping and specific labeling and handling requirements followed. (29 CFR 1910.1030(d)(2)(xiii)).	Verify that containers are: - labeled and color coded - closed prior to being stored, transported or shipped. (NOTE: When universal precautions are utilized in the handling of all specimens, the labeling/color coding of specimens is not necessary if the containers are recognizable as containing specimens.) Verify that if outside contamination of the primary container occurs it is placed in a second container. Verify that if the specimens could puncture the primary container, the primary container is placed in a secondary container that is puncture resistant.
SO.110.3.US Contaminated sharps are to be discarded immediately in containers meeting specific requirements. (29 CFR 1910.1030(d)(4)(iii)(A)).	Verify that contaminated sharps are placed in containers that are: - closeable - puncture resistant - leakproof on sides and bottoms - labeled or color coded. Verify that during use, containers for contaminated sharps are: - easily accessible - maintained upright throughout use - replaced routinely and not be allowed to overfill. Verify that, when the containers of contaminated sharps are being moved from the area of use, the containers: - are closed - placed in a secondary container that meets the following criteria if leakage is possible: - closeable - constructed to contain all contents and prevent leakage of fluids - labeled or color coded. Verify that reusable containers are not opened, emptied, or cleaned manually or handled in any other manner that would expose employees to risk of cuts or abrasions. (NOTE: Self-sheathing needles, after use, shall be disposed of in sharps containers.)

SO.110.4.US Regulated wastes other than sharps (see definitions) are required to be handled and placed in containers that meet specific standards. (29 CFR 1910.1030(d)(4)(iii)(B)).	Verify that regulated wastes are placed in containers that are: - closeable - constructed to contain all contents and prevent leakage of fluids - labeled or color coded - closed prior to removal. (NOTE: Regulated wastes that have been decontaminated need not be labeled or color-coded.) Verify that if outside contamination of the regulated waste occurs, it is placed in a secondary container that meets the following criteria: - closeable - constructed to contain all contents and prevent leakage of fluids - labeled or color coded.
SO.110.5.US All bins, pails, cans, and similar receptacles intended for reuse, that have the likelihood of becoming contaminated with blood or other potentially infectious materials are required to be inspected and decontaminated on a regularly scheduled basis. (29 CFR 1910.1030(d)(4)(ii)(C)).	Verify that receptacles with the potential for contamination are regularly inspected and decontaminated.
SO.110.6.US Labels affixed to containers of regulated wastes, refrigerators and freezers containing blood or other potentially infectious materials, and other containers used to store, transport, or ship blood or other potentially infectious materials must meet specific standards. (29 CFR 1910.1030(g)(1)(i)).	Verify that the labels: - include the biohazard symbol - are fluorescent orange or orange-red or predominantly so, with lettering and symbols in contrasting color - are affixed as closely as possible to the container by adhesive or wire to prevent loss or removal. (NOTE: Red bags or containers may be used as a substitute for labels.) (NOTE: The following are exempt from labeling requirements: - containers of blood, blood components, or blood products that are labeled as to their contents and have been released for transfusion or other clinical use - individual containers of blood or other potentially infectious materials that are placed in a labeled container during storage, transport, shipment, or disposal.) (NOTE: Regulated waste that has been decontaminated need not be labeled and color coded.)
SO.115.1.US Bulk packaging containing a regulated medical waste is required to be marked BIOHAZARD. (49 CFR 172.323)[Added January 2003].	Verify that, in addition to other requirements of this subpart, after 30 September 2003 a bulk packaging containing a regulated medical waste, is marked with a BIOHAZARD marking conforming to 29 CFR 1910.1030(g)(1)(i) (see checklist item SO.110.6.US) as follows: - on two opposing sides or two ends other than the bottom if the packaging has a capacity of less than 3,785 L (1,000 gal) - on each end and each side if the packaging has a capacity of 3,785 L (1,000 gal) or more. Verify that the BIOHAZARD marking measures at least 152.4 mm (6 in) on each side and is visible from the direction it faces. Verify that, for a bulk packaging contained in or on a transport vehicle or freight container, if the BIOHAZARD marking on the bulk packaging is not visible, the transport vehicle or freight container is marked with a BIOHAZARD marking conforming to 29 CFR 1910.1030(g)(1)(i) (see checklist item SO.110.6.US) on each side and each end. Verify that the background color for the BIOHAZARD marking is orange and the symbol and letters are black. (NOTE: See the text of 49 CFR 172.323(c) for an example of the marking.) Verify that the BIOHAZARD marking is displayed on a background of contrasting color. (NOTE: It may be displayed on a plain white square-on-point

SO.115.2.US Infectious substances packaging for transport must meet specific requirements. (49 CFR 173.196)[Added January 2003; Revised July 2006].	Verify that Division 6.2 material that is a Category A infectious substance meets the test standards of 49 CFR 178.609 and is marked in conformance with 49 CFR 178.503(f) (see actual text). Verify that packaging for a Category A infectious substance is a triple packaging consisting of the following components: - a watertight primary receptacle - a watertight secondary packaging such that if multiple fragile primary receptacles are placed in a single secondary packaging, they are either wrapped individually or separated to prevent contact between them - a rigid outer packaging of adequate strength for its capacity, mass and intended use such that the outer packaging measures not less than 100 mm (3.9 in) at its smallest overall external dimension - for a liquid infectious substance, an absorbent material is placed between the primary receptacle and the secondary packaging and the absorbent material is sufficient to absorb the entire contents of all primary receptacles - an itemized list of contents enclosed between the secondary packaging and the outer packaging - the primary receptacle or secondary packaging used for infectious substances is capable of withstanding, without leakage, an internal pressure producing a pressure differential of not less than 95 kPa (0.95 bar, 14 psi) - the primary
SO.115.3.US Regulated medical waste packaging for transport must meet specific requirements. (49 CFR 173.197)[Added January 2003; Revised July 2006].	Verify that non-bulk packagings, large Packagings, and non-specification bulk outer packagings used for the transportation of regulated medical waste rigid containers meet the provisions of 49 CFR 173.21 through 173.40. Verify that, except as provided in 49 CFR 173.134(c), non-bulk packagings for regulated medical waste are UN standard packagings conforming to the requirements of 49 CFR 178 at the Packing Group II performance level. Verify that a non-bulk packaging used as a sharps container is puncture-resistant for sharps and sharps with residual fluid as demonstrated by conducting the performance tests in 40 CFR 178, subpart M on packagings containing materials representative of the sharps and fluids (such as sterile sharps) intended to be transported in the packagings. Verify that sharps containers are securely closed to prevent leaks or punctures in conformance with the instructions provided by the packaging manufacturer. (NOTE: Large Packaging constructed, tested, and marked in accordance with the requirements of the UN Recommendations and conforming to other requirements outlined in this checklist item for Large Packaging may be used for the transportation of regulated medical waste, provided the waste is contained in conforming inner
SO.115.4.US Diagnostic specimen and used health care product packaging for transport must meet specific requirements. (49 CFR 173.199)[Added January 2003; Revised July 2006].	(NOTE: Category B infectious substances are excepted from all other requirements 49 CFR 173 when offered for transportation or transported in accordance with 49 CFR 173.199. Category B infectious substances offered for transportation or transported under the provisions 49 CFR 173.199 are subject to the incident reporting requirements in 49 CFR 171.15 and 171.16 and to the requirements in 49 CFR 175.85 concerning cargo location. Except as indicated below, a Category B infectious substance meeting the definition of a hazard class other than Division 6.2 must be offered for transportation or transported in accordance with applicable requirements of this subchapter.) Verify that Category B infectious substances are packaged in a triple packaging consisting of a primary receptacle, a secondary packaging, and a rigid outer packaging. Verify that primary receptacles are packed in secondary packaging in such a way that, under normal conditions of transport, they cannot break, be punctured, or leak their contents into the secondary packaging. Verify that secondary packaging is secured in rigid outer packagings with suitable cushioning material such that any leakage of the contents will not impair the protective properties of the cushioning material or the outer packaging. Verify

SO.130.1.US The control and discharge of garbage must be done according to specific parameters. (33 CFR 151.51, 151.66, and 151.67).	Verify that no garbage is discharged into the navigable waters of the United States. Verify that no plastic or garbage mixed with plastic is discharged into the navigable waters of the United States; including synthetic ropes, fishing nets, and plastic garbage bags. Verify that all garbage containing plastic is discharged ashore or incinerated. (NOTE: These requirements apply to: - each ship that is of U.S. registry or nationality, or one operated under the authority of the United States, including recreational vessels and uninspected vessels - each ship that is in the navigable waters of the exclusive economic zone of the United States.) (NOTE: These requirements do not apply to: a warship, naval auxiliary or other ship owned or operated by the United States when in engaged in noncommercial service; or another ship specifically exempted by MARPOL 73/78. But Corps policy requires compliance with these regulations.)
SO.200.1.US Application of solid waste to land used for the production of food-chain crops (interim final) must not pose a reasonable probability of adverse effects on health or the environment. (40 CFR 257.1, 257.3, 257.3-5(a), and 257.3-5(b))[Added July 2008].	(NOTE: This was previously checklist item SO.30.11.US). Verify that a facility or practice concerning application of solid waste to within 1 m (3 ft) of the surface of land used for the production of food-chain crops does not exist or occur, unless in compliance with all of the following requirements: - the pH of the solid waste and soil mixture is 6.5 or greater at the time of each solid waste application, except for solid waste containing cadmium at concentrations of 2 mg/kg (dry weight) or less - the annual application of cadmium from solid waste does not exceed 0.5 kg/ha on land used for production of tobacco, leafy vegetables, or root crops grown for human consumption - for food-chain crops other than tobacco, leafy vegetables, or root crops grown for human consumption, the annual cadmium application rate does not exceed: 2.0 kg/ha prior to 30 June 1984 1.25 kg/ha 1 July 1984 to 31 December 1986 0.5 kg/ha after 1 January 1987 - the cumulative application of cadmium from solid waste does not exceed either of the following maximum cumulative application levels: when the background soil pH is less than 6.5 and the soil cation exchange capacity is less than 5 meq/100 g: 5 kg/ha when the background soil pH is less than 6.5 and the soil cation exchange capacity is 5 to 15 meq/100 g: 5 kg/ha when
ST.25.1.US Existing UST systems were required to meet the standards for new USTs, be upgraded, or closed by 22 December 1998. (40 CFR 280.10(c) and 280.21(a) through 280.21(d))[Revised March 2000].	(NOTE: An existing UST system is; one used to contain an accumulation of regulated substances on or before 22 December 1988 or one for which installation commenced on or before 22 December 1998.) Verify that existing USTs meet one of the following standards: - the performance standards for new USTs in 40 CFR 280.20 (see checklist items ST.35.1.US, ST.35.3.US, and ST.35.4.US.) - upgrading requirements outlined in 40 CFR 280.21(b) through 40 CFR 280.21(d) (see checklist items ST.25.1.US.) - closed according to 40 CFR 280.70 through 280.74 (see checklist items ST.90.2.US. and ST.95.1.US. through ST.95.7.US.). Verify that, if upgrading is the chosen option, the upgrading of steel USTs includes one of the following methods in accordance with a code of practice developed by a nationally recognized association or independent testing laboratory: - internal lining according to the following requirements: - lining is installed according to 40 CFR 280.33 (see checklist item ST.55.1.US.) - within 10 yr after lining, and every 5 yr thereafter, the lined tank is inspected internally and found to be structurally sound, with the lining still performing in accordance with original design specifications - cathodic protection with field-installed systems designed by a corrosion expert, impressed current

ST.35.1.US New UST systems are required to be fitted with spill and overfill prevention equipment. (40 CFR 280.10(c) and 280.20(c))[Revised March 2000].	Verify that spill prevention equipment will prevent a release of product to the environment when the transfer hose is detached from the fill pipe. Verify that overfill prevention equipment does one of the following: - automatically shuts off flow into the tank when the tank is no more than 95 percent full - alerts the transfer operator when the tank is no more than 90 percent full by restricting the flow into the tank or triggering a high-level alarm - restrict flow 30 min prior to overfilling, alert the operator with a high-level alarm 1 min before overfilling, or automatically shut off flow into the tank so that none of the fittings are exposed to product due to overfilling. (NOTE: This spill and overfill equipment is not required if approved equivalent equipment is used or the UST system is filled by transfers of no more than 25 gal at one time.) (NOTE: All existing tanks were to be upgraded by 1998. The state may have had an earlier deadline.) (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission
ST.35.2.US Notice must be given within 30 days when a UST system is brought into service after 8 May 1986. (40 CFR 280.10(c) and 280.22(a) through 280.22(f))[Revised March 2000].	Determine if any UST was brought into service after 8 May 1986. Verify that the appropriate notification was issued to the state or local agency or department designated to receive the notice. (NOTE: If a state requires use of a state form that differs from a USEPA form 7530, a state form may be used for notification in lieu of a USEPA form 7530 if the form meets the requirements of RCRA Section 9002. These notices must be sent to the appropriate agency. See Appendices I and II of 40 CFR 280 for details on the contents of the USEPA forms.) Verify that owners and operators of new UST systems certify in the notification form compliance with the following: - installation of tanks and piping under 40 CFR 280.20(a) (see checklist item ST.35.3.US.) - cathodic protection or steel tanks and piping under 40 CFR 280.20(a) and 280.20 (b) (see checklist item ST.35.3.US.) - financial responsibility under 40 CFR 280, Subpart H (when applicable) - release detection under 40 CFR 280.41 and 280.42. Verify that all owners of new USTs ensure that the installer certifies in the notification form that appropriate methods were used to install the tank and piping in compliance with the requirements of 40 CFR 280.20(d) (see checklist item ST.35.4.US.). (NOTE: The following types of USTs are not subject
ST.35.3.US UST systems installed after 22 December 1988 must be constructed in such a manner that they will remain structurally sound for their operating life. (40 CFR 280.10(c), 280.20(a), and 280.20(b))[Revised March 2000].	Verify that each UST is properly designed and constructed, and any portion underground that routinely contains product is protected from corrosion in accordance with a code of practice developed by a nationally recognized association or independent testing laboratory and the tank is constructed of one of the following materials: - fiberglass-reinforced plastic - steel which has cathodic protection in the following manner: - coated with a suitable dielectric material - field installed cathodic protection designed by a corrosion expert - impressed current systems which allow determination of current operating status as required in 40 CFR 280.31(c) (see checklist item ST.50.1.US.) - cathodic protection systems are operated and maintained in accordance with 40 CFR 280.31 or according to a guideline established by the implementing agency (see checklist item ST.50.1.US.) - steel-fiberglass-reinforced-plastic composite - metal without additional corrosion protection provided that: - the tank is installed at a site that has been determined by a corrosion expert not to be corrosive enough to cause it to have a release due to corrosion during the operating life of the tank - records are maintained for the operating life of the tank that it is in a corrosion free environment - tank construction and corrosion

ST.35.4.US Installation of new UST systems must be certified and done according to standard practices. (40 CFR 280.10(c), 280.20(d), and 280.20(e))[Revised March 2000].	Determine if new UST systems have been properly installed by reviewing records for certification. Verify that installation of tanks and piping is done in accordance with a code of practice developed by a nationally recognized association or independent testing laboratory and in accordance with the manufacturer's instructions. Verify that one or more of the following methods of certification, testing, or inspection is used to demonstrate compliance: - the installer has been certified by the tank and piping manufacturer - the installer has been certified or licensed by the implementing agency - the installation has been inspected and certified by a registered professional engineer with education and experience in UST system installation - the installation has been inspected and approved by the implementing agency - all work listed in the manufacturer's installation checklists has been completed - the owner and operator have complied with another method for ensuring compliance that is determined by the implementing agency to be no less protective of human health and the environment. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 -
ST.35.5.US UST systems must be made of or lined with materials compatible with the substance stored. (40 CFR 280.10(c) and 280.32)[Reviewed March 2000].	Verify that the substances stored in UST systems are compatible with the system. Determine which USTs are being used to store a substance other than that for which it was originally intended. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)
ST.45.1.US The filling of a UST must include the prevention of overfilling and spilling of the substance. (40 CFR 280.10(c) and 280.30(a))[Revised March 2000].	Determine if there is a problem with overfilling of USTs or spills by observing the filling operations, reviewing records, and checking the ground around the fill-lines for visible or odorous indications of contamination. Verify that the level of the UST is checked before a transfer is made and that the volume available in the tank is greater than the volume of the product to be transferred to the tank. Verify that the transfer operation is monitored constantly. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)
ST.45.2.US Spills or overfills from UST systems are required to be contained, cleaned up, and reported to the implementing agency within 24 h in specific situations. (40 CFR 280.10(c), 280.30(b), and 280.53)[Reviewed March 2000].	Verify that any and all spills or overfills which meet the following criteria have been contained, cleaned up, and reported to the implementing agency within 24 h, or another reasonable time period specified by the implementing agency, and corrective actions started: - spills or overfills of petroleum that result in a release to the environment of more than 25 gal, or another reasonable amount specified by the implementing agency, or that caused a sheen on nearby surface water - spills or overfills of hazardous substances that result in a release to the environment in excess of the reportable quantity under CERCLA. (NOTE: Spills or overfills of hazardous substances to the environment equal to or greater than the reportable quantity must be immediately reported to the National Response Center (NRC).) Verify that a spill or overfill of petroleum that is less than 25 gal and a spill or overfill of a hazardous substance that is less than the reportable quantity is contained and immediately cleaned up. Verify that if the cleanup of these lesser quantities cannot be accomplished within 24 h, or another reasonable time period established by the implementing agency, the implementing agency is notified. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems

ST.50.1.US Steel UST systems with corrosion protection must meet specific requirements. (40 CFR 280.10(c) and 280.31)[Revised March 2000].	Determine which steel UST systems have corrosion protection. Verify that the corrosion protection systems are operated and maintained to continuously provide corrosion protection to the metal components of that portion of the tank and piping that routinely contain regulated substances and are in contact with the ground. Verify that all UST systems equipped with cathodic protection systems are inspected for proper operation by a qualified cathodic protection tester in accordance with the following: - all cathodic protection systems are tested within 6 mo of installation and at least every 3 yr thereafter or according to another reasonable time frame established by the implementing agency - criteria used to determine cathodic protection is adequate is in accordance with a code of practice developed by a nationally recognized association. Verify that UST systems with impressed current cathodic protection are inspected every 60 days to ensure the equipment is running properly Verify that inspection records are maintained of the last three inspections for systems with impressed current cathodic protection and of the last two inspections for all other cathodic protection systems. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any
ST.55.1.US Repairs to USTs must be performed according to industry code. (40 CFR 280.10(c) and 280.33)[Revised March 2000; Moved July 2005].	Determine if there have been any repairs by reviewing the records and interviewing personnel. Verify that repairs to UST systems are properly conducted in accordance with a code of practice developed by a nationally recognized association or an independent testing laboratory. Determine who does repairs to USTs and that the following procedures are used to repair USTs: - fiberglass reinforced plastic tanks may be repaired by the manufacturer's authorized representative or in accordance with a code of practice developed by a nationally recognized association or an independent testing laboratory - metal pipe fittings and sections that have leaked due to corrosion must be replaced, whereas fiberglass pipes and fittings may be repaired according to manufacturer's specifications. Verify that tanks and piping that have been replaced or repaired undergo tightness testing within 30 days following the date of completion of the repair. (NOTE: Tanks and piping need not be tested if one of the following is met: - repairs are internally inspected in accordance with a code of practice developed by a nationally recognized association or an independent testing laboratory - the repaired portion is already monitored monthly for releases - an equally protective test as determined by the implementing agency is used.)
ST.60.1.US New and existing USTs are required to provide a method, or combination of methods of release detection. (40 CFR 280.10(c), 280.10(d), 280.40(a), and 280.40(d))[Revised June 1997; Revised March 2000].	Verify that owners and operators of new and existing UST systems provide a method, or combination of methods, of release detection that: - can detect a release from any portion of the tank and the connected underground piping that routinely contains product - is installed, calibrated, operated, and maintained in accordance with the manufacturer's instructions, including routine maintenance and service checks for operability or running condition, and - meets the performance requirements in 40 CFR 280.43 or 280.44, with any performance claims and their manner of determination described in writing by the equipment manufacturer or installer (see Appendix 10-3 of this document). Verify that methods used are capable of detecting the leak rate or quantity specified for that method with a probability of detection (Pd) of 0.95 and a probability of false alarm (PFA) of 0.05. Verify that existing UST systems that cannot apply a compliant method of release detection are closed in accordance with 40 CFR 280.70 through 280.74 (see checklist items ST.90.2.US. and ST.95.1.US. through ST.95.7.US.). (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the

ST.65.1.US UST systems containing petroleum must meet specific release detection system requirements. (40 CFR 280.10(c), 280.10(d), 280.41, 280.43, and 280.44)[Revised March 2000].	Verify that tanks are monitored every 30 days using one of the following methods (details of methods are provided in Appendix 10-3): - automatic tank gauging - vapor monitoring - groundwater monitoring - interstitial monitoring - other acceptable methods. (NOTE: The following are exceptions: - UST systems that meet performance standards for new or upgraded systems (40 CFR 280.20 and 280.21, see checklist items ST.25.1.US., ST.35.1.US., ST.35.3.US., and ST.35.4.US.) and monthly inventory requirements may use tank tightness testing at least every 5 yr until 22 December 1998 or until 10 yr after the tank is upgraded or installed, whichever is later - UST systems that do not meet performance standards for new or upgraded systems (40 CFR 280.20 and 280.21, see checklist items ST.25.1.US., ST.35.1.US., ST.35.3.US., and ST.35.4.US.), may use monthly inventory controls and annual tank tightness testing until 22 December 1998, at which time the tank must be upgraded or permanently closed - tanks that hold 550 gal or less may use weekly tank gauging.) (NOTE: See Appendix 10-3 for a description of monthly monitoring requirements and tank tightness testing requirements.) Verify that underground piping which routinely contains a regulated substance is monitored for
ST.70.1.US Hazardous substance USTs must meet specific release detection standards. (40 CFR 280.10(c), 280.10(d), 280.42(b))[Revised March 2000].	Verify that release detection at new hazardous substance UST systems meets all of the following requirements: - secondary containment systems are designed, constructed and installed to: - contain regulated substances released from the tank system until they are detected and removed - prevent the release of regulated substances to the environment at any time during the operational life of the UST system - be checked for evidence of a release at least every 30 days - double-walled tanks are designed, constructed, and installed to: - contain a release from any portion of the inner tank within the outer wall - detect the failure of the inner wall - external liners (including vaults) are designed, constructed, and installed to: - contain 100 percent of the capacity of the largest tank within its boundary - prevent the interference of precipitation or ground-water intrusion with the ability to contain or detect a release of regulated substances - surround the tank completely (i.e., it is capable of preventing lateral as well as vertical migration of regulated substances) - underground piping is equipped with secondary containment systems that are designed, constructed and installed to: - contain regulated substances released from the tank system until they are detected and removed - prevent the release of
ST.70.2.US Existing hazardous substance USTs must have met specific release detection standards by 22 December 1998. (40 CFR 280.10(c), 280.10(d), 280.42(a))[Revised March 2000].	Verify that existing hazardous substance USTs met the release detection requirements for new hazardous substance USTs by 22 December 1998 (see checklist item ST.70.1.US.). (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks - UST system that stores fuel solely for use by emergency power generators.)
ST.75.1.US UST systems containing fuel used solely for emergency generators should meet specific release detection system requirements. (MP).	Verify that tanks are monitored every 30 days using the method in Appendix 10-3 except for: - UST systems that meet performance standards for new or upgraded systems and monthly inventory requirements may use tank tightness testing at least every 5 yr until 22 December 1998 or until 10 yr after the tank is upgraded or installed - UST systems that do not meet performance standards for new or upgraded systems may use monthly inventory controls and annual tank tightness testing until 22 December 1998, at which time the tank must be upgraded or permanently closed - tanks that hold 550 gal or less may use weekly tank gauging. Verify that underground piping which routinely contains a regulated substance has the following release detection done according to the methods in Appendix 10-3: - pressurized piping: - equipped with automatic line leak detector - annual tightness testing or monthly monitoring - suction piping: - line tightness testing every 3 yr or acceptable monthly monitoring - no release detection system is needed for suction piping which is below grade and: - operates at less than atmospheric pressure - is sloped so that contents of pipe will roll back to tank when suction is released - only one check valve is included in each suction line - the check valve is located directly below and as close as

ST.80.1.US Releases from UST systems are required to be reported under specific conditions. (40 CFR 280.10(c), 280.40(b), and 280.50)[Revised March 2000].	Verify that, when a release detection method operated in accordance with the performance standards in 40 CFR 280.43 and 280.44 (see Appendix 10-3) indicates a release may have occurred, the implementing agency is notified in accordance with 40 CFR 280.50 through 280.53 (see checklist items ST.45.2.US., ST.80.1.US., ST.80.2.US.). Determine if any and all releases that meet any of the following conditions were reported: - released regulated substances found at the UST site or in the surrounding area (such as the presence of free product or vapors in soils, basements, sewer and utility lines, and nearby surface waters) - unusual operating conditions observed such as the erratic behavior of dispensing equipment or a sudden loss of product unless it is determined the problem lies in the equipment but it is not leaking and is immediately repaired or replaced - monitoring results from a release detection method operated in accordance with the performance standards in 40 CFR 280.41 and 280.42 (see Appendix 10-3) indicates a possible release, unless one of the following occurs: - the monitoring device is found to be defective, and is immediately repaired, recalibrated, or replaced, and additional monitoring does not confirm the initial result - in the case of inventory control, a
ST.80.2.US All suspected releases of a regulated substances requiring reporting within 7 days must be investigated and confirmed unless a corrective action is started immediately as detailed in 40 CFR 280.60 through 280.67. (40 CFR 280.10(c) and 280.52)[Reviewed March 2000].	Verify that all suspected releases of a regulated substances requiring reporting within 7 days, or another reasonable time period specified by the implementing agency, are investigated and confirmed unless a corrective action is started immediately as detailed in 40 CFR 280.60 through 280.67 (see checklist items ST.80.3.US. through ST.80.7.US. and ST.95.8.US.). Verify that confirmation is done using tightness testing to determine whether a leak is in the tank, the delivery piping, or both. (NOTE: If the test results for the system, tank or delivery piping indicate that a leak has occurred, repair, replacement, or upgrade actions, and corrective actions must be started.) (NOTE: If the test results, for the system, tank or delivery piping do not indicate a leak and environmental contamination is not the basis for suspecting a release, no further investigation is needed.) Verify that, if environmental contamination is the basis for suspecting a leak, and the tightness test does not indicate a leak exists, a site check is done which measures for the presence of a release in the areas where contamination is most likely to be present. Verify that, when selecting sample types, sample locations, and measurement methods for a site check, owners and operators consider the nature of the stored substance, the type
ST.80.3.US Specific initial response actions must be performed within 24 h of a confirmed release from petroleum or hazardous substance USTs. (40 CFR 280.60 and 280.61)[Reviewed March 2000].	Verify that all of the following initial response actions are performed within 24 h of a release from petroleum or hazardous substance USTs, or within another reasonable period of time determined by the implementing agency: - report the release to the implementing agency - take immediate action to prevent any further release of the regulated substance into the environment - identify and mitigate fire, explosion, and vapor hazards. (NOTE: These requirements do not apply to excluded USTs (see the definitions) or USTs exempted under the RCRA Subtitle C Section 3004(u) corrective action requirements.) (NOTE: A RCRA Subtitle C, Section 3004(u) UST is a UST holding a hazardous material at a RCRA Subtitle C permitted facility. A release from such a UST would be handled as required under the RCRA permit's corrective action plan.)

ST.80.4.US Specific initial abatement measures and site checks must be performed when there is a confirmed release from petroleum or hazardous substance USTs unless directed to do otherwise by the implementing agency. (40 CFR 280.60 and 280.62)[Revised March 2000].	Verify that all of the following abatement actions are performed, unless the facility is directed to do otherwise by the implementing agency: - removal of as much of the substance as is necessary to prevent further release from the UST system - visual inspection of aboveground releases or exposed belowground releases is done and further migration of the released substance into surrounding soils and groundwaters is prevented - continued monitoring and mitigation of any fire and safety hazards caused by vapors or free product that may have migrated from the UST excavation zone and entered into subsurface structures (such as sewers or basements) - remedy hazards from contaminated soils that are excavated or exposed as a result of release confirmation, site investigation, abatement, or corrective action - measurements are done for the presence of a release where the contamination is most likely to be present unless the presence and source of the release has previously been confirmed - an investigation is done for the presence of free product and the removal of free product is done as soon as possible. Verify that within 20 days after release confirmation, or within another reasonable period of time determined by the implementing agency, a report is submitted to the
ST.80.5.US When there is a confirmed release from petroleum or hazardous substance UST, information about the site and nature of the release must be assembled unless exempted by the implementing agency. (40 CFR 280.60 and 280.63)[Revised March 2000].	Verify that, unless otherwise directed to do so by the implementing agency, owners and operators assemble information about the site and the nature of the release, including information gained while confirming the release or completing initial abatement measures. Verify that, specifically, this information includes but is not limited to: - data on the nature and estimated quantities of the release - data from available sources and/or site investigations concerning surrounding populations, water quality, use and approximate locations of wells potentially affected, subsurface soil conditions, locations of subsurface sewers, climatological conditions, and land use - results of site check - results of free product investigation. Verify that within 45 days of the release confirmation, or another reasonable period of time determined by the implementing agency, this information is submitted to the implementing agency in a manner which demonstrates its applicability and technical adequacy, or in a format required by the implementing agency. (NOTE: These requirements do not apply to excluded USTs (see the definitions) or USTs exempted under the RCRA Subtitle C Section 3004(u) corrective action requirements.) (NOTE: A RCRA Subtitle C, Section 3004(u) UST is a UST holding a hazardous material
ST.80.6.US When there is a confirmed release from petroleum or hazardous substance UST and site investigations have indicated free product, the free product must be removed to the maximum extent possible as required by the implementing agency. (40 CFR 280.60 and 280.64)[Revised March 2000].	Determine if there are any release sites where free product has been confirmed. Verify that the free product is removed to the maximum extent practicable as determined by the implementing agency while continuing initial response measures, initial abatement measures and site checks, site investigations, and preparing for investigations for soil and groundwater cleanup and the development of the corrective action plan. Verify that free product removal is done so that the spread of contamination into previously uncontaminated zones is minimized by using recovery and disposal techniques appropriate to the hydrogeologic conditions at the site, and that properly treats, discharges, or disposes of recovery byproducts in compliance with applicable regulations. Verify that the abatement of free product migrations is used as a minimum objective for the design of the free product removal system and any flammable products are handled in a safe and competent manner to prevent fires or explosions. Verify that, unless directed otherwise by the implementing agency, within 45 days after confirming a release, a free product removal report is submitted to the implementing agency that includes at least the following: - the name of the person responsible for implementing the free product removal

ST.80.7.US When there is a confirmed release from petroleum or hazardous substance USTs, an investigation for soil and groundwater contamination is required to be performed. (40 CFR 280.60 and 280.65)[Revised March 2000].	Verify that an investigation of the release, the release site, and possibly affected surrounding areas has been done and identified if any of the following conditions exists: - evidence that groundwater wells have been affected by the release - free product is found to need recovery - evidence that contaminated soil is in contact with groundwater - the implementing agency requests an investigation based on the potential effects of contaminated soil or groundwater on nearby surface water and groundwater resources. Verify that the results of the investigation are submitted to the implementing agency as soon as practicable, or according to a time schedule defined by the implementing agency. (NOTE: These requirements do not apply to excluded USTs (see the definitions) or USTs exempted under the RCRA Subtitle C Section 3004(u) corrective action requirements.) (NOTE: A RCRA Subtitle C, Section 3004(u) UST is a UST holding a hazardous material at a RCRA Subtitle C permitted facility. A release from such a UST would be handled as required under the RCRA permit's corrective action plan.)
ST.85.1.US Deferred UST systems are required to meet specific standards. (40 CFR 280.10(c) and 280.11)[Revised June 1997; Reviewed March 2000].	Verify that deferred UST systems (whether single or double-walled) are not installed to store regulated substances unless: - releases due to corrosion or structural failure will be prevented for the operational life of the system - they are cathodically protected against corrosion, constructed of noncorrodible materials, steel clad with a noncorroding material, or designed to prevent release - they are constructed or lined with material that is compatible with the stored substance. (NOTE: UST sites without corrosion protection may be installed at a site that is determined by a corrosion expert not to be corrosive enough to cause it to have a release due to corrosion during its operating life. Records pertaining to this deferral must be kept for the life of the tank.) Verify that deferred systems meet the standards concerning release response and action for USTs containing petroleum or a hazardous substance found in 40 CFR 280.60 through 280.67 (see checklist items ST.80.3.US. through ST.80.7.US, and ST.95.8.US.). (NOTE: The following types of USTs are deferred USTs: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at
ST.90.1.US Specific reporting requirements are required to be met in relation to USTs. (40 CFR 280.10(c) and 280.34(a))[Revised March 1995; Reviewed March 2000].	Verify that the following has been submitted to the implementing agency when applicable: - notifications of new USTs, including certification of installation - release reports, including suspected releases, spills and overfills - planned or complete corrective actions, including: initial abatement measures, initial site characterization, free product removal, investigation of soil and groundwater cleanup, and the corrective action plan - notice of permanent closure or change in service. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)

ST.90.2.US Specific recordkeeping requirements must be met in relation to USTs. (40 CFR 280.10(c), 280.34(b), 280.34(c), 280.45, and 280.74)[Revised March 1995; Revised March 2000].	Verify that records are kept of the following: - a corrosion expert's analysis of site corrosion potential if corrosion protection equipment is not used - documentation of operation of corrosion protection equipment - documentation of UST system repairs - recent compliance with release detection requirements - results of any site investigations at permanent closure - demonstration of compliance with closure requirements. Verify that records are available at one of the following: - at the UST site and immediately available for inspection - at a readily available alternative site and provided for inspection upon request. (NOTE: In relation to permanent closure records, owners and operators have the additional alternative of mailing closure records to the implementing agency if they cannot be kept at the site or an alternative site.) Verify that records relating to release detection are kept as follows: - all written performance claims pertaining to any release detection system used, and the manner in which these claims have been justified or tested by the equipment manufacturer or installer, for 5 yr, or another reasonable period of time determined by the implementing agency, from the date of installation - the results of any sampling, testing, or monitoring for 1 yr, or another reasonable period of time
ST.95.1.US USTs which are put out of service temporarily, must have continued maintenance. (40 CFR 280.10(c) and 280.70)[Revised March 1995; Reviewed March 2000].	Determine if there are any temporarily closed USTs. Verify that proper operation and maintenance is being performed for the following: - corrosion protection in accordance with 40 CFR 280.31 (see checklist item ST.50.1.US.) - release detection in accordance with 40 CFR 280.40 through 280.45 (see checklist items ST.60.1.US, ST.65.1.US, ST.70.1.US, ST.70.2.US, ST.80.1.US, and ST.90.2.US.). (NOTE: 40 CFR 280.50 through 280.53 (see checklist items ST.45.2.US, ST.80.1.US, ST.80.2.US.) and 40 CFR 280.60 through 280.67 (see checklist items ST.80.3.US. through ST.80.7.US. and ST.95.8.US.) must be complied with if a release is suspected or confirmed.) (NOTE: If the UST is empty, release detection is not required.) (NOTE: An empty UST is one which has no more than 2.5 cm (1 in.) of residue or less than 0.3 percent by weight of total capacity of the UST system.) Verify that, if a UST system is temporarily closed for 3 mo or more, the vent lines are open and functioning and all other lines, pumps, manways, and ancillary equipment are capped and secured. Verify that, if the UST has been temporarily closed for more than 12 mo, the UST must be permanently closed if the UST does not meet the standards for a new UST in 40 CFR 280.20, or an upgraded UST in 40 CFR 280.21
ST.95.2.US Notification must be given to the implementing agency for any permanent closure or change in service 30 days in advance or within a reasonable time frame as determined by the implementing agency. (40 CFR 280.10(c) and 280.71(a))[Revised March 1995; Revised March 2000].	Determine if there are plans to permanently close or make a change in service to any USTs. Verify that the implementing agency was notified of intent to permanently closure or make the change-in-service at least 30 days, or within a reasonable time frame as determined by the implementing agency, before start of the activity unless the activity is in response to corrective action. Verify that the required assessment of the excavation zone is done after notifying the implementing agency but before completion of the permanent closure or change-in-service. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)

ST.95.3.US UST closure must be done according to specific requirements. (40 CFR 280.10(c) and 280.71(b))[Revised March 1995; Revised March 2000].	Verify that tanks being permanently closed are emptied and cleaned by removing all liquids and accumulated sludges. Verify that, if USTs have been, or are being, permanently closed, one of the following methods is used: - it is removed from the ground - it is left in place with the contents removed, and filled with an inert solid material. Determine if there are any possible abandoned USTs, and if there are plans to close the UST in an appropriate manner. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)
ST.95.4.US Prior to a change-in-service, tanks must be emptied and cleaned and a site assessment conducted. (40 CFR 280.10(c) and 280.71(c))[Revised March 1995; Revised March 2000].	(NOTE: Continued use of an UST system to store a non-regulated substances is considered a change-in-service.) Verify that, prior to the change, the tank was emptied and cleaned by removing all liquid and accumulated sludge. Verify that, prior to the change, a site assessment in accordance with 40 CFR 280.72 (see checklist item ST.95.5.US.) was done. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)
ST.95.5.US Prior to permanent closure or change in service, measurements must be made for the presence of a release where contamination is most likely to be present at the site. (40 CFR 280.10(c) and 280.72)[Revised March 1995; Revised March 2000].	Verify that prior to permanent closure or change in service, measurements for the presence of a release are done where contamination is most likely to be present at the UST site. Verify that in selecting sample types, sample locations, and measurement methods, owners and operators have considered the method of closure, the nature of the stored substances, the type of backfill, the depth to groundwater, and other appropriate factors for identifying the presence of a release. (NOTE: These requirements are met if one of the leak detection methods outlined in 40 CFR 280.43(e) (vapor monitoring) and 280.43(f) (groundwater monitoring) (see Appendix 10-3) are in operation at the time of closure and there is no indication of release.) Verify that in the event contaminated soils, contaminated groundwater or free product is discovered, corrective action is undertaken in accordance with 40 CFR 280.60 through 280.67 (see checklist items ST.80.3.US. through ST.80.7.US. and ST.95.8.US.) (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power
ST.95.6.US The excavation zone of UST systems closed prior to 22 December 1988 must be assessed and the UST closed according to current standards. (40 CFR 280.10(c) and 280.73)[Revised March 1995; Reviewed March 2000].	Determine if there are any USTs which were closed prior to 22 December 1988. Verify that the excavation zone of these USTs has been assessed and cleanup done as needed when directed to do so by the implementing agency. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)

ST.95.7.US Excavation zone assessment records shall be maintained for 3 yr. (40 CFR 280.10(c) and 280.74)[Revised March 1995; Revised March 2000].	Verify that records demonstrating compliance with closure requirements are maintained Verify that results of excavation zone assessments are maintained for at least 3 yr after completion of permanent closure or change-in-service in one of the following ways: - by the owners and operators who took the UST our of service - by the current owners and operators of the UST system site - by mailing the records to the implementing agency if they cannot be maintained at the closed facility. (NOTE: The following types of USTs are not subject to these requirements: - wastewater treatment tank systems - any UST systems containing radioactive material that are regulated under the Atomic Energy Act of 1954 - any UST system that is a part of an emergency generator system at nuclear power generation facilities regulated by the Nuclear Regulatory Commission under 10 CFR 50, Appendix A - airport hydrant fuel distribution systems - UST system with field-constructed tanks.)
ST.95.8.US In specific situations, a corrective action plan is required. (40 CFR 280.66 and 280.67)[Added March 2000].	Determine if, after reviewing the information submitted for site characterization, free product removal, and soil/groundwater cleanup, the implementing agency has required the owner and operators to submit additional information or to develop and submit a corrective action plan for responding to contaminated soils and ground water. Verify that, if a plan is required, it is submitted according to a schedule and format established by the implementing agency. (NOTE: Alternatively, owners and operators may, after fulfilling the requirements for site characterization, free product removal, and soil/groundwater cleanup, choose to submit a corrective action plan for responding to contaminated soil and ground water.) Verify that the plan provides for adequate protection of human health and the environment as determined by the implementing agency. (NOTE: The implementing agency will approve the corrective action plan only after ensuring that implementation of the plan will adequately protect human health, safety, and the environment.) Verify that the approved plan is implemented, and the owners and operators monitor, evaluate, and report the results of implementing the plan in accordance with a schedule and in a format established by the implementing agency. (NOTE:
ST.100.1.US SQGs must comply with certain storage tank requirements. (40 CFR 262.34(d)(3) and 265.201(a) through 265.201(e) [Revised July 2006]).	Verify that: the tank prevents: generation of extreme heat or pressure, fire or explosions, or violent reactions production of uncontrolled toxic mists, fumes, dusts, or gases in quantities that would threaten human health or the environment production of uncontrolled flammable fumes or gases in quantities that would pose a risk of fire or explosion damage to structural integrity of the device or facility threats to human health or the environment through other means no treatment reagent or hazardous wastes are placed in the tank that would cause it to rupture, leak, corrode, or otherwise fail before the end of its intended life uncovered tanks have at least 60 cm (2 ft) of freeboard unless the tank has a containment structure, drainage control system, or a diversion structure with a volume that equals or exceeds the capacity of the top 60 cm (2 ft) of the tank continuous feed tanks have a waste feed cutoff or other stop/bypass system. Verify that the following are inspected at the indicated times where present: discharge control equipment at least once each operating day monitoring equipment (pressure and temperature gauges) at least once each operating day waste level in tank at least once each operating day construction material of the tank for corrosion or leakage weekly surrounding area for

ST.100.2.US Tank systems at SQGs must comply with requirements for ignitable, reactive, or incompatible wastes. (40 CFR 262.34(d)(3) and 265.201(g) through 265.201(h) [Citation Revised July 2006]).	Verify that ignitable or reactive wastes are not placed in a tank system unless one of the following is done: - the waste is treated, rendered, or mixed before or immediately after placement in the tank system so that it is no longer reactive or ignitable and the minimum requirements for reactive and ignitable wastes are met - the waste is treated or stored in such a way that it is protected from any material or conditions that may cause the waste to ignite or react - the tank system is used solely for emergencies. Verify that the minimum protective distances between waste management areas and any public ways, streets, alleys, or an adjoining property line that can be built upon as required in Tables 2-1 through 2-6 of the National Fire Protection Association's (NFPA's) Flammable and Combustible Liquids Code are maintained. Verify that incompatible waste, or incompatible wastes and materials, are not placed in the same tank system unless minimum safety requirements are met. Verify that hazardous waste is not placed in a tank system that has not been decontaminated and that previously held an incompatible waste or material unless mini mum safety requirements are met.
ST.100.3.US SQGs must comply with specific tank closure requirements. (40 CFR 265.201(f) [Citation Revised July 2006]).	Verify that tank systems in the process of being closed or closed had all hazardous waste removed from tanks, discharge control equipment, and discharge confinement structures.
ST.120.1.US Tanks used for the storage of flammable/ combustible liquids are required to meet specific design and construction standards. (29 CFR 1910.106(b)(1)).	Verify that tanks are built of steel unless: - the tank is installed underground - the properties of the liquid being stored requires materials other than steel be used - the tank is designed according to specifications embodying principles recognized as good engineering design for the materials used - it is an unlined concrete tank that stores flammable or combustible liquids having a gravity of 40 degrees API or heavier. (NOTE: API gravity is a scale adopted by the American Petroleum Institute for measuring the density of oils.) Verify that tanks located aboveground or inside buildings are of noncombustible construction. (NOTE: Tanks designed for underground service not exceeding 2500 gal capacity may be used aboveground and low-pressure tanks and pressure vessels may be used as atmospheric tanks.) Verify that atmospheric tanks are not used for the storage of a flammable or combustible liquid at a temperature at or above its boiling point. Verify that the normal operating pressure of a low pressure tank does not exceed the design pressure of the tank.
ST.120.2.US Outside aboveground tanks used for the storage of flammable/ combustible liquids are required to be installed according to specific parameters. (29 CFR 1910.106(b)(2)(i) through 1910.106(b)(2)(ii)).	Verify that there is a minimum distance of 3 ft between any two tanks. Verify that the distance between any two adjacent tanks is not less than one-sixth the sum of their diameters. (NOTE: When the diameter of one tank is less than half the diameter of the adjacent tank, the distance between the two tanks is not less than one-half the diameter of the smaller tank.) Verify that where unstable flammable or combustible liquids are stored, the distance between the tanks is not less than one-half the sum of their diameters. Verify that, when tanks are compacted in three or more rows or in an irregular pattern, greater spacing or other means is provided for firefighting access. Verify that there is a minimum distance of 20 ft between a liquefied petroleum gas (LPG) container and a flammable or combustible liquid storage tank. (NOTE: In the case of flammable of combustible liquid tanks operating at pressure exceeding 2.5 psig or equipped with emergency venting which will permit pressures to exceed 2.5 psig spacing of 3 ft or the use of the formula concerning one- sixth of diameters may be used.) Verify that means such as diversion curbs or grading are provided to prevent the accumulation of flammable or combustible liquids under adjacent LPG containers. Verify that if flammable combustible liquid storage

ST.120.3.US Tanks for the storage of flammable/ combustible liquids are required to meet specific containment requirements. (29 CFR 1910.106(b)(2)(vii)).	Verify that the area surrounding a tank, or a group of tanks, is either provided with drainage or diked as follows: - drainage systems terminate in vacant land or other area or in an impounding basin having a capacity not smaller than that of the largest tank served - diked areas have a volumetric capacity of not less than the greatest amount of liquid that can be released from the largest tank within the diked area, assuming a fuel tank. Verify that walls of diked areas are of earth, concrete, steel, or solid masonry designed to be liquid tight. Verify that earthen walls 3 ft or more in height have a top that is no less than 2 ft wide. Verify that the walls of the diked area are restricted to an average height of 6 ft above interior grade. Verify that there are no loose combustible materials, empty or full drums or barrels within the diked area.
ST.120.4.US In locations where flammable vapors may be present from storage tanks, precautions are required to be taken to prevent ignition. (29 CFR 1910.106(b)(6)).	Verify that sources of ignition such as open flames, smoking, welding and cutting, hot surfaces, sparks, and radiant heat are avoided.
ST.120.5.US Tanks used for the storage of flammable/ combustible liquids are required to be strength tested before being placed into service. (29 CFR 1910.106(b)(7)(i))[Revised April 1995].	Verify that the tank has been strength tested. (NOTE: It is common for a tank that has been strength tested to be marked with an American Society of Mechanical Engineers (ASME) code stamp, API monogram, or the label of the Underwriters Laboratory.)
ST.125.1.US Tanks storing used oil produced by used oil generators are required to meet specific criteria. (40 CFR 279.22(b) and 279.22(c))[Revised March 2000].	Verify that ASTs and fill pipes used to transfer used oil into underground storage facilities are clearly marked with the phrase USED OIL. Verify that ASTs are not leaking, bulging, rusting, damaged, or dented. (NOTE: USTs storing used oil are subject to the applicable standards in 40 CFR 280.) (NOTE: See Section 8 titled POL Management for additional guidance on used oil.) (NOTE: The requirements for used oil generators do not apply to the following (40 CFR 279.20(a)) [Reviewed March 2000]: - household Do-it-Yourselfer (DIY) used oil generators - vessels at sea or at port (it is considered generation when it is transported ashore) - mixtures of used oil and diesel fuel mixed by the generator of the used oil for use in the generator's own vehicles (NOTE: Prior to mixing, the used oil fuel is subject to 40 CFR 279, Subpart C.) - farmers who generate an average of 25 gal/mo or less of used oil from vehicles or machinery used on the farm in a calendar year.) (NOTE: In relation to used oil coming ashore from vessels, the owner or operator of the vessel and the person removing or accepting used oil from the vessel are cogenerators of the used oil and are both responsible for managing the waste as used oil once it is ashore [Reviewed March 2000].)
ST.130.1.US Do-it-yourselfer (DIY) used oil collection centers are required to meet the same storage tank standards as used oil generators. (40 CFR 279.30)[Reviewed March 2000].	Verify that DIY used oil collection centers meet the requirements for storage tanks as used oil generators. (NOTE: See Section 8 titled POL Management for additional guidance on used oil.)

ST.140.2.US Portable tanks are required to be handled and stowed according to specific requirements. (46 CFR 98.30-6, 98.30-7, 98.30-9, and 98.30-15).	Verify that smoking is not allowed within 50 ft of a portable tank on the deck where the tank is stowed. Verify that portable tanks are stowed on open decks and not: - in the vicinity of another tank that contains a chemically incompatible product - in the area of a tank and its associated equipment that is within 10 horizontal ft or 8 ft above deck unless all electrical equipment is explosion-proof or intrinsically safe. Verify that product is not transferred to or from a vessel unless there is a container or enclosed deck that can hold, in all conditions of vessel list or trim to be encountered during transfer, 5 gal or more and has a means of draining or removing any leakage without mixing incompatible products or discharging into the water.
ST.145.1.US Fuel oil tanks with at least one side integral to the vessel's hull and located within the hull are required to undergo inspections. (46 CFR 91.43).	Verify that prior to internal inspection, the tanks are cleaned out and gas-free. Verify that tanks are examined at least every 5 yr. (NOTE: Under the following circumstances, tanks need not be cleaned out and internally inspected: - integral nondouble-bottom fuel oil tanks if exterior inspection shows the general condition is satisfactory - double-bottom fuel oil tanks on vessels for less than 10 yr or if external examination shows the general condition is satisfactory - all double-bottom fuel oil tanks on vessels between 10 and 15 yr of age if the marine inspector can determine by internal inspection of at least one forward double-bottom fuel oil tank and external examination of all other double-bottom fuel oil tanks that the general condition is satisfactory - all double-bottom fuel oil tanks on vessels between 15- and 25-yr of age if the marine inspector can determine by internal examination of at least one forward, one amidships, and one aft double-bottom fuel oil tank and by external examination of all other double-bottom fuel oil tanks on the vessel that the general condition is satisfactory - all double-bottom fuel oil tanks on vessels 25-yr of age or older if internal examination of at least one double-bottom fuel oil tank in way of each cargo hold/tank and external examination of all other double-bottom fuel oil
T1.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
T1.1.2.US PCB Concentrations must be established by certain methods. (40 CFR 761.1(b)(4) and 761.2(b))[Added October 1998; Revised October 2001].	Verify that PCB concentrations have been established one of the following ways: - testing the equipment - permanent label, mark, or other documentation from the manufacturer of the equipment indicating its PCB concentration at the time of manufacture - service records or other documentation indicating the PCB concentration of all fluids used in servicing the equipment since it was first manufactured. (NOTE: See the definition of PCB Concentration Assumptions for further clarification.) Verify that any person determining PCB concentrations for non-liquid PCBs does so on a dry weight basis. Verify that any person determining PCB concentrations for liquid PCBs does so on a wet weight basis and liquid PCBs containing more than 0.5 percent by weight non-dissolved material are analyzed as multi-phasic non-liquid/liquid mixtures. Verify that any person determining the PCB concentration of samples containing PCBs and non-dissolved non-liquid materials >/= 0.5 percent, separates the non-dissolved materials into non-liquid PCBs and liquid PCBs. Verify that, for multi-phasic non-liquid/liquid or liquid/liquid mixtures, the phases are separated before chemical analysis. Verify that, following phase separation, the PCB concentration in each non-liquid phase is determined on a dry weight basis and the

T1.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
T1.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
T1.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
T1.10.2.US Storage rooms and certain equipment that contains PCBs must be marked with an ML marking. (40 CFR 761.40 and 761.45)[Revised October 1999; Revised October 2001].	(NOTE: 40 CFR 761 applies to all persons who manufacture, process, distribute in commerce, use, or dispose of PCBs or PCB Items. Substances that are regulated include, but are not limited to: dielectric fluids; solvents; oils; waste oils; heat transfer fluids; hydraulic fluids; paints or coatings; sludges; slurries; sediments; dredge spoils; soils; materials containing PCBs as a result of spills; and other chemical substances or combinations of substances, including impurities and byproducts and any byproduct, intermediate, or impurity manufactured at any point in a process. Requirements applicable to PCBs at concentrations < 50 ppm also apply to contaminated surfaces at PCB concentrations /= 50 ppm to < 500 ppm also apply to contaminated surfaces at PCB concentrations > 10 micrograms/100 cm2 to < 100 micrograms/100 cm2. Requirements applicable to PCBs at concentrations >/= 500 ppm also apply to contaminated surfaces at PCB concentrations >/= 100 micrograms/100 cm2. See also the definition for PCB Concentration Assumptions (40 CFR 761.1(b)(1), 761.1(b)(3) and 761.2).) (NOTE: Marking Format is Large PCB Mark (ML) letters and striping, on a white or yellow background, sufficiently durable to equal or exceed the life of the PCB Article. The size shall be 15.25 cm (6 in.) on
T1.10.3.US Generators, commercial storers, transporters, and disposers of PCB waste are required to have a USEPA identification number. (40 CFR 761.202 through 761.205)[Revised October 1998; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: Some facilities are exempt from the notification requirement if they do not have a specified PCB storage area as regulated by 40 CFR 761.65 and just temporarily store before they transport for disposal.) Determine if the facility is a generator, commercial storer, transporter, or disposer of PCB waste. Verify that generators of PCB waste have a USEPA identification number before processing, storing, disposing of, transporting, or offering for transport PCB waste. Verify that transporters, disposers, or commercial storers of PCB waste have a USEPA identification number. (NOTE: A generator of PCB waste who is exempted from notification, or who notified the USEPA in a timely manner, but has not yet received a unique identification number shall be regarded as having received the identification number "40 CFR 761".) (NOTE: A disposer of PCB waste who owns more than one disposal facility or mobile treatment unit shall accept waste unless the disposer has received an USEPA identification number for each facility or mobile unit.) Verify that, if required, Form 7710-53, Notification of PCB Waste Activity, was filed with USEPA by April 4, 1990, or prior to engaging in PCB

T1.15.1.US A written annual document log must be prepared by 1 July of each calendar year, covering the previous year when at least 45 kg (99.4 lb) of PCBs contained in PCB Containers or one or more PCB Transformers (500 ppm or greater), or 50 or more PCB Large, High- or Low-Voltage Capacitors is used or stored at any time. (40 CFR 761.180(a))[Revised October 1998; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: This requirement does not apply to a commercial storer or disposer of PCB waste.) Verify that the annual document log and annual records manifests, records of inspections and cleanups, certificates of disposal) are kept for at least 3 yr after PCBs and PCB items are no longer used or stored in the listed quantities. Verify the written annual document log includes the following: - the name, address, and USEPA identification number of the facility covered by the annual document log and the calendar year covered by the annual document log - the unique manifest number of every manifest generated by the facility during the calendar year - from each manifest and for unmanifested waste that may be stored at the facility, the following information - for bulk PCB waste (e.g., in a tanker or truck), its weight in kilograms, the first date it was removed from service for disposal, the date it was placed into transport for offsite storage or disposal, and the date of disposal, if known - the serial number (if available) or other means of identifying each PCB Article (e.g., transformer or capacitor), the weight in kilograms of the PCB waste in each transformer or capacitor, the date it was removed from
T1.15.3.US Storage and disposal facilities for PCBs shall maintain specific records for 3 yr. (40 CFR 761.180(f))[Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that facilities which store or dispose of PCBs collect and maintain the following records for 3 yr in addition to the information required for disposers in 40 CFR 761.180(b) (see checklist item T1.15.6.US): - all documents, correspondence, and data that have been provided by any state or local government - all documents, correspondence, and data provided to the state or local governments by the facility - any applications and related correspondence concerning wastewater discharge permits, solid waste permits, building permits, or other permits and authorizations.
T1.15.4.US Records will be maintained for equipment reclassification. (40 CFR 761.180(g))[Added July 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that records are kept of the required reclassification procedures if the facility has reclassified electrical equipment: Verify that, where the reclassification procedures require testing, the records include copies of pre- and post-reclassification PCB concentration measurements from a laboratory using quality control and quality assurance procedures. Verify that the facility makes these reclassification records available promptly to USEPA or to any party possessing the equipment through sale, loan, lease, or for servicing. Verify that the facility retains the reclassification records for at least 3 yr after selling or disposing of the equipment.
T1.15.5.US Certain records must be kept in relation to PCB cleanup. (40 CFR 761.125(b)(3) and 761.125(c)(5))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that after completing the cleanup of low concentration spills of < 1 lb of PCBs (< 270 gal of untested mineral oil), the cleanup is documented with records and certification containing the following: - identification of the source of the spill - estimated or actual date and time of the spill occurrence - the date and time cleanup was completed or terminated - a brief description of the spill location - precleanup sampling data used to establish the spill boundaries if required because of insufficient visible traces, and a brief description of the sampling methodology used - a brief description of the solid surfaces cleaned and of the double wash/rinse method used - approximate depth of the solid surface cleaned and the amount of soil removed - a certification statement signed by the responsible party stating the cleanup requirements have been met and that the information contained in the record is true to the best of his/her knowledge. Verify that after completing cleanup of high-concentration spills and low concentration spills involving 1 lb or more of PCBs by weight (270 gal or more of untested mineral oil), the cleanup is documented with records and certification containing the following: - identification of

T1.20.1.US PCB Transformers with PCBs of 500 ppm or greater that are in use or in storage for reuse shall not pose an exposure risk to food and feed. (40 CFR 761.30(a)(1)(i))[Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine if there are any PCB Transformers in use or in storage for reuse, that pose an exposure risk to food and feed, by reviewing the inventory.
T1.20.2.US PCB Transformers with concentrations of PCBs of 500 ppm or greater are subject to certain registration requirements. (40 CFR 761.30(a)(1)(vi))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that all PCB Transformers, including those in storage for reuse, are registered with the USEPA, National Programs Division, Office of Pollution Prevention and Toxics with the following information: - name and address - contact name and telephone number - address where transformers are located, for mobile sources such as a ship provide the name of the ship - number of PCB Transformers and total weight in kilograms of PCBs contained in the transformers - whether any transformers at the location contain flammable dielectric fluid (optional) - signature of the owner, operator, or other authorized representative certifying the accuracy of the information submitted. (NOTE: A transformer owner who assumes a transformer is a PCB-Contaminated transformer, and discovers after 28 December 1998 that it is a PCB-Transformer, must register the newly-identified PCB Transformer, in writing, with the USEPA no later than 30 days after it is identified as such. This requirement does not apply to transformer owners who have previously registered with the USEPA PCB Transformers located at the same address as the transformer that they assumed to be PCB-Contaminated
T1.20.4.US Combustible materials, including, but not limited to paints, solvents, plastics, paper, and sawn wood, must not be stored by a PCB Transformer. (40 CFR 761.30(a)(1)(viii))[Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that all combustible materials have been removed from the area within a PCB transformer enclosure (i.e., vault or partitioned area) and the area within 5 m of a PCB transformer or PCB transformer enclosure.
T1.20.5.US PCB Transformers of concentrations of 500 ppm or greater in use in or near commercial buildings are subject to certain requirements. (40 CFR 761.30(a)(1)(ii) through 761.30(a)(1)(v) and 761.30(a)(1)(vii))[Revised October 1998; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine if any transformers are located in or near commercial buildings by reviewing the inventory. Verify that no network PCB Transformers with higher secondary voltages (=/> than 480 V, including 480/277 V systems) are in or near commercial buildings. Verify that network PCB Transformers with higher secondary voltages that are removed from service are reclassified to PCB Contaminated or non-PCB status, placed into storage for disposal, or disposed. Verify that procedure/policy exists prohibiting installation of PCB Transformers that have been placed into storage for reuse or that have been removed from another location. (NOTE: Retrofilled mineral oil PCB Transformers may be installed for reclassification purposes. But, it must be tested 3 mo after installation and appropriately classified based on the results of testing the fluid within. If the PCB concentration remains at 500 ppm or >, the transformer must be retrofilled again until the transformer can be classed a non-PCB or PCB-Contaminated or removed from service.) Verify that all higher secondary voltage radial PCB transformers in use in or near commercial buildings, and lower secondary voltage network

T1.20.6.US PCB transformers are required to be properly serviced. (40 CFR 761.30(a)(2))[Revised July 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that transformers classified as PCB-Contaminated Electrical Equipment are serviced (including rebuilding) only with dielectric fluid containing less than 500 ppm PCB. (NOTE: PCB Transformers may be serviced (including topping off) with dielectric fluid at any PCB concentration.) Verify that there is no servicing (including rebuilding) of PCB Transformers that requires the removal of the transformer coil from the transformer casing. Verify that PCBs removed during any servicing activity are captured and either reused as dielectric fluid or disposed of in accordance with the requirements of 40 CFR 761.60 (see checklist items T1.25.7.US, T1.50.3.US, T1.50.6.US through T1.50.11.US). Verify that PCBs from PCB Transformers are not mixed with or added to dielectric fluid from PCB-Contaminated Electrical Equipment. Verify that, regardless of its PCB concentration, dielectric fluids containing less than 500 ppm PCB that are mixed with fluids that contain 500 ppm or greater PCB are not used as dielectric fluid in any electrical equipment. (NOTE: The entire mixture of dielectric fluid must be considered to be greater than 500 ppm PCB and must be disposed of in an incinerator that meets
T1.20.7.US Inspections must be performed once every 3 mo for all in use or stored for reuse PCB Transformers with > 500 ppm PCB. (40 CFR 761.30(a)(1)(ix) and 761.30(a)(1)(xii) through 761.30(a)(1)(xiv))[Revised October 1999; Reviewed March 2000].	Verify that applicable transformers in use or stored for reuse are inspected at least once every 3 mo by reviewing inspection records. Verify that there are 30 days between inspections. (NOTE: These inspections may take place any time during the 3-month periods: January-March, April-June, July-September, and October-December as long as there is a minimum of 30 days between inspections. The visual inspection must include investigation for any leak of dielectric fluid on or around the transformer. The extent of the visual inspections will depend on the physical constraints of each transformer installation and should not require an electrical shutdown of the transformer being inspected.) Verify that the following information is recorded for each PCB Transformer inspection: - location of transformer - dates of each visual inspection - date when any leak was discovered - name of person conducting inspection - location and estimate of the dielectric fluid quantity for any leaks - date and description of any cleanup, containment, or repair performed - results of any containment daily inspections for transformers with uncorrected active leaks - registration of the PCB Transformer - records of transfer of ownership in compliance with 40 CFR 761.180(a)(2)(ix) (see checklist item T1.15.1.US.). (NOTE:
T1.20.8.US PCB Transformers with PCB concentrations of 500 ppm or greater found to be leaking during an inspection must be repaired or replaced to eliminate the source of the leak. (40 CFR 761.30(a)(1)(x))[Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine whether any PCB Transformers have been leaking. Verify that, if a PCB Transformer is found to have a leak that results in any quantity of PCBs running off or about to run off the external surface of the transformer, then the transformer is repaired or replaced to eliminate the source of the leak. Verify that cleanup and/or containment of released PCBs has been initiated within 48 h of its detection or as soon as possible. Verify that leaking PCB Transformers are inspected daily. Verify that cleaned up material is disposed of according to appropriate requirements. (NOTE: Until appropriate action is completed, any active leak of PCBs must be contained to prevent exposure of humans or the environment. Trenches, dikes, buckets, and pans are examples of proper containment measures.)
T1.20.9.US When a PCB Transformer with concentrations of PCBs 500 ppm or greater is involved in a fire, the incident must be reported immediately to the NRC. (40 CFR 761.30(a)(1)(xi))[Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine if any PCB Transformers have been involved in any incident where sufficient heat and/or pressure was generated to result in the violent or nonviolent rupture of a PCB Transformer and the release of PCBs. Verify that the NRC was notified and the following measures were taken: - floor drains were blocked - water runoff was contained - control and treatment (prior to release) of any water used in subsequent cleanup operations.

T1.20.10.US Mineral oil transformers that are tested and found to be contaminated with 500 PPM or greater must meet specific requirements. (40 CFR 761.30(a)(1)(xv))[Added October 1998; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that mineral oil transformers that are tested and found to be contaminated with 500 ppm PCB or greater meet all the storage and handling requirements of 40 CFR 761. Verify that the following additional steps are taken: - fire-related incidents are reported immediately after discovery - mark the transformer within 7 days after discovery - mark the vault door, machinery room door, fence, hallway, or other means of access to the PCB Transformer within 7 days after discovery - register the transformer in writing with the building owner within 30 days of the discovery - install electrical protective equipment on a radial PCB Transformer and a non-sidewalk vault, lower secondary voltage network PCB Transformer in or near a commercial building within 18 mo of discovery or by 1 October 1990, whichever is later - remove a non-sidewalk vault, lower secondary voltage network PCB Transformer in or near a commercial building, if electrical protective equipment is not installed, within 18 mo of discovery or by 1 October 1993, whichever is later - remove a lower secondary voltage network PCB Transformer located in a sidewalk vault in or near a commercial building, within 18 mo of discovery
T1.25.1.US Certain spills of PCBs are required to be reported. (40 CFR 761.50(a)(4), 761.120(a)(1), and 761.125(a)(1))[Revised October 1998; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: Spills and other uncontrolled discharges of PCBs at concentrations of >/= 50 ppm constitute the disposal of PCBs.) Verify that the following reporting is done for all spills in excess of 50 ppm in addition to the reporting required under the CWA or CERCLA: - where a spill directly contaminates surface water, sewers, or drinking water supplies, notify the appropriate USEPA Regional office and obtain guidance for appropriate cleanup measures in the shortest possible time after discovery, but not later than 24 h after discovery - where a spill directly contaminates grazing lands or vegetable gardens, notify the appropriate USEPA Regional office and proceed with the immediate cleanup requirements in 40 CFR 761.125(b) and 761.125(c) (see checklist items T1.25.2.US and T1.25.3.US) depending on the source of the spill, in the shortest possible time after discovery, but not later than 24 h after discovery - when a spill is > 10 lb PCBs by weight and does not directly contaminate surface water, sewers, drinking water supplies, grazing lands, or vegetable gardens, notify the appropriate USEPA Regional office and proceed to decontaminate the area according to TSCA policy in the shortest
T1.25.2.US Cleanup of low concentration spills of less than 1 lb of PCBs (less than 270 gal of untested mineral oil) must be done according to specific requirements. (40 CFR 761.50(a)(4), 761.120(a)(1), 761.120(a)(2), 761.120(b) through 761.120(d), 761.125(a)(2), 761.125(a)(3), 761.125(b)(1), and 761.125(b)(2))[Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: Spills and other uncontrolled discharges of PCBs at concentrations of >/= 50 ppm constitute the disposal of PCBs.) (NOTE: The USEPA has developed a Spill Cleanup Policy (see 40 CFR 761, Subpart G) which establishes criteria USEPA will use to determine the adequacy of the cleanup of spills resulting from the release of materials containing PCBs at concentrations of 50 ppm or greater which occur after 4 May 1987. The Spill Cleanup Policy does not apply to spills prior to 4 May 1987 because: - for old spills that have already been discovered, this policy is not intended to require additional cleanup where a party has already cleaned a spill according to the requirements imposed by USEPA Regional Offices. It is also not intended to interfere with ongoing litigation or enforcement action that brings into issue PCB spill cleanups. The Spill Cleanup Policy may not be used to clean up an old spill and may only be used if cleanup begins within 24 to 48 h after the discovery of a fresh spill - USEPA recognizes that more recently discovered old spills will require site-by-site evaluation.) Verify that, when there is evidence of a leak or spill, but no visible traces, the boundaries of the spill are

T1.25.3.US Cleanup of high-concentration spills and low concentration spills involving 1 lb or more of PCBs by weight (270 gal or more of untested mineral oil) must be done according to specific requirements. (40 CFR 761.50(a)(4), 761.120(a)(1), 761.120(a)(2), 761.120(b) through 761.120(d), 761.125(a)(2), 761.125(a)(3), and 761.125(c)(1) through 761.125(c)(4))[Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: Spills and other uncontrolled discharges of PCBs at concentrations of greater than/equal to 50 ppm constitute the disposal of PCBs.) (NOTE: The USEPA has developed a Spill Cleanup Policy (see 40 CFR 761, Subpart G) which establishes criteria USEPA will use to determine the adequacy of the cleanup of spills resulting from the release of materials containing PCBs at concentrations of 50 ppm or greater which occur after 4 May 1987. The Spill Cleanup Policy does not apply to spills prior to 4 May 1987 because: - for old spills that have already been discovered, this policy is not intended to require additional cleanup where a party has already cleaned a spill according to the requirements imposed by USEPA Regional Offices. It is also not intended to interfere with ongoing litigation or enforcement action that brings into issue PCB spill cleanups. The Spill Cleanup Policy may not be used to clean up an old spill and may only be used if cleanup begins within 24 to 48 h after the discovery of a fresh spill - USEPA recognizes that more recently discovered old spills will require site-by-site evaluation.) Verify that, when there is evidence of a leak or spill, but no visible traces, the boundaries of the spill are determined by using statistically based sampling scheme. Verify that the following actions are
T1.25.4.US Postcleanup sampling is required in specific circumstances. (40 CFR 761.120(a)(1) and 761.130)[Added October 2001; Revised January 2008].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that postcleanup sampling is done after cleanup of high-concentration spills and low concentration spills involving 1 lb or more of PCBs by weight (270 gal or more of untested mineral oil) at the following: - outdoor electrical substations - other restricted access areas - nonrestricted access areas. (NOTE: The responsible party may use any statistically valid, reproducible, sampling scheme (either random samples or grid samples) provided that the requirements outlined here are satisfied.) Verify that the sampling area is the greater of: - an area equal to the area cleaned plus an additional 1-ft boundary - an area 20 percent larger than the original area of contamination. Verify that the sampling scheme ensures 95 percent confidence against false positives. Verify that the number of samples is sufficient to ensure that areas of contamination of a radius of 2 ft or more within the sampling area will be detected, except that the minimum number of samples is 3 and the maximum number of samples is 40. Verify that the sampling scheme includes calculation for expected variability due to analytical error. (NOTE: USEPA recommends the use of a sampling scheme developed by the
T1.25.5.US The collection and analyzing of samples to verify the cleanup and onsite disposal of PCB waste must be done according to specific parameters. (40 CFR 761.61(a)(6))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that any person collecting and analyzing samples to verify the cleanup and onsite disposal of bulk PCB remediation wastes and porous surfaces do so in accordance with Subpart O of 40 CFR 761. Verify that any person collecting and analyzing samples from non-porous surfaces does so in accordance with 40 CFR 761, Subpart P. Verify that any person collecting and analyzing samples from liquids does so in accordance with 40 CFR 761.269. (NOTE: Any person conducting interim sampling during PCB remediation waste cleanup to determine when to sample to verify that cleanup is complete, may use PCB field screening tests.) (NOTE: Where sample analysis results in a measurement of PCBs less than or equal to the levels specified in Appendix 11-2b of this document, self-implementing cleanup is complete.)
T1.25.7.US PCBs resulting from the cleanup and removal of spills, leaks, or other uncontrolled discharges, must meet specific storage and disposal requirements. (40 CFR 761.60(d))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that PCBs resulting from the cleanup and removal of spills, leaks, or other uncontrolled discharges, are stored and disposed of in accordance with 40 CFR 761.60(a) (see checklist item T1.50.3.US). (NOTE: These regulations do not exempt any person from any actions or liability under other statutory authorities, including but not limited to the CWA, RCRA, and CERCLA of 1980.)

T1.30.1.US PCBs may be used in heat transfer and hydraulic systems in a manner other than a totally enclosed manner at concentrations less than 50 ppm if specific requirements are met. (40 CFR 761.30(d) through 761.30(e))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine if testing has been conducted to demonstrate that heat transfer or hydraulic systems that formerly contained PCBs at a concentration greater than 50 ppm now contain less than 50 ppm PCB. Verify that no fluid containing greater than 50 ppm PCB is added to heat transfer or hydraulic systems and they are only serviced with fluids containing less than 50 ppm PCB.
T1.30.2.US Electromagnets, switches, and voltage regulators may contain PCBs at any concentration if certain requirements are met. (40 CFR 761.30(h))[Revised October 1998; Revised July 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) (NOTE: PCBs at any concentration may be used in electromagnets, switches (including sectionalizers and motor starters), and voltage regulators and may be used for purposes of servicing this equipment (including rebuilding) for the remainder of their useful lives, except as outlined in this checklist item.) Verify that no electromagnets containing greater than 500 ppm are not used or use stored for reuse in a manner that poses an exposure risk to food or feed Verify that the use and storage for reuse of voltage regulators that contain 1.36 kg (3 lb) or more of dielectric fluid with a PCB concentration of >/= 500 ppm meet the following: - mark the regulator as required in 40 CFR 761.40 (see checklist item T1.10.2.US.) - report any fire-related incidents immediately to the NRC - conduct inspections as applicable to PCB Transformers - comply with the recordkeeping and reporting requirements of 40 CFR 761.180 (see checklist items T1.15.1.US through T1.15.4.US and T1.15.6.US). Verify that the owner of a voltage regulator that assumes it contains
T1.30.3.US Capacitors may contain PCBs at any concentration subject to certain requirements. (40 CFR 761.30(l))[Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that all PCB Large, High- and Low-Voltage Capacitors that pose an exposure risk to food and feed have been removed. Verify that all PCB Large, High- and Low-Voltage Capacitors are in use only in restricted-access electrical substations, or in a contained and restricted-access indoor area. Verify that capacitors are free from leaks of dielectric PCBs.
T1.30.4.US Circuit breakers, reclosers, and cable may contain PCBs at any concentration for remainder of their useful lives subject to certain conditions. (40 CFR 761.30(m))[Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that any circuit breakers, reclosers, and cables used are serviced using only dielectric fluid that contains less than 50 ppm PCB and have been free from leaks. Verify that any circuit breaker, recloser or cable found to contain at least 50 ppm PCBs is serviced according to the requirements for electromagnets, switches, and voltage regulators in 40 CFR 761.30(h)(2) (see checklist item T1.30.2.US).

T1.30.5.US The continued use of porous surfaces contaminated with PCBs regulated for disposal by spills of liquid PCBs must meet specific parameters. (40 CFR 761.30(p))[Added October 1999; Reviewed March 2000; Revised July 2003].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that the following conditions are met when using porous surfaces contaminated by spills of liquid PCBs at concentrations >10 micrograms/100 cm2 for the remainder of the useful life of the surfaces and subsurface material: - the source of PCB contamination is removed or contained to prevent further release to porous surfaces - if the porous surface is accessible to superficial surface cleaning, a double wash rinse procedure is conducted on the surface to remove surface PCBs and the treated surface is allowed to dry for 24 h. Verify that, after accessible surfaces have been cleaned, and for all surfaces unaccessible to cleanup: - the surface is completely covered with one of the following to prevent the release of PCBs: - two solvent resistant and water repellent coatings of contrasting colors to allow for a visual indication of wear through or loss of outer coating integrity - a solid barrier fastened to the surface and covering the contaminated area or all accessible parts of the contaminated area. - the surface is marked with the ML Mark in a location easily visible to individuals present in the area; the ML Mark is placed over the encapsulated area or the barrier to the encapsulated area -
T1.30.6.US PCBs or PCB Items, regardless of concentration, must be used in a totally enclosed manner. (40 CFR 761.20(a) and 761.30(f), 761.30(k), and 761.30(r))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that no PCB, or PCB Item, regardless of concentration, is used in any manner other than in a totally enclosed manner within the United States except that: - an authorization is not required to use those PCBs or PCB Items which consist of excluded PCB products - an authorization is not required to use those PCBs or PCB Items resulting from an excluded manufacturing process or recycled PCBs - an authorization is not required to use those PCB Items which contain or whose surfaces have been in contact with excluded PCB products - an authorization is not required to use sewage sludge where the uses are regulated at 40 CFR 257, 258, and 503. (NOTE: The following are exemptions to this requirement: - carbonless copy paper containing PCBs may be used in a manner other than a totally enclosed manner indefinitely. - PCBs may be used indefinitely in scientific instruments, for example, in oscillatory flow birefringence and viscoelasticity instruments for the study of the physical properties of polymers, as microscopy mounting fluids, as microscopy immersion oil, and as optical liquids in a manner other than a totally enclosed manner - PCBs may be used
T1.30.7.US When using equipment, structures, other non-liquid or liquid materials that were contaminated with PCBs during manufacture, use, servicing, or because of spills from, or proximity to, PCBs >/=50 ppm, specific requirements must be met. (40 CFR 761.30(u))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that the following are met when using equipment, structures, other non-liquid or liquid materials that were contaminated with PCBs during manufacture, use, servicing, or because of spills from, or proximity to, PCBs >/=50 ppm, including those not otherwise authorized for use under 40 CFR 761: - the materials were decontaminated in accordance with a Toxic Substances Control Act (TSCA) PCB disposal approval issued under 40 CFR 761, Subpart D, 40 CFR 761.79, or applicable USEPA PCB spill cleanup policies in effect at the time of the decontamination - if not previously decontaminated, the materials now meet an applicable decontamination standard. Verify that materials decontaminated or meeting an applicable decontamination standard are not used or reused in direct contact with food, feed, or drinking water unless otherwise allowed under these regulations. (NOTE: Any person may use water containing PCBs at concentrations < 200 micrograms/L (i.e., 200 ppb PCBs) for non-contact use in a closed system where there are no releases (e.g., as a non-contact cooling water.)

T1.30.8.US When PCBs are used in air compressor system; specific parameters must be met. (40 CFR 761.30(s))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that the concentration of PCBs in air compressor systems is < 50 ppm. Verify that, if concentrations are >/= 50 ppm, the following are met: - all free-flowing liquids containing PCBs >/=50 ppm are removed from the air compressor crankcase and the crankcase is refilled with non-PCB liquid - other air compressor system components contaminated with PCBs >/=50 ppm, are decontaminated or disposed of - air compressor piping with a nominal inside diameter of < 300 gal/h. (NOTE: The requirements if PCBs are >/= 50 ppm must be completed by 30 August 1999, or within 1 yr of the date of discovery of PCBs at >/=50 ppm in the air compressor system, whichever is later. The USEPA Regional Administrator for the USEPA Region in which an air compressor system is located may, at his/her discretion and in writing, extend this timeframe.)
T1.30.9.US The use of PCBs in gas or liquid transmission systems must meet specific requirements. (40 CFR 761.30(t))[Added October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that PCBs used in intact and non-leaking gas or liquid transmission systems are at concentrations /=50 ppm in intact and non-leaking gas or liquid transmission systems not owned or operated by a seller or distributor of the gas or liquid transmitted in the system.) (NOTE: Any person may use PCBs at concentrations >/=50 ppm in intact and non-leaking gas or liquid transmission systems, with the written approval of the Director, Office of Solid Waste.)
T1.35.1.US The use of PCBs in research is subject to certain conditions. (40 CFR 761.30(j))[Revised October 1999; Revised October 2001].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that, if PCBs are used for research and development in a manner other than a totally enclosed manner, the following are met: - the PCBs and PCBs in analytical reference samples derived from waste materials are obtained from authorized sources - storage of all PCB wastes resulting from R&D activities is in compliance with 40 CFR 761.65(b) (see checklist items T1.40.1.US and T1.40.2.US) and disposed of in accordance with 40 CFR 761.64 - there is no manufacture, processing, or distribution for research and development without a TSCA Section 6(e)(3)(B) exemption to do so. (NOTE: Authorized R&D activities include, but are not limited to: the chemical analysis of PCBs, including analyses to determine PCB concentration; determinations of physical properties of PCBs; studies of environmental transport processes; studies of biochemical transport processes; studies of effects of PCBs on the environments; and studies of health effects. Authorized R&D activities do not include research, development, or analysis for the development of any PCB product.)
T1.40.1.US PCBs and PCB Items at concentrations of 50 ppm or more that are to be stored before disposal must be stored in a facility meeting specific structural requirements. (40 CFR 761.65(a) through 761.65(b)(1))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that the following provisions are present by inspecting the PCB storage area: - the roof and walls of the building in which the PCBs are stored are constructed so as to exclude rainfall from contacting PCBs and PCB items - an adequate floor that has continuous curbing with a minimum 6-in. high curb. The curbing will provide a containment volume equal to at least two times the internal volume of the largest PCB Article or PCB Container or 25 percent of the total internal volume of all PCB Articles or PCB Containers stored there, whichever is greater. - drains, valves, floor drains, expansion joints, sewer lines, or other openings that would allow liquids to flow from the curbed area are not present - floors and curbing are constructed of Portland cement, concrete, or a continuous, smooth, nonporous surface that prevents or minimizes penetration of the PCBs - location is not below a 100-yr flood water elevation - the storage area is marked with the label in Appendix 11-1. (NOTE: PCB/radioactive wastes are not required to be stored in an area with a minimum 6-in. high curbing. However, the floor and curbing must still provide a containment volume equal to at least two times the internal

T1.40.2.US PCBs and PCB Items may also be stored in other areas that do not comply with the storage area requirements when specific parameters are met. (40 CFR 761.65(b)(2) and 761.65(c)(1))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that, if PCBs and PCB Items designated for disposal are stored in a storage unit that is not approved and does not meet design requirements, the unit meets one of the following conditions: - it is permitted to manage hazardous waste in containers, and spills of PCBs are properly cleaned up - it qualifies for interim status under section 3005 of RCRA to manage hazardous waste in containers, meets the requirements for containment at 40 CFR. 264.175, and spills of PCBs are properly cleaned up - it is permitted by a state authorized under section 3006 of RCRA to manage hazardous waste in containers, and spills of PCBs are properly cleaned up - it is approved or otherwise regulated pursuant to a State PCB waste management program no less stringent in protection of health or the environment than the applicable TSCA requirements - it is subject to a TSCA Coordinated Approval that includes provisions for storage of PCBs - it has a TSCA PCB waste management approval that includes provisions for storage. Verify that only the following PCB Items are stored and a notation is attached to the PCB Item or Container indicating the date the item was removed from service for
T1.40.3.US Nonleaking and structurally undamaged PCB Large, High- Voltage Capacitors and PCB-contaminated Electric Equipment that have not been drained of free flowing dielectric fluid may be stored on pallets next to a storage area that complies with the storage area requirements. (40 CFR 761.65(c)(2))[Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Determine if available unfilled storage space in the storage area is equal to at least 10 percent of the volume of capacitors and electrical equipment stored outside. Verify that capacitors and equipment stored outside the storage facility are on pallets and inspected at least weekly.
T1.40.4.US Specific operational procedures are required at PCB storage units. (40 CFR 761.65(c)(4), 761.65(c)(5), and 761.65(c)(8))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that the following practices are conducted at any area where PCBs or PCB Items are stored: - movable equipment used for handling PCBs and PCB Items that directly contact PCBs is not removed from storage unit unless decontaminated - inspections for leaks of all PCB Items in storage are done at least once every 30 days - any leaking PCB Items and their contents are immediately transferred to properly marked non-leaking containers and the spilled or leaked materials are immediately cleaned up and any spill absorbent material properly disposed - PCB Items are marked with the date when they are removed from service for disposal - PCB Items are positioned so that they can be located by the marked date - stationary storage containers for liquid PCBs have a record that includes quantity and date of each batch added to the container or removed from the container.
T1.40.5.US Containers used for the storage of PCBs must comply with the shipping container specification of the DOT. (40 CFR 761.65(c)(6) and 761.65(c)(7))[Revised October 1998; Reviewed March 2000].	(NOTE: See the first NOTE in T1.10.2.US for information on who and what this checklist item applies to.) Verify that any container used for the storage of liquid or non-liquid PCB waste is in accordance with the requirements in the DOT Hazardous Materials Regulations (HMR) at 49 CFR parts 171 through 180. Verify that PCB wastes not subject to the HMR (i.e., PCB wastes at concentrations of

T1.55.4.US Specific recordkeeping and reporting procedures are required for the importation of PCBs and PCB Item with a concentration of 50 ppm or greater. (40 CFR 761.91(b)(3))[Added March 1996].	(NOTE: These requirements apply to the shipment of PCB Items into and out of the United States for disposal.) Verify that importers, storers, or disposers of imported waste PCBs and PCB Item with a concentration of 50 ppm or greater meet the requirements in 40 CFR 761.180 through 761.193 (see checklist items T1.10.1.US., and T1.15.1.US. through T1.15.4.US and T1.15.6.US.) with the following modifications: - an importer who is not the initial commercial storer or disposer of the imported PCB waste is considered to be the generator for the purposes of maintaining annual records - disposers and commercial storers of PCB waste clearly distinguish between imported and domestically generated waste in the annual report submitted to USEPA. (NOTE: The annual document log must clearly distinguish between imported and domestically generated waste.) Verify that importers, storers, or disposers of imported waste PCBs and PCB Item with a concentration of 50 ppm or greater meet the requirements in 40 CFR 761.202 through 761.218 (see checklist items T1.10.3.US., T1.45.1.US., T1.45.2.US., and T1.50.1.US.) with the following modifications: - imported PCB waste is manifested, even in cases where the importer does not relinquish control of the shipment - imported PCB waste is
T1.55.5.US The importation of PCBs and PCB Item with a concentration of 50 ppm or greater for the purposes of chemical analysis can be done without prior notification if specific parameters are met. (40 CFR 761.91(c))[Added March 1996].	(NOTE: These requirements apply to the shipment of PCB Items into and out of the United States for disposal.) Determine if the facility is acting as a laboratory, commercial storer, or disposer of PCB waste which is importing PCBs and PCB Item with a concentration of 50 ppm or greater for the purposes of chemical analysis to determine the physical and chemical properties. Verify that the quantities imported do not exceed 200 kg [(444 lb] annually for non- liquids and 25 L [approx. 7 gal] annually for liquids. Verify that individual samples do not exceed 5 kg [approx. 11 lb] for nonliquids or 25 mL [approx. 0.02 qt] for liquids. Verify that unused and residual PCB waste remaining after analytical use is completed is marked, stored, manifests, and disposed of according to the standard requirements for nonimported PCB waste. Verify that each laboratory has a TSCA PCB commercial storer approval unless a total volume of no more than 500 gal (1.89 m3) of PCB waste is in storage at any one time.
T1.55.6.US The importation of PCBs and PCB Items with a concentration of 50 ppm or greater for the purposes of evaluating the effectiveness of a disposal technology can be done without prior notification if specific parameters are met. (40 CFR 761.91(d))[Added March 1996].	(NOTE: These requirements apply to the shipment of PCB Items into and out of the United States for disposal.)Verify that the importer receiving the PCBs is an approved disposer. Verify that the quantity of PCB waste imported annually to a disposal facility does not exceed a total volume of 500 gal (1.89 m3). Verify that the imported waste PCB concentration does not exceed 10,000 ppm PCBs, and no more than 1 kg [approx. 0.45 lb] total of pure PCBs is imported annually.
T1.55.7.US No person may export PCBs or PCB Items for disposal without an exemption. (40 CFR 761.97)[Revised October 1998].	(NOTE: These requirements apply to the shipment of PCB Items into and out of the United States for disposal.) Verify that the facility is not exporting PCBs or PCB Items for disposal without an exemption. (NOTE: PCBs and PCB Items at concentrations less than 50 ppm (or < 10 (g PCB/100 cm2 if no free-flowing liquids are present) may be exported for disposal.) (NOTE: In relation to export for disposal, PCBs and PCB Items of unknown concentrations are to be treated as if they contain

T2.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
T2.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this check list item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are Federally regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
T2.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
T2.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
T2.5.1.US Certain notification requirements must be met when demolishing structures. (40 CFR 61.145(a)(1), 61.145(a)(3), and 61.145(b))[Revised October 1998].	(NOTE: This applies to facilities that demolish structures containing at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM on other components or at least 1 m3 (35 ft3) off facility components, and facilities renovating structures and stripping or removing at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of friable asbestos on other facility components and at least 1 m3 (35 ft3) off facility components.) Determine if the USEPA or state (if the state has primacy) has been provided with written notice of intent to demolish or renovate at least 10 working days before demolition begins and as early as possible before renovation begins. Verify that the written notice contains the following information: - name of the owner/operator and telephone number - name and address of facility - description of facility being renovated or demolished (size, age, prior use) - estimates of approximate amount (linear feet or surface area) of asbestos present in the structure - location of the structure - scheduled start and completion dates of renovation or demolition - nature of planned demolition or renovation methods to be used - procedures for asbestos emissions control - name and location of waste disposal site where asbestos will be disposed -

T2.5.2.US Facilities demolishing a structure with RACM of less than 80 linear meters (260 linear feet) on pipes and less than 15 m2 (160 ft2) on other facility components and less than 1 m3 (35 ft3) off facility components are required to submit notification of demolition. (40 CFR 61.145(a)(2) and 61.145(b))[Revised February 1995].	Verify that a written notice of intent to demolish has been submitted to the administrator at least 10 working days before demolition and includes: - the name and address of owner and operator - description of the facility being demolished including the size, age, and prior use - estimate of the approximate amount of friable asbestos present - location of the facility - schedule - procedures to be used.
T2.5.3.US Facilities that demolish or renovate structures must meet certain emission control requirements. (40 CFR 61.145(a)(1) through 61.145(a)(3) and 61.145(c)(1) through 61.145(c)(3))[Revised February 1995].	(NOTE: This requirements applies to facilities that demolish structures which contain at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM on other facility components and facilities renovating structures and stripping or removing at least 80 linear meters (260 linear feet) of friable asbestos on pipes, or at least 15 m2 (160 ft2) of friable asbestos on other facility components or 1 m3 (35 ft3) or more off facility components.) Verify that all RACM is removed from facilities being demolished or renovated before any wrecking or dismantling unless: - it is a Category I nonfriable ACM that is not in poor condition and is not friable - the RACM is on a facility component that is encased in concrete or other similar material and is adequately wetted whenever exposed during demolition - it was not accessible for testing and is not discovered until after demolition began and, as a result of demolition, the materials cannot be safely removed - it is Category II nonfriable ACM and the probability is low that the materials will become crumbled, pulverized, or reduced to powder, during demolition. Verify that, when a facility component, that contains or is covered or coated with RACM, is being taken out of the facility in units or sections: - they are adequately wetted when
T2.5.4.US Emissions from facility components that have been taken out in units or in sections from facilities being demolished under state or local orders or facilities being demolished or renovated with at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM on other facility components or at least 1 m3 (35 ft3) off facility components must be controlled. (40 CFR 61.145(c)(4) and 61.145(c)(5)).	Verify that facility components are either stripped or contained in leaktight wrap pings. Verify that facility components removed from facility as units or in sections for stripping meet the following: - RACM is adequately wet during stripping operations - a local exhaust ventilation and collection system designed and operated to capture emissions is in use - the exhaust system exhibits no visible emissions to outside air. Verify that, when wetting operations are stopped because of the temperature, a record of the temperature is made and kept on file for 2 yr. (NOTE: For large facility components such as reactor vessels, large tanks, and steam generators, but not beams, stripping is not required if the following are met: - the component is removed, transported, stored, disposed of, or reused without disturbing the RACM - the component is encased in leaktight wrapping and labeled.)

T2.5.5.US Emissions from RACM that has been removed or stripped from facilities being demolished under state or local orders or facilities being demolished or renovated with at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM on other facility components or 1 m3 (35 ft3) or greater off facility components must be controlled. (40 CFR 61.145(c)(6)).	Verify that asbestos materials that have been removed or stripped meet the following: - materials are adequately wet, and remain wet until collected for disposal - materials are carefully lowered to the ground or lower floor (not dropped or thrown) - materials not removed as units or in sections are transported to the ground via dust-tight chutes or containers if they are removed more than 50 ft above ground level.
T2.5.6.US When the temperature at the point of wetting is below 0 degrees C (32 degrees F) and facilities are being demolished under state or local orders or facilities with at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM other facility components or at least 1 m3 (35 ft3) off facility components are being demolished or renovated, specific exemptions and requirements apply. (40 CFR 61.145(c)(7)).	Verify that facility components coated or covered with RACM materials are removed as units or in sections to the maximum extent possible. (NOTE: Wetting is not required at this temperature.) Verify that, when wetting operations are stopped because of freezing temperatures, the temperature is recorded in the areas containing the facility components at the beginning, middle, and end of each workday. Verify that the temperature records are kept for 2 yr.
T2.5.7.US Facilities being demolished under state or local governmental agency orders shall have the portion of the facility containing friable asbestos adequately wetted during the wrecking operation. (40 CFR 61.145(c)(9)).	Verify that in facilities being demolished under state or local governmental agency orders the portion of the facility that contains friable asbestos materials is adequately wetted during the wrecking operation.
T2.5.8.US When a structure is demolished by intentional burning, all RACM, including Category I and II nonfriable ACM, must be removed. (40 CFR 61.145(c)(10)).	Verify that complex removal is done before burning.

T2.5.9.US When air cleaning is used as a method for controlling emissions of asbestos to the outside air, the fabric filter collection systems are required to meet specific standards unless alternative equipment is authorized for use by the USEPA. (40 CFR 61.152).	Verify that fabric filter collection systems meet the following requirements: - airflow permeability does not exceed 9 m3/min/m2 (30 ft3/min/ft2) for woven fabrics or 11 m3/min/m2 (35 ft3/min/ft2) for felted fabrics - the felted fabric weighs at least 475 g/m2 (14 oz/yd2) and is at least 1.6 mm (1/ 16 in.) thick throughout - the use of synthetic fabrics containing fill yarn other than that which is spun is avoided.
T2.10.1.US No RACM shall be stripped, removed, or otherwise handled or disturbed unless at least one onsite representative trained in asbestos removal is present. (40 CFR 61.145(c)(8))[Revised June 1995].	Verify that a trained person is present. Verify that the individual receives refresher training every 2 yr. (NOTE: This applies to facilities that demolish structures containing at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of RACM on other components or at least 1 m3 (35 ft3) off facility components, and facilities renovating structures and stripping or removing at least 80 linear meters (260 linear feet) of RACM on pipes, or at least 15 m2 (160 ft2) of friable asbestos on other facility components and at least 1 m3 (35 ft3) off facility components.)
T2.15.1.US Asbestos-containing waste materials are required to be disposed of properly. (40 CFR 61.150(a) through 61.150(b))[Revised October 2003].	Verify that each owner or operator of any source covered under the provisions of 40 CFR 61.145 (see checklist items T2.5.1.US through T2.5.4.US and T2.5.6.US through T2.5.8.US) does not discharge any visible emissions to the outside air during the collection, processing (including incineration), packaging, or transporting of any asbestos-containing waste material generated by the source, or uses one of the following emission control and waste treatment methods: - adequately wet asbestos-containing waste material as follows: mix control device asbestos waste to form a slurry; adequately wet other asbestos-containing waste material discharge no visible emissions to the outside air from collection, mixing, wetting, and handling operations, or use the methods specified by 40 CFR 61.152 (see checklist item T2.5.9.US) to clean emissions containing particulate asbestos material before they escape to, or are vented to, the outside air after wetting, seal all asbestos-containing waste material in leak-tight containers while wet; or, for materials that will not fit into containers without additional breaking, put materials into leak-tight wrapping for asbestos-containing waste in leak-tight containers or leak-tight wrapping, label the containers or wrapped materials using the following warning labels that are
T2.15.2.US Asbestos-containing waste must be transported according to specific parameters. (40 CFR 61.150(c) through 61.150(e)).	Verify that vehicles used to transport asbestos-containing waste material are marked indicating an asbestos dust hazard. Verify that, for all ACM transported off the facility, waste shipment records are maintained for at least 2 yr and a copy is provided to the waste disposal site. Verify that a procedure is in place to notify the local, state, or USEPA regional office if a copy of the waste shipment record is not returned to the waste generator within 35 days after the waste was accepted by the initial transporter.

T2.15.3.US Active waste disposal sites where ACM is being disposed are required to meet specific standards. (40 CFR 61.154(a) through 61.154(e) and 61.154(i) through 61.154(j))[Revised July 2001].	Determine if the facility is operating a landfill where asbestos is being disposed. Verify that there are no visible emissions from active asbestos-containing waste disposal sites, or that one of the following is done: - at the end of each operating day, or once in a 24 h period, the waste material is covered with either at least 15 cm (6 in.) of compacted nonasbestos-containing material - a resinous or petroleum based dust suppression agent is applied, waste crank case oil is not suitable for this purpose - an alternative method of control approved by the USEPA is used. Verify that unless a natural barrier exists deterring access by the general public, either the waste is properly covered by non-ACM daily or proper warning signs and fences are installed and maintained as follows: - warning signs are displayed at all entrances at intervals of 100 m (330 ft) or less along the property line of the site or the perimeter of the section of the site where ACM is deposited and are: - posted in such a manner and location that a person can easily read the legend - conform to the requirements of 51 cm x 36 cm (20" x 14") upright format - display the following legend in the lower panel with letter sizes and styles of a visibility at least equal to those specified: Asbestos Waste Disposal Site (2.5 cm (1 inch) Sans Serif,
T2.15.4.US Inactive waste disposal sites are required to meet specific standards. (40 CFR 61.154(f) through 61.154(h) and 61.151).	Verify that inactive waste disposal sites meet one of the following: - no visible emissions are discharged - asbestos-containing waste material is covered with at least 15 cm (6 in.) of compacted non-ACM, and a vegetation cover is grown and maintained. (In desert areas where vegetation is difficult to maintain at least 8 cm (3 in.) additional of well-graded nonasbestos-containing crushed rock may be used instead.) - cover the asbestos-containing waste material with at least 60 cm (2 ft) of non- ACM and maintain the cover to prevent exposure. Verify that unless a natural barrier exists, warning signs and a fence are installed to deter public access. Verify that warning signs are displayed at all entrances and at intervals of 100 m (328 ft) or less and are easily read indicating the area is an asbestos waste disposal site. Verify that a procedure is in place to notify the administrator in writing at least 45 days prior to excavating or disturbing any asbestos-contaminated waste material at an inactive waste disposal site.
T2.20.1.US Each building that is leased, owned, or otherwise used as a school building will be inspected for asbestos and a report of the inspection generated. (40 CFR 763.85)[Revised October 2001].	(NOTE: Any building that is leased or acquired on or after 12 October 1988, that is to be used as a school building must be inspected prior to use as a school building. If emergency use of a building as a school building is required, inspection will occur within 30 days.) Verify that all school buildings have been inspected for friable and nonfriable ACBM, including sampling, as required by an accredited inspector. Verify that, for each area of a school building, each person performing an inspection: - visually inspects the area to identify the locations of all suspected ACBM - touches all suspected ACBM to determine whether they are friable - identifies all homogeneous areas of friable suspected ACBM and all homogeneous areas of nonfriable suspected ACBM - assume that some or all of the homogeneous areas are ACM, and, for each homogeneous area that is not assumed to be ACM, collects and submits for analysis bulk samples - assesses friable material in areas where samples are collected, friable material in areas that are assumed to be ACBM, and friable ACBM identified during a previous inspection - record the following and submit a copy of such record for inclusion in the management plan within 30 days of the inspection: - an inspection report with the date of the inspection signed by each

T2.20.2.US Each inspection or reinspection is required to result in a written assessment of all friable known or assumed ACBM in the school building. (40 CFR 763.88)[Revised October 2001].	Verify that an accredited inspector provides a written assessment of all friable known or assumed ACBM in the school building. Verify that each accredited inspector providing a written assessment signs and dates the assessment, provides their state of accreditation, and if applicable, accreditation number, and submits a copy of the assessment for inclusion in the management plan within 30 days of the assessment. Verify that the assessment classifies the ACBM and suspected ACBM assumed to be ACM into one of the following categories: - damaged or significantly damaged thermal system insulation ACM - damaged friable surfacing ACM - significantly damaged friable surfacing ACM - damaged or significantly damaged friable miscellaneous ACM - ACBM with potential for damage - ACBM with potential for significant damage - any remaining friable ACBM or friable suspected ACBM. (NOTE: The assessment may include the following considerations: - location and the amount of the material, both in total quantity and as a percentage of the functional space - condition of the material, specifying: - type of damage or significant damage (e.g., flaking, blistering, water damage, or other signs of physical damage) - severity of damage (e.g., major flaking, severely torn jackets, as opposed
T2.20.3.US An asbestos management plan is required for each school building and submitted to the agency designated by the governor of the state. (40 CFR 763.93)[Revised October 2001].	Verify that asbestos management plans have been submitted to an agency designated by the governor of the state in which the local education agency is located, and that they include all buildings that the local education agency leases, owns or otherwise uses as school buildings prior to their use as school buildings. (NOTE: The plan may be submitted in stages that cover a portion of the school buildings under the authority of the local education agency.) Verify that the plan is kept current and up-to-date with ongoing operational and maintenance, periodic surveillance, inspection, reinspection and response action activities. Verify that the plan was developed by an accredited management planner and includes: - a list of the name and address of each school building and whether the building contains friable ACBM, nonfriable ACBM, and friable and nonfriable suspected ACBM assumed to be ACM - for each inspection done before 14 December 1987: - date of the inspection - a blueprint, diagram or written description of each school building that identifies clearly each location and approximate square or linear footage of any homogeneous or sampling area where material was sampled for ACM, and, if possible, the exact locations where bulk samples were collected, and the dates of collection - a copy of
T2.20.4.US Response actions are required to be selected and implemented in a timely manner and according to specific guidelines. (40 CFR 763.90)[Revised October 2001].	Verify that, if damaged or significantly damaged thermal system insulation ACM is present in the building, the local education agency will: - at least repair the damaged area - remove the damaged material if it is not feasible, due to technological difficulties, to repair the damage - maintain all thermal system insulation ACM and its coverings in an intact state and undamaged condition. Verify that, if damaged friable surfacing ACM or damaged friable miscellaneous ACM is present, the local education agency selects from the following response actions: - encapsulation - enclosure - removal - repair. Verify that, if significantly damaged friable surfacing ACM or significantly damaged friable miscellaneous ACM is present in a building, the local education agency: - immediately isolates the functional space and restricts access unless isolation is not needed to protect human health and the environment - removes the material in the functional space or, depending on whether enclosure or encapsulation is sufficient to protect human health and the environment, enclose or encapsulate. Verify that, if any friable surfacing ACM, thermal system insulation ACM, or friable miscellaneous ACM that has potential for damage is present in the building, an appropriate operations and maintenance (O&M) program is
T2.20.5.US An accredited person must be designated by the local education agency to perform specific tasks and functions. (40 CFR 763.84(g) and 763.88(d))[Reviewed March 2000].	Verify that the person designated to ensure that requirements concerning asbestos in school are implemented correctly is trained in the following: - health effects of asbestos - detection, identification, and assessment of ACM - options for controlling ACM - asbestos management programs - relevant state and federal regulations.

T2.20.6.US An operations, maintenance and repair program is required to be developed whenever any friable ACBM is present or assumed to be present in a building that is leased, owned, or otherwise used as a school building. (40 CFR 763.91(a) through 763.91(e))[Revised January 2001].	(NOTE: Any material identified as nonfriable ACBM or nonfriable assumed ACBM must be treated as friable ACBM when the material is about to become friable as a result of activities performed in the school building.) Verify that local education agencies comply with either the OSHA Asbestos Construction Standard at 29 CFR 1926.1101, or the Asbestos Worker Protection Rule at 40 CFR 763.120, whichever is applicable (see text of regulations). Verify that, unless the building was cleaned using equivalent methods within the previous 6 mo, all areas of a school building where friable ACBM, damaged or significantly damaged thermal system insulation ACM, or friable suspected ACBM assumed to be ACM are present was cleaned at least once after the completion of the inspection required by 40 CFR 763.85(a) (see checklist item T2.20.1.US) and before the initiation of any response action, other than O&M activities or repair, according to the following procedures: - HEPA-vacuum or steam-clean all carpets - HEPA-vacuum or wet-clean all other floors and all other horizontal surfaces. - dispose of all debris, filters, mopheads, and cloths in sealed, leak-tight containers. Verify that the following actions are taken during any O&M activities disturbing friable asbestos: - entry is restricted into the area
T2.20.7.US Warning labels must be attached immediately adjacent to any friable and nonfriable ACBM and suspected ACBM assumed to be ACM located in routine maintenance areas (such as boiler rooms) at each school building. (40 CFR 763.95)[Reviewed March 2000].	Verify that label are in place in the following areas: - where friable ACBM was responded to by any means other than removal - where there is ACBM for which no response action was carried out. Verify that labels are displayed in highly visible places and remain posted until the ACBM that is labeled is removed. Verify that the label reads, CAUTION: ASBESTOS. HAZARDOUS. DO NOT DISTURB WITHOUT PROPER TRAINING AND EQUIPMENT.
T2.20.8.US All members of the school maintenance and custodial staff who might work in a building that contains ACBM are required to receive at least 2 h of awareness training whether or not they are required to work with ACBM. (40 CFR 763.92(a)(1))[Reviewed March 2000].	Verify that the school maintenance and custodial staff has been trained. Verify that new personnel are trained within 60 days after start of employment. Verify that the training has included: - information regarding asbestos and the various uses and forms - information on the health effects associated with asbestos exposure - locations of all ACBM identified throughout each school building in which they work - recognition of damaged, deterioration, and location of the management plan. - name and telephone number of the person designated to carry out responsibilities for asbestos management.
T2.20.9.US School maintenance and custodial staff that conduct any activities that will result in the disturbance of ACBM are required to received an additional 14 h of training. (40 CFR 763.92(a)(2))[Revised June 1998; Reviewed March 2000].	Verify that staff has received additional training that includes: - descriptions of the proper methods of handling ACBM - information on the use of respiratory protection as contained in the USEPA/NIOSH Guide to Respiratory Protection for the Asbestos Abatement Industry - the requirements found in 40 CFR 763.91 and Appendices A, B, C, and D of 40 CFR 763 Subpart E (763.80 through 763.99) - abatement requirements in 40 CFR 763.120 through 763.126 and 40 CFR 61.140 through 61.157 - OSHA regulations contained in 29 CFR 1926.58 - hands-on training in the use of respiratory protection, other personal protection measures, and good work practices.

T2.20.10.US Records pertaining to asbestos in schools are required to be maintained in a central location in the administrative office of the school. (40 CFR 763.94)[Revised October 2001].	Verify that required records are maintained in a centralized location in the administrative office of both the school and the local education agency as part of the management plan. Verify that records for each homogeneous area where all ACBM has been removed are retained for 3 yr after the next reinspection, or for an equivalent period. Verify that, for each preventive measure and response action taken for friable and nonfriable ACBM and friable and nonfriable suspected ACBM assumed to be ACM, the local education agency provides: - a detailed written description of the measure or action, including methods used, the location where the measure or action was taken, reasons for selecting the measure or action, start and completion dates of the work, names and addresses of all contractors involved, and if applicable, their state of accreditation, and accreditation numbers, and if ACBM is removed, the name and location of storage or disposal site of the ACM - the name and signature of any person collecting any air sample required to be collected at the completion of certain response actions, the locations where samples were collected, date of collection, the name and address of the laboratory analyzing the samples, the date of analysis, the results of the analysis, the method of analysis,
T2.20.11.US In the event of a fiber release episode at the school, certain actions are required. (40 CFR 763.91(f))[Added January 2001].	Verify that the following procedures are followed in the event of a minor fiber release episode (i.e., the falling or dislodging of 3 square or linear feet or less of friable ACBM): - thoroughly saturate the debris using wet methods - clean the area, as described in 40 CFR 763.91(e) (see checklist item T2.20.6.US.) - place the asbestos debris in a sealed, leak-tight container - repair the area of damaged ACM with materials such as asbestos-free spackling, plaster, cement, or insulation, or seal with latex paint or an encapsulant, or immediately have the appropriate response action implemented as required by 40 CFR 763.90 (see checklist item T2.20.4.US). Verify that the following procedures are followed in the event of a major fiber release episode (i.e., the falling or dislodging of more than 3 square or linear feet of friable ACBM): - restrict entry into the area and post signs to prevent entry into the area by persons other than those necessary to perform the response action - shut off or temporarily modify the air-handling system to prevent the distribution of fibers to other areas in the building. Verify that the response action for any major fiber release episode is designed by persons accredited to design response actions and conducted by persons accredited to conduct response actions.
T2.20.12.US Periodic surveillance is required at least once every 6 mo after a management plan is in effect. (40 CFR 763.92(b), 763.90(a) and 763.90(b)(2))[Added October 2001].	Verify that, at least once every 6 mo after a management plan is in effect; each local education agency conducts periodic surveillance in each building that it leases, owns, or otherwise uses as a school building that contains ACBM or is assumed to contain ACBM. Verify that individuals performing periodic surveillance: - visually inspected all areas that are identified in the management plan as ACBM or assumed ACBM - record the date of the surveillance, his or her name, and any changes in the condition of the materials - submits to the person designated to carry out general local education agency responsibilities a copy of the surveillance record for inclusion in the management plan. (NOTE: The local education agency must select and implement, in a timely manner, the appropriate response action, consistent with the written assessment, that protects human health and the environment in the least burdensome manner, considering local circumstances and economic concerns.)

T3.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violation (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
T3.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this check list item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
T3.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
T3.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
T4.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.

T4.2.1.US Facilities are required to comply with all applicable Federal regulatory requirements not contained in this checklist. (A finding under this check list item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
T4.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
T4.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
T4.10.1.US The lessor is responsible for informing lessees of target housing (see definitions) of the presence of any known LBP and/or LBP hazards according to specific parameters. (40 CFR 745.100, 745.101, 745.107, 745.113(b), and 745.113(c))[Revised June 1998; Reviewed March 2000].	(NOTE: The disclosure requirements do not imply a positive obligation on the lessor to conduct any evaluation or reduction activities.) Verify that in the disclosure process the lessor provides the following prior to signature on a lease: - a copy of a USEPA approved lead hazard information pamphlet - the presence of any known LBP and/or LBP hazards in the target housing being leased - any additional information available concerning the known LBP and/or LBP hazards such as the basis for determination that LBP or LBP hazards exist, the location of the LBP or LBP hazards, and the condition of the painted surfaces - copies of records or reports available pertaining to LBP or LBP hazards in the target housing, including reports regarding common areas - records or reports regarding other residential dwelling in multifamily target housing if the information is a part of an evaluation or reduction of LBP and/or LBP hazard in the target housing as a whole. Verify that the contracts to lease target housing include an attachment containing the following elements in the language of the contract: - a lead warning statement (appropriate language can be found in 40 CFR 745.113) - a statement by the lessor disclosing the presence of known LBP or LBP hazards in the target housing, or a statement
T4.10.2.US The seller is responsible for informing purchasers of target housing of the presence of any known LBP and/or LBP hazards according to specific parameters. (40 CFR 745.100, 745.101, 745.107, 745.110, 745.113(a), and 745.113(c))[Revised June 1998; Reviewed March 2000].	(NOTE: These requirements take effect as follows: - for owners of more than four residential dwellings, 6 September 1996 - for owners of one to four residential dwellings, 6 December 1996.) (NOTE: The disclosure requirements do not imply a positive obligation on the seller to conduct any evaluation or reduction activities.) Determine if the facility is in the process of selling any target housing. Verify that in the disclosure process the seller provides the following to the purchaser prior to the purchaser being obligated under any contract: - a copy of a USEPA approved lead hazard information pamphlet - the presence of any known LBP and/or LBP hazards in the target housing being sold - any additional information available concerning the known LBP and/or LBP hazards such as the basis for determination that LBP or LBP hazards exist, the location of the LBP or LBP hazards, and the condition of the painted surfaces - copies of records or reports available pertaining to LBP or LBP hazards in the target housing, including reports regarding common areas - records or reports regarding other residential dwelling in multifamily target housing if the information is a part of an evaluation or reduction of LBP and/or LBP hazard in the target housing as a whole. (NOTE: Before a purchaser is

T4.10.3.US Specific notifications must be issued prior to the renovation of any residential unit of target housing, including child-occupied facilities. (40 CFR 745.82(a), 745.82(b), and 745.84)[Added June 1998; Reviewed March 2000; Revised July 2008, Revised July 2010].	Verify that, no more than 60 days before beginning renovation activities in any residential dwelling unit of target housing, the firm performing the renovation provides the owner of the unit with the pamphlet, and complies with one of the following: - obtains, from the owner, a written acknowledgment that the owner has received the pamphlet - obtain a certificate of mailing at least 7 days prior to the renovation. Verify that, if the owner does not occupy the dwelling unit, in addition to the above requirements, the firm provides an adult occupant of the unit with the pamphlet, and complies with one of the following: - obtains, from the adult occupant, a written acknowledgment that the occupant has received the pamphlet; or certify in writing that a pamphlet has been delivered to the dwelling and that the firm performing the renovation has been unsuccessful in obtaining a written acknowledgment from an adult occupant - obtain a certificate of mailing at least 7 days prior to the renovation. Verify that certification of pamphlet delivery includes the address of the unit undergoing renovation, the date and method of delivery of the pamphlet, names of the persons delivering the pamphlet, reason for lack of acknowledgment (e.g., occupant refuses to sign, no adult occupant available), the signature of a
T4.10.4.US Certain records are required to be kept in relation to notification of LBP renovations. (40 CFR 745.81(a)(4)(ii), 745.82(a) and 745.86)[Added June 1998; Reviewed March 2000; Revised July 2008, Revised July 2010].	(NOTE: On or after 6 July 2010, all renovations must be performed in accordance with the work practice standards in 40 CFR 745.85 and the following recordkeeping requirements in target housing or child-occupied facilities, unless the renovation qualifies for an exception: - reports certifying that a determination had been made by a certified inspector that lead-based paint is not present on the components affected by the renovation - any signed and dated statements received from owner-occupants documenting that the requirements of 40 CFR 745.85 (see checklist items T4.20.7.US and T4.20.8.US) do not apply.) Verify that firms performing renovations retain and, if requested, make available to EPA all records necessary to demonstrate compliance with requirements related to residential property renovation for a period of 3 yr following completion of the renovation. (NOTE: This 3-yr retention requirement does not supersede longer obligations required by other provisions for retaining the same documentation, including any applicable State or Tribal laws or regulations.) Verify that the following records are retained, as applicable: - records or reports certifying that a determination had been made that lead-based paint was not present on the components affected by the renovation,
T4.10.5.US EPA must be notified prior to LBP abatement. (40 CFR 745.65(d), 745.227(e)(4))[Added July 2004].	Verify that a certified firm notifies EPA of lead-based paint abatement activities as follows: - the original notification is received by EPA at least 5 business days before the start date of any lead-based paint abatement activities - notification for lead-based paint abatement activities required in response to an elevated blood lead level (EBL) determination, or Federal, State, Tribal, or local emergency abatement order is received by EPA no later than the start date of the lead-based paint abatement activities - if the start date and/or location provided to EPA changes, an updated notification is received by EPA on or before the start date provided to EPA and documentation showing evidence of an EBL determination or a copy of the Federal/State/Tribal/local emergency abatement order is included in the written notification to take advantage of this abbreviated notification period - updated notification is provided to EPA for lead-based paint abatement activities that will begin on a date other than the start date specified in the original notification, as follows: - for lead-based paint abatement activities beginning prior to the start date provided to EPA an updated notification is received by EPA at least 5 business days before the new start date included in the notification - for lead-based paint abatement

T4.15.1.US All LBP activities are required to be performed by certified individuals or firms. (40 CFR 745.220(b), 745.226(a)(3), 745.226(a)(5), 745.226(e), 745.226(f)(1), and 745.233)[Revised October 1999. Reviewed March 2000; Revised July 2008].	Verify that all LBP activities are performed by USEPA or State/Tribal authorized program certified individuals or firms. (NOTE: Certification is available for inspectors, risk assessors, supervisors, project designers, abatement workers, renovators, and dust samplers.) (NOTE: Renovators certification must be completed by 22 April 2010 in order to perform renovations involving LBP.) Verify that recertification is done: - every 3 yr if the individual completed a training course with a course test and hands-on assessment - every 5 yr if the individual completed a training course with a proficiency test. (NOTE: It shall be a violation of TSCA for an individual or firm to conduct any of the LBP activities described in 40 CFR 745.227 (see checklist items T4.20.1.US. through T4.20.4.US.) after 1 March 2000, if that individual has not been certified by USEPA to do so.) (NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as
T4.15.2.US Training programs for LBP activities are required to be accredited. (40 CFR 745.220(b) and 745.225)[October 1996; Reviewed March 2000; Revised July 2008].	Determine if the facility provides training in LBP inspection, assessment, removal, abatement, renovation, or dust sampling. Verify that the training is USEPA accredited. (NOTE: Training programs may first apply to EPA for accreditation of their lead-based paint activities courses or refresher courses on or after 31 August 1998. Training programs may first apply to EPA for accreditation of their renovator or dust sampling technician courses or refresher courses on or after 22 April 2009.) (NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as having an elevated blood lead level (EBL) - only in those States or Indian Country that do not have an authorized state or Tribal program (40 CFR 744.220(b)).)
T4.20.1.US If inspections for LBP are conducted, they must be done according to specific methodologies. (40 CFR 745.65(d), 745.227(a)(1). 745.227(b), 745.227(f), and 745.227(i))[Revised October 1999; Revised April 2001; Revised April 2002].	(NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as having an EBL - only in those states or Indian Country that do not have an authorized State or Tribal program (40 CFR 744.220(b)).) (NOTE: The work practice standards in do not apply when treating paint-lead hazards of less than: - 2 ft2 of deteriorated lead-based paint per room or equivalent - 20 ft2 of deteriorated paint on the exterior building - 10 percent of the total surface area of deteriorated paint on an interior or exterior type of component with a small surface area.) Verify that inspections are done by USEPA or State/Tribal authorized program certified inspectors. Verify that inspections were performed according to a documented methodology (i.e., HUD Guidelines) and include testing of: - in a residential dwelling and child-occupied facility, each component with a distinct painting history and each exterior component with a distinct painting history is

T4.20.2.US If lead hazard screens are conducted, they are required to be done according so specific methodologies. (40 CFR 745.65(d), 745.227(a)(1), 745.227(c), 745.227(f), and 745.227(i))[Revised October 1996; Revised April 2001; Revised April 2002].	(NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as having an EBL - only in those states or Indian Country that do not have an authorized State or Tribal program (40 CFR 744.220(b)).) (NOTE: The work practice standards in do not apply when treating paint-lead hazards of less than: - 2 ft2 of deteriorated lead-based paint per room or equivalent - 20 ft2 of deteriorated paint on the exterior building - 10 percent of the total surface area of deteriorated paint on an interior or exterior type of component with a small surface area.) Verify that lead hazard screens are only done by a person certified by the USEPA as a risk assessor. Verify that lead hazard screens were performed according to a documented methodology and included: - background information is collected on the physical characteristics of the residential dwelling or child-occupied facility and occupant use patterns that may cause LBP
T4.20.3.US If risk assessments for LBP are conducted, they are required to be done according to specific methodologies. (40 CFR 745.65(d), 745.227(a)(1), 745.227(d). 745.227(f), 745.227(g), and 745.227(i))[Revised October 1996; Revised April 2001; Revised April 2002; Revised July 2004].	(NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as having an EBL - only in those states or Indian Country that do not have an authorized State or Tribal program (40 CFR 744.220(b)).) (NOTE: The work practice standards in do not apply when treating paint-lead hazards of less than: - 2 ft2 of deteriorated lead-based paint per room or equivalent - 20 ft2 of deteriorated paint on the exterior building - 10 percent of the total surface area of deteriorated paint on an interior or exterior type of component with a small surface area.) Verify that risk assessments are only done by a person certified by the USEPA as a risk assessor. Verify that risk assessments were performed according to a documented methodology (i.e., HUD Guidelines), and include: - background information is collected on the physical characteristics of the residential dwelling or child-occupied facility and occupant use patterns that may cause LBP
T4.20.4.US LBP abatement is required to be done according to specific methodologies. (40 CFR 745.65(d), 745.227(e)(1) through 745.227(e)(3), 745.227(e)(6), 745.227(e)(7), and 745.227(e)(9))[Revised October 1996; Revised April 2001; Revised April 2002; Revised July 2004].	(NOTE: These requirements apply: - to all individuals and firms engaged in LBP activities except persons who perform these activities within residential dwellings that they own, unless one of the following circumstances is present: - the residential dwelling is occupied by a person or persons other than the owner or the owners immediate family while these activities are being performed - a child residing in the building has been identified as having an EBL - only in those states or Indian Country that do not have an authorized State or Tribal program (40 CFR 744.220(b)).) (NOTE: The work practice standards in do not apply when treating paint-lead hazards of less than: - 2 ft2 of deteriorated lead-based paint per room or equivalent - 20 ft2 of deteriorated paint on the exterior building - 10 percent of the total surface area of deteriorated paint on an interior or exterior type of component with a small surface area.) (NOTE: See Appendix 11-4 for information on determining whether or not LBP, a paint-lead hazard, a dust-lead hazard, or a soil-lead hazard is present.) Verify that abatement is conducted only by an individual certified by EPA. Verify that each abatement project has a certified supervisor that is onsite during all work site preparation and during the post-abatement cleanup of work areas.
T4.20.5.US A written occupant protection plan must be developed for all abatement projects. (40 CFR 745.65(d) and 745.227(e)(5))[Added July 2004].	Verify that a written occupant protection plan is developed for all abatement projects Verify that the occupant protection plan is unique to each residential dwelling or child-occupied facility and is developed prior to the abatement. Verify that the occupant protection plan describes the measures and management procedures that will be taken during the abatement to protect the building occupants from exposure to any lead-based paint hazards. Verify that a certified supervisor or project designer prepares the occupant protection plan.

T4.20.6.US Certain post-abatement clearance procedures must be performed only by a certified inspector or risk assessor. (40 CFR 745.65(d), 745.227(e)(8), 745.227(e)(10), and 745.227(i))[Added July 2004].	Verify that the following post-abatement clearance procedures are performed by a certified inspector or risk assessor: - a visual inspection to determine if deteriorated paint and visible dust, debris, or residue are present - elimination of deteriorated paint and visible dust, debris, or residue before clearance continues - following the visual inspection and any post-abatement cleanup, clearance sampling for lead in dust is done (NOTE: Clearance sampling may be conducted by employing single-surface sampling or composite sampling techniques.) - clearance sampling for dust are done using documented methodologies that incorporate adequate quality control procedures - clearance sampling for lead contaminated dust are taken a minimum of 1 h after completion of final post-abatement cleanup activities - after conducting an abatement with containment between abated and unabated areas, one dust sample is taken from: - one interior window sill - one window trough (if present) - the floors of each of no less than four rooms, hallways or stairwells within the containment area (NOTE: If there are less than four rooms, hallways or stairwells within the containment area, then all rooms, hallways or stairwells are sampled - the floor outside the containment area. - after conducting an
T4.20.7.US Renovations must be performed by certified firms using certified renovators according to specific work practices. (40 CFR 745.81(a)(4)(ii), 745.82(a) through 745.82(b), and 745.85(a))[Added July 2008, Revised July 2010].	(NOTE: On or after 6 July 2010 all renovations must be performed in accordance with the work practice standards in 40 CFR 745.85 in target housing or child-occupied facilities, unless the renovation qualifies for an exception identified further down in this checklist item.) Verify that renovations are performed by certified firms using certified renovators. Verify that renovaters post signs clearly defining the work area and warning occupants and other persons not involved in renovation activities to remain outside of the work area. Verify that, to the extent practicable, these signs are in the primary language of the occupants. Verify that these signs are posted before beginning the renovation and remain in place and readable until the renovation and the post-renovation cleaning verification have been completed. (NOTE: If warning signs have been posted in accordance with 24 CFR 35.1345(b)(2) or 29 CFR 1926.62(m), additional signs are not required.) Verify that before beginning the renovation, the renovator isolates the work area so that no dust or debris leaves the work area while the renovation is being performed. Verify that the firm maintains the integrity of the containment by ensuring that any plastic or other impermeable materials are not torn or displaced, and taking any other steps necessary to ensure that
T4.20.8.US Post-renovation cleaning verification must meet specific parameters. (40 CFR 745.81(a)(4)(ii), 745.82(a) through 745.82(b), 745.85(b) through 745.85(d))[Added July 2008, Revised July 2010].	(NOTE: On or after 6 July 2010, all renovations must be performed in accordance with the work practice standards in 40 CFR 745.85 and the associated recordkeeping requirements in 40 CFR 745.86(b)(1) and (b)(6) in target housing or child-occupied facilities, unless the renovation qualifies for an exception identified further down in this checklist item.) (NOTE: Activities that do not disturb paint, such as applying paint to walls that have already been prepared, are not regulated by this checklist item if they are conducted after post-renovation cleaning verification has been performed.) Verify that, for interiors, a certified renovator performs a visual inspection to determine whether dust, debris or residue is still present. Verify that, if dust, debris or residue is present, these conditions are removed by re-cleaning and the performing another visual inspection. Verify that, after a successful visual inspection, a certified renovator verifies that each windowsill in the work area has been adequately cleaned, using the following procedures: - wipes the windowsill with a wet disposable cleaning cloth that is damp to the touch, if the cloth matches or is lighter than the cleaning verification card, the windowsill has been adequately cleaned - if the cloth does not match and is darker than the cleaning verification card, re-clean the

WA.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notice of violations (NOVs), interagency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the current or previous report, consent orders, compliance agreements, NOVs, inter agency agreements, or equivalent state enforcement actions.
WA.2.1.US Facilities are required to comply with all applicable Federal regulations not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
WA.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
WA.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
WA.10.1.US Point source discharges are required to have either a state NPDES or a Federal NPDES permit if located in states without an USEPA-approved NPDES permit program. (40 CFR 122.1(b), 122.21(c)(1) through 122.21(c)(2)(iv), 122.41(a), and 122.50)[Revised October 1999; Revised July 2000; Revised October 2001; Revised January 2005; Revised April 2005; Revised January 2006].	Verify that discharges of pollutants from any point source into waters of the United States have an NPDES permit. (NOTE: See definition of Point Source.) (NOTE: Look for oil/water separators and washracks that discharge directly to the environment.) Verify that any person proposing a new discharge submits an application at least 180 days before the date on which the discharge is to commence, unless permission for a later date has been granted by the Director. Verify that the following additional point sources have NPDES permits for discharges: - concentrated animal feeding operations - concentrated aquatic animal production facilities - discharges into aquaculture projects - discharges of stormwater as required in 40 CFR 122.26 (see checklist item WA.10.3.US) - silvicultural point sources. (NOTE: According to the EPA Memorandum Interpretive Statement on Application of Pesticides to Waters of the United States in Compliance with FIFRA, dated 25 January 2005, the application of a pesticide to or over, including near, waters of the United States consistent with all relevant requirements under FIFRA does not constitute the "discharge of a pollutant" that requires a NPDES permit under the CWA in the following two circumstances: - the application of pesticides directly to waters of the

WA.10.3.US Certain discharges of stormwater are required to be permitted. (40 CFR 122.26(a), 122.26(c), 122.26(d), 122.26(e)(8), 122.26(g)(1), 122.41(a), and 122.50)[Revised January 2000; Revised July 2000; Revised July 2002; Revised April 2003; Revised January 2005; Revised April 2005; Revised October 2008].	(NOTE: This checklist item details examples of the types of discharges requiring stormwater permits as well as the exemptions and situation when a permit is not needed: - operators of municipal separate storm sewer systems (MS4s) located in urbanized areas (UA) or when designated - industrial facilities in any of the 11 categories that discharge to an MS4 or to waters of the United States; all categories of industrial activity (except construction) may certify to a condition of "no exposure" if their industrial materials and operations are not exposed to storm water, thus eliminating the need to obtain storm water permit coverage - operators of construction activity that disturbs one or more acres of land and construction sites less than one acre are covered if part of a larger plan of development.) Verify that the operator of a discharge from a municipal separate storm sewer that is part of a large or medium municipal separate storm sewer system does one of the following: - participates in a permit application (to be a permittee or a co-permittee) with one or more other operators of discharges from the large or medium municipal storm sewer system that covers all, or a portion of all, discharges from the municipal separate storm sewer system - submits a distinct permit application that only covers
WA.10.4.US Even where not covered by NPDES permits, stormwater discharges should be uncontaminated and periodic surveillance of these discharges should be completed. (MP)[Revised May 1997].	Determine which drains are connected to the storm sewer and the location of all outfalls and discharge points. Determine if there is evidence of contamination (oil sheen, discoloration, etc.) by physical review of stormwater discharge sites. Verify that following oil/water separators are operating properly and correctly maintained: - oil/water separators connected to the permitted storm sewer outfall - oil/water separators discharging non-stormwater - oil/water separators discharging stormwater from nonindustrial activities. Determine if there are any action plans to eliminate the discharges. Determine if there is evidence of contaminated waste streams discharging to floor drains connected to the stormwater discharge system by checking major industrial shops or industrial areas physically, such as: - battery shop - corrosion control - engine shop - motor pool - paint shop - plating shop - pesticide shop - petroleum, oil, and lubricant (POL) area - golf courses - washracks - DRMO - contractor storage areas.
WA.10.5.US Samples must be collected in accordance with proper collection, testing, preservation, and shipping procedures in Standard Methods for the examination of Water and Wastewater. (40 CFR 136.1 through 136.4)[Revised March 1995].	Verify that: - proper sample containers are used - samples are refrigerated to 4 oC during compositing - proper preservation techniques are used - flow-proportioned samples are obtained where required by permit - sample holding times prior to analyses conform with requirements. - the chain of custody is maintained from sampling point through analytic testing to results (essential if litigation occurs). Verify that results are reported in the self-monitoring report.
WA.10.6.US Analytical testing must be done in accordance with USEPA approved analytical procedures. (40 CFR 136.3).	Determine if: - a USEPA approved analytical testing lab was used - proper approval was obtained from state/USEPA if alternate analytical procedures are used - parameters other than those required by the permit are analyzed - satisfactory calibration and maintenance of instruments and equipment is done - quality control procedures are used - duplicate samples are analyzed - spiked samples are used - a commercial laboratory is used - the commercial laboratory is state certified (states with formal certification program).

WA.10.7.US All holders of NPDES permits, whether point source or stormwater, are required to meet certain management and operational requirements. (40 CFR 122.41(b) through 122.41(n))[Added October 1999; Reviewed October 2001].	Verify that, if the permittee wished to continue an activity regulated by a permit after the expiration date of the permit, the permittee applied for and obtained a new permit. (NOTE: A permittee in an enforcement action cannot use a defense that it would have been necessary to halt or reduce the permitted activity in order to maintain compliance with the conditions of this permit.) Verify that the permittee takes all reasonable steps to minimize or prevent any discharges, sludge use, or disposal in violation of the permit if it has a reasonable likelihood of adversely affecting human health or the environment. Verify that the permittee at all times properly operates and maintains all facilities and systems of treatment and control (and related appurtenances), which are installed or used by the permittee to achieve compliance with the conditions of the permit. (NOTE: Proper operation and maintenance also includes adequate laboratory controls and appropriate quality assurance procedures. This requires the operation of back-up or auxiliary facilities or similar systems, which are installed by a permittee only when the operation is necessary to achieve compliance with the conditions of the permit.) (NOTE: A permit may be modified, revoked and reissued, or terminated for cause. The filing of a request by the permittee for a
WA.10.8.US Existing manufacturing, commercial, mining, and silvicultural dischargers are required to meet additional conditions. (40 CFR 122.42(a))[Added October 1999].	Verify that all existing manufacturing, commercial, mining, and silvicultural dischargers notify the Director as soon as they know, or have reason to believe: - that any activity has occurred or will occur that would result in the discharge, on a routine or frequent basis, of any toxic pollutant that is not limited in the permit, if that discharge will exceed the highest of the following notification levels: - 100 micrograms/L - 200 micrograms/L for acrolein and acrylonitrile; 500 micrograms/L for 2,4-dinitrophenol and for 2-methyl-4,6-dinitrophenol; and 1 mg/L for antimony - 5 times the maximum concentration value reported for that pollutant in the permit application - the level established by the Director. - that any activity has occurred or will occur that would result in any discharge, on a nonroutine or infrequent basis, of a toxic pollutant that is not limited in the permit, if that discharge will exceed the highest of the following notification levels: - 500 micrograms/L - 1 mg/L for antimony - 10 times the maximum concentration value reported for that pollutant in the permit application - the level established by the Director.
WA.10.9.US All POTWs are required to notify the Director of changes. (40 CFR 122.42(b))[Added October 1999; Reviewed October 2001].	Verify that all POTWs provide adequate notice to the Director of the following: - any new introduction of pollutants into the POTW from an indirect discharge that would be subject to section 301 or 306 of the CWA if the discharger were directly discharging those pollutants - any substantial change in the volume or character of pollutants being introduced into that POTW by a source introducing pollutants into the POTW at the time of issuance of the permit. (NOTE: Adequate notice shall include information on: - the quality and quantity of effluent introduced into the POTW - any anticipated impact of the change on the quantity or quality of effluent to be discharged from the POTW.)
WA.10.10.US Municipal separate storm sewer systems are required to meet additional conditions. (40 CFR 122.42(c))[Added October 1999; Reviewed October 2001].	Verify that the operator of a large or medium municipal separate storm sewer system or a municipal separate storm sewer that has been designated by the Director submits an annual report by the anniversary of the date of the issuance of the permit for the system. Verify that the report includes: - the status of implementing the components of the stormwater management program that are established as permit conditions - proposed changes to the stormwater management programs that are established as permit conditions - revisions, if necessary, to the assessment of controls and the fiscal analysis reported in the permit - a summary of data, including monitoring data, that is accumulated throughout the reporting year - annual expenditures and budget for the year following each annual report - a summary describing the number and nature of enforcement actions, inspections, and public education programs - identification of water quality improvements or degradation.

WA.10.11.US Transfer of permits may only occur under certain conditions. (40 CFR 122.61 and 122.63)[Added October 1999; Reviewed October 2001].	Verify that a permit is transferred by the permittee to a new owner or operator only if the permit has been modified or revoked and reissued, or a minor modification made, to identify the new permittee and incorporate such other requirements as may be necessary under CWA. (NOTE: As an alternative, any NPDES permit may be automatically transferred to a new permittee if: - the current permittee notifies the Director at least 30 days in advance of the proposed transfer date - the notice includes a written agreement between the existing and new permittees containing a specific date for transfer of permit responsibility, coverage, and liability between them - the Director does not notify the existing permittee and the proposed new permittee of his or her intent to modify or revoke and reissue the permit.) (NOTE: A modification may also be a minor modification under 40 CFR 122.63. If this notice is not received, the transfer is effective on the date specified in the agreement.) (NOTE: Under 40 CFR 122.63, minor modifications may only: - correct typographical errors - require more frequent monitoring or reporting by the permittee - change an interim compliance date in a schedule of compliance, provided the new date is not more than 120 days after the date specified in the existing
WA.25.1.US Pollutants must not be discharged into a POTW/ FOTW which would cause pass through or interference. (40 CFR 403.5(a) and 403.5(c)(2)).	Determine the following: - what point source discharges are onsite - what drains lead to the treatment works - what do personnel pour down the drains leading to the treatment works - what types of materials are located in areas where spills may reach the drains to the treatment works. Determine which drains are connected to the sanitary sewer draining to a POTW/ FOTW and possible pollutants entering these drains. Verify that pollutants are not being discharged to a POTW/FOTW that would cause a pass through or interference (see definitions). Determine if the POTW/FOTW has imposed any pretreatment standards or reporting requirements and verify that they are being met.
WA.25.2.US Specific pollutants shall not be introduced into a POTW/FOTW. (40 CFR 403.5(b))[Revised January 2006].	Verify that pollutants which create a fire or explosion hazard in the POTW/FOTW, including, but not limited to, wastestreams with a closed cup flashpoint of less than 140 °F or 60 °C using the test methods specified in 40 CFR 261.21 are not being discharged to the POTW/FOTW. Verify that pollutants that will cause corrosive structural damage to the POTW/ FOTW are not being discharged to a POTW/ FOTW. Verify that in no case are discharges with a pH below 5.0 released. Verify that solid or viscous pollutants in amounts that will cause obstruction to the flow are not being discharged to the POTW/FOTW. Examples are: - fish cleaning stations - pieces of metals, rubber, and wood from shops - sand and sediment. Verify that no pollutants, including pollutants with oxygen demand, are released at a flow rate or concentration that will cause interference with the POTW/FOTW. Verify that heat in amounts that would inhibit biological activity at the POTW/ FOTW resulting in interference is not discharged, including: - scrubber water - boiler blow down. (NOTE: In no case will the temperatures of discharges result in a temperature at the POTW/FOTW of greater than 40 degrees C (104 degrees F).) Verify that petroleum, oil, nonbiodegradable cutting oil, or products of mineral oil origin are
WA.25.3.US The POTW/FOTW is required to be notified immediately of any discharge, including slug loading, that could cause problems to the POTW/ FOTW. (40 CFR 403.8(f)(2)(vi) and 403.12(f))[Revised January 2006].	Verify that personnel are aware of the need to notify the POTW/FOTW of any discharge that would cause problems. Verify that, specifically, Significant Industrial Users notify the POTW/FOTW immediately of any changes at its facility affecting potential for a Slug Discharge.

WA.25.4.US FOTWs may only accept wastewaters that meet one of four conditions. (FFCA, PL 102-386, Section 3023(a)).	Verify that all wastewater being discharged to the FOTW meets one of the following conditions: - a pretreatment standard is established for the source and the source is in compliance with the standard - a schedule for establishing a pretreatment standard for the source has been set by the USEPA and the schedule dictates that the standard will be in place by October 1999. Additionally, the source is in compliance with the standard after the effective date of the standard - the industrial source meets land disposal restriction standards under 40 CFR 268 - the industrial activity generates less than 100 kg [approx. 220 lb] of hazardous waste per month.
WA.25.5.US Industrial users that are not required to meet a categorical pretreatment standard are required to submit specific reports. (40 CFR 403.12(h))[Revised January 2006].	(NOTE: Reporting requirements for Industrial Users not subject to categorical Pretreatment Standards. The Control Authority must require appropriate reporting from those Industrial Users with Discharges that are not subject to categorical Pretreatment Standards.) Verify that Significant Non-categorical Industrial Users submit to the Control Authority at least once every 6 mo (on dates specified by the Control Authority) a description of the nature, concentration, and flow of the pollutants required to be reported by the Control Authority. Verify that, in cases where a local limit requires compliance with a Best Management Practice or pollution prevention alternative, the User submits documentation required by the Control Authority to determine the compliance status of the User. Verify that these documentation reports are based on sampling and analysis performed in the period covered by the report, and in accordance with the techniques described in 40 CFR 136. (NOTE: This sampling and analysis may be performed by the Control Authority in lieu of the significant non-categorical Industrial User.)
WA.25.6.US Industrial users are required to notify the POTW, the Regional Waste Management Division Director, and state hazardous waste authorities in writing of any discharges into the POTW of a substance that would be a hazardous waste. (40 CFR 403.12(p)).	Determine if any substance is discharged to a POTW that would be classified as a hazardous waste if disposed of in any other manner. Verify that if they are discharging a hazardous waste to the POTW, the correct people have been notified of the following: - the name of the waste - the type of discharge (batch, continuous, or other) - USEPA hazardous waste number. Verify that if the discharge is more than 100 kg/mo, the following information is also included to the extent that it is known and readily available: - identification of the hazardous constituents - an estimate of the mass and concentrations of the constituents in the waste discharges during the calendar month.
WA.25.7.US FOTWs cannot accept the discharge of any acutely hazardous wastes. (FFCA, PL 102- 386, Section 3023(b)).	Verify that if any hazardous waste is discharged to the FOTW, it is not acutely hazardous waste.
WA.25.8.US All industrial users are required to notify the POTW/ FOTW in advance of any substantial change in the volume or character of pollutants in their discharge. (40 CFR 403.12(j))[Revised January 2006].	Verify that all Industrial Users promptly notify the Control Authority (and the POTW if the POTW is not the Control Authority) in advance of any substantial change in the volume or character of pollutants in their Discharge, including the listed or characteristic hazardous wastes for which the Industrial User has submitted initial notification.

WA.25.9.US Industrial users and POTWs/ FOTWs are required to keep specific reports. (40 CFR 403.12(o))[Revised January 2006].	Verify that records are kept of all information resulting from monitoring activities, including documentation associated with Best Management Practices. Verify that the records include for all samples the following information: - the date, exact place, methods, and time of sampling and the names of the person or persons taking the samples - the dates analyses were performed - who performed analyses - the analytical techniques, methods used - the results of the analyses. Verify that Industrial Users retain for a minimum of 3 yr any records of monitoring activities and results (whether or not such monitoring activities are required) and makes those records available for inspection and copying by the Director and the Regional Administrator (and POTW in the case of an Industrial User).
WA.25.10.US Industrial users which are determined to be a Non-Significant Categorical Industrial User must submit a certification. (40 CFR 403.12(o))[Added January 2006].	Verify that a facility determined to be a Non-Significant Categorical Industrial User annually submits the following certification statement: Based on my inquiry of the person or persons directly responsible for managing compliance with the categorical Pretreatment Standards under 40 CFR --------, I certify that, to the best of my knowledge and belief that during the period from ---------- --------, to ----------, -------- [month, days, year]: The facility described as ---------- [facility name] met the definition of a non-significant categorical Industrial User as described in 40 CFR 403.3(v)(2); The facility complied with all applicable Pretreatment Standards and requirements during this reporting period; and (c) the facility never discharged more than 100 gallons of total categorical wastewater on any given day during this reporting period. Verify that the certification accompanies any alternative report required by the Control Authority.
WQ.1.1.US The current status of any ongoing or unresolved consent orders, compliance agreements, notices of violations (NOVs), inter- agency agreements, or equivalent state enforcement actions is required to be examined. (A finding under this checklist item will have the enforcement action/ identifying information as the citation).	Determine if noncompliance issues have been resolved by reviewing a copy of the previous report, consent orders, compliance agreements, NOVs, interagency agreements, or equivalent state enforcement actions.
WQ.1.2.US Analysis of all samples, except turbidity, free chlorine residual, temperature, and pH, to determine compliance with MCLs must be performed in a state-certified laboratory or by a state-approved individual. (40 CFR 141.23(k)(6), 141.24(f)(17), 141.24(h)(19), and 141.28)[Reviewed March 2000; Revised October 2006].	Verify that laboratory is certified by reviewing documentation of state certification for laboratory analysis. (NOTE: For the purpose of determining compliance with 40 CFR 141.21 through 141.27, 141.30, 141.40, 141.74, 141.89 and 141.402, samples may be considered only if they have been analyzed by a laboratory certified by the State except that measurements of alkalinity, calcium, conductivity, disinfectant residual, orthophosphate, pH, silica, temperature and turbidity may be performed by any person acceptable to the State.)

WQ.2.1.US Facilities are required to comply with all applicable federal regulatory requirements not contained in this checklist. (A finding under this checklist item will have the citation of the applied regulation as a basis of finding).	Determine if any new regulations have been issued since the finalization of TEAM. Determine if the facility has activities or facilities that are regulated, but not addressed in this checklist. Verify that the facility is in compliance with all applicable and newly issued regulations.
WQ.2.2.US Risk management techniques should be promoted in environmental efforts. (MP)[Added April 2002].	Determine if risk management techniques are promoted in environmental efforts.
WQ.2.3.US Facilities should go above and beyond statutory and regulatory compliance. (MP)[Added April 2002].	Determine if the facility has gone above and beyond simply complying with environmental requirements.
WQ.10.1.US Records must be kept of actions taken to correct violations of primary drinking water regulations for at least 3 yr. (40 CFR 141.33(b))[Revised March 2000].	Verify that water system records are maintained for at least 3 yr. Determine if there are recurring work programs, spare parts and supplies list, equipment calibration and maintenance history records. (NOTE: This checklist item applies to public water systems (PWSs). A PWS is defined as a system that has at least 15 service connections or serves an average of at least 25 people for at least 60 days per year.) A PWS includes: - any collection, treatment, storage, and distribution facilities under control of the operator of such system and used primarily in connection with such system - any collection or pretreatment storage facilities not under such control that are used primarily in connection with such system. The term "Public Water System(s)" does not include any "special irrigation district." A public water system is either a community water system or a noncommunity water system. See Checklist User Guidance to determine which checklist items are applicable to the facility being audited.)
WQ.10.2.US Public water systems which do not collect 5 or more routine total coliform samples per month are required to undergo an initial sanitary survey according to a specified schedule and maintain records of those reviews. (40 CFR 141.21(d) and 141.33(c))[Revised March 2000; Revised October 2006].	Verify that noncommunity water systems that do not collect five or more routine samples per month have undergone an initial sanitary survey by 29 June 1999 and then undergo a sanitary survey every 5 yr thereafter. (NOTE: Noncommunity water systems using only protected and disinfected groundwater are only required to undergo a sanitary survey every 10 yr after the initial survey.) Verify that community water systems that collect less than five routine biological samples per month undergo a sanitary survey every 5 yr since 29 June 1994. Verify that records of sanitary surveys are kept for at least 10 yr. Verify that the sanitary surveys have been performed by the state or an agent approved by the state. Verify that, if the state has requested additional measures to improve drinking water quality, those measures have been implemented. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.) (NOTE: Sanitary surveys conducted by the State under the provisions of 40 CFR 142.16(o)(2) may be used to meet the sanitary survey requirements.)

WQ.10.3.US Public water systems that use ground water must meet sanitary survey requirements. (40 CFR 141.400(a) through 141.400(c)(1), 141.400(d) and 141.401)[Deleted May 1996; Added January 2007].	(NOTE: This checklist item applies to all public water systems that use ground water except that it does not apply to public water systems that combine all of their ground water with surface water or with ground water under the direct influence of surface water prior to treatment under 40 CFR 141, Subpart H. For the purposes of this checklist item, "ground water system" is defined as any public water system meeting this applicability statement, including consecutive systems receiving finished ground water.) (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) Verify that ground water systems must provide the State, at the State's request, any existing information that will enable the State to conduct a sanitary survey. (NOTE: A "sanitary survey," as conducted by the State, includes but is not limited to, an onsite review of the water source(s) (identifying sources of contamination by using results of source water assessments or other relevant information where available), facilities, equipment, operation, maintenance, and monitoring compliance of a public water system to evaluate the adequacy of the system, its sources and operations and the distribution of safe drinking water.) Verify that the sanitary survey includes an
WQ.10.4.US Public water systems that use point of use devices to comply with MCL are required to meet specific standards. (40 CFR 141.100 and 141.101)[Revised June 1998; Reviewed March 2000].	Determine if the public water system uses a point of use device to comply with MCLs. Verify that the public water system has developed and obtained state approval for a monitoring plan prior to the point of use devices being installed. Verify that the parameters of the plan are being followed. (NOTE: The design and application of the point-of-entry devices must consider the tendency for increase in heterotrophic bacteria concentrations in water treated with activated carbon.) Verify that all consumers are protected and every building connected to the system has a point-of-entry device installed, maintained, and adequately monitored. (NOTE: Public water systems may not use bottled water or point of use devices to achieve compliance with an MCL. But, bottled water or point of use devices may be used on a temporary basis to avoid unreasonable risk to health.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.10.5.US Subpart H public water systems starting construction of a finished water reservoir on or after 15 March 2002 are required to have covered reservoirs. (40 CFR 141.501, 141.502, 141.510, and 141.511)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that Subpart H public water systems starting construction of a finished water reservoir on or after 15 March 2002 ensure the reservoir is covered. (NOTE: Finished water reservoirs for which construction began prior to 15 March 2002 are not subject to this requirement.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.10.6.US Public water systems should meet maximum contaminant level goals (MCLGs) for organic contaminants, inorganic contaminants, microbiological contaminants, and radionuclides. (MP)[Added July 2005; Revised April 2006].	(NOTE: This checklist item is based on 40 CFR 141.50, 141.51, 141.52, 141.53, and 141.55. According to the definition of MCLG in 40 CFR 141.2, MCLGs are "nonenforceable health goals.") Verify that the following MCLGs for inorganic contaminants are met: antimony, MCLG of 0.006 mg/L arsenic, as of 23 January 2006, a MCLG of 0 mg/L asbestos, MCLG of 7 Million fibers/liter (longer than 10 microm). barium, MCLG of 2 mg/L beryllium, MCLG of .004 mg/L cadmium, MCLG of 0.005 mg/L chromium, MCLG of 0.1 mg/L copper, MCLG of 1.3 mg/L cyanide (as free Cyanide), MCLG of .2 mg/L fluoride, MCLG of 4.0 mg/L lead, MCLG of 0 mg/L mercury,, MCLG of 0.002 mg/L nitrate, MCLG of 10 mg/L (as nitrogen). nitrite, MCLG of 1 mg/L (as nitrogen). total nitrate + nitrite, MCLG of 10 mg/L (as nitrogen). selenium, MCLG of 0.05 mg/L thallium, MCLG of .0005 mg/L Verify that the following MCLGs for microbiological contaminants are met: Giardia lamblia, MCLG of 0 mg/L Viruses, MCLG of 0 mg/L Legionella, MCLG of 0 mg/L total coliforms (including fecal coliforms and Escherichia coli), MCLG of 0 mg/L Cryptosporidium, MCLG of 0 mg/L. Verify that the following MCLGs for radionuclides are met: combined radium-226 and radium-228, MCLG of 0 mg/L gross alpha particle activity (excluding

WQ.10.7.US Public water systems must certify that the designated treatment techniques for specific substances are met. (40 CFR 141.100 and 141.111)[Added July 2009].	(NOTE: This checklist item addresses treatment techniques which were established in lieu of MCLs for specified contaminants.) Verify that each public water system certifies annually in writing to the State (using third party or manufacturer's certification) that when acrylamide and epichlorohydrin are used in drinking water systems, the combination (or product) of dose and monomer level does not exceed the following levels: - Acrylamide is 0.05% dosed at 1 ppm (or equivalent) - Epichlorohydrin=0.01% dosed at 20 ppm (or equivalent). (NOTE: Certifications can rely on manufacturers or third parties, as approved by the State.)
WQ.15.1.US Public water systems are required to collect monthly total coliform sample based on population and at sites detailed in the sampling siting plan. (40 CFR 141.21(a)(1) and 141.21(a)(4))[Reviewed March 2000; Revised January 2006; Revised April 2009].	Verify that monthly total coliform samples are collected at regular intervals at the frequency required based on population. Verify that public water systems collect total coliform samples at sites which are representative of water throughout the distribution system according to a written sample siting plan. (NOTE These plans are subject to State review and revision.) (NOTE: Systems that use groundwater (except groundwater under the influence of surface water) and serve 4900 persons or fewer may collect all required samples on a single day if they are being taken from different sites.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.15.2.US Public water systems that use surface water or groundwater under the direct influence of surface water that do not practice filtration are required to collect at least one total coliform sample near the first service connection each day the turbidity level of the source water exceeds 1 NTU. (40 CFR 141.21(a)(5) and 141.74(b)(1))[Reviewed March 2000].	Verify that, if the turbidity exceeded 1 NTU, total coliform samples were taken within 24 h of the first exceedance by reviewing the records on turbidity levels and coliform sampling. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.15.3.US When a routine sample is total coliform-positive, the public water system must collect a set of repeat samples within 24 h of being notified of the positive result. (40 CFR 141.21(b)(1) through 141.21(b)(5), 141.21(b)(7) and 141.21(e)(1))[May 1996; Revised March 2000].	Verify that a system which collects more than one routine sample/month collects no fewer than three repeat samples for each total coliform-positive sample found. Verify that if one or less routine sample per month is collected, no less than four repeat samples are collected for each total coliform-positive sample found. Verify that at least one of the repeat samples is collected from the sampling tap where the original total coliform positive sample was taken. Verify that at least one repeat sample was taken at a tap within five service connections upstream and at least one repeat sample at a tap within five service connections downstream of the original sampling site. Verify that the sampling process is repeated until either total coliform are not detected in one complete set of repeat samples or the system determines that the MCL for total coliforms is exceeded and the state is notified. Verify that all repeat samples are collected on the same day. Verify that if one or more of the repeat samples is total coliform-positive, an additional set of repeat samples is collected within 24 h of notification of the positive result. Verify that if a repeat sample is total coliform-positive it is also analyzed for fecal coliforms. (NOTE: The system may test for E. coli instead of fecal coliforms.) (NOTE: If a system collecting fewer than

WQ.15.4.US Subpart H systems serving fewer than 10,000 people and utilizing conventional filtration or direct filtration, are required to conduct continuous monitoring of turbidity for each individual filter at the system. (40 CFR 141.501, 141.502, and 141.560 through 141.564)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that subpart H systems serving fewer than 10,000 people and utilizing conventional filtration or direct filtration, conduct continuous monitoring of turbidity for each individual filter at the system. Verify that the following requirements are met for continuous turbidity monitoring: - monitoring is conducted using an approved method in 40 CFR 141.74(a) - calibration of turbidimeters is conducted using procedures specified by the manufacturer - results of turbidity monitoring are recorded at least every 15 min - monthly reporting is completed according to 40 CFR 141.570 (see checklist item WQ.30.11.US) - records must be maintained according to 40 CFR 141.571 (see checklist item WQ.30.12.US). Verify that, if there is a failure in the continuous turbidity monitoring equipment, grab sampling is conducted every four hours in lieu of continuous monitoring until the turbidimeter is back on-line. (NOTE: The system has 14 days to resume continuous monitoring before a violation is incurred.) (NOTE: If the system only consists of two or fewer filters, continuous monitoring of combined filter
WQ.15.5.US Public water systems are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source as a part of determining 40 CFR 141, Subpart W compliance. (40 CFR 141.700)[Added April 2006].	(NOTE: The requirements in 40 CFR 141, Subpart W establish or extend treatment technique requirements in lieu of maximum contaminant levels for Cryptosporidium. These requirements are in addition to requirements for filtration and disinfection in 40 CFR 141, Subpart H, 40 CFR 141, Subpart P, and 40 CFR 141, Subpart T.) (NOTE: 40 CFR 141, Subpart H includes 40 CFR 141.70 through 141.76 [see checklist items WQ.15.2.US, WQ.20.1.US through WQ.20.8.US, WQ.20.12.US, and WQ.20.15.US]. 40 CFR 141, Subpart P includes 40 CFR 141.170 through 141.175 [see checklist items WQ.20.9.US through WQ.20.11.US, and WQ.30.5.US], 40 CFR 141, Subpart T includes 40 CFR 141.500 through 141.571 [see checklist items WQ.10.5.US, WQ.15.4.US, WQ.20.13.US through WQ.20.15.US, WQ.30.11.US, WQ.30.12.US, WQ.35.5.US, WQ.76.3.US].) (NOTE: These requirements apply to: all subpart H systems, which are public water systems supplied by a surface water source and public water systems supplied by a ground water source under the direct influence of surface water wholesale systems, see definitions, comply with these requirements based on the population of the largest system in the combined distribution system.) (NOTE: The requirements for filtered systems apply to systems required by National Primary Drinking Water Regulations to provide filtration treatment, whether or not
WQ.15.6.US Public water systems are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source according to a specific schedule. (40 CFR 141.701)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that systems must conduct the following monitoring on the schedule unless they meet the monitoring exemption criteria: filtered systems serving at least 10,000 people sample their source water for Cryptosporidium, E. coli, and turbidity at least monthly for 24 mo unfiltered systems serving at least 10,000 people sample their source water for Cryptosporidium at least monthly for 24 mo filtered systems serving fewer than 10,000 people sample their source water for E. coli at least once every two weeks for 12 mo (NOTE: A filtered system serving fewer than 10,000 people may avoid E. coli monitoring if the system notifies the State no longer than 3 mo prior to the date the system is otherwise required to start E. coli monitoring that it will monitor for Cryptosporidium) filtered systems serving fewer than 10,000 people sample their source water for Cryptosporidium at least twice per month for 12 mo or at least monthly for 24 mo if they meet one of the following based on prior E. coli monitoring for systems using lake/reservoir sources, the annual mean E. coli concentration is greater than 10 E. coli/100 mL for systems using flowing stream sources, the annual mean E. coli

WQ.15.7.US Public water systems required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must have a sampling schedule. (40 CFR 141.702)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that systems required to conduct source water monitoring under 40 CFR 141.701 (see checklist item WQ.15.6.US.) submit a sampling schedule that specifies the calendar dates when the system will collect each required sample. Verify that systems submit sampling schedules no later than 3 mo prior to the applicable date listed Table 1 in Appendix 13-9d for each round of required monitoring. Verify that systems serving at least 10,000 people submit their sampling schedule for the initial round of source water monitoring EPA electronically at https://intranet.epa.gov/lt2/. Verify that, if a system serving at least 10,000 people is unable to submit the sampling schedule electronically, the system uses an EPA-approved alternative approach for submitting the sampling schedule. Verify that systems serving fewer than 10,000 people submit their sampling schedules for the initial round of source water monitoring to the State. Verify that systems submit sampling schedules for the second round of source water monitoring to the State. (NOTE: If EPA or the State does not respond to a system regarding its sampling schedule, the system must sample at the reported schedule.)
WQ.15.8.US Public water systems required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must collect the samples at specific locations. (40 CFR 141.703)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that systems required to conduct source water monitoring collect samples for each plant that treats a surface water or GWUDI source. (NOTE: Where multiple plants draw water from the same influent, such as the same pipe or intake, the State may approve one set of monitoring results to be used to satisfy the requirements for all plants.) Verify that systems collect source water samples prior to chemical treatment, such as coagulants, oxidants and disinfectants, unless the system has a State approved system to collect a source water sample after chemical treatment. (NOTE: For the state to grant approval, the State must determine that collecting a sample prior to chemical treatment is not feasible for the system and that the chemical treatment is unlikely to have a significant adverse effect on the analysis of the sample.) Verify that systems that recycle filter backwash water collect source water samples prior to the point of filter backwash water addition. Verify that systems that receive Cryptosporidium treatment credit for bank filtration under 40 CFR 141.173(b) or 40 CFR 141.552(a) (see checklist items WQ.20.9.US and WQ.20.15.US), as applicable, collect source
WQ.15.9.US Public water systems required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must have samples analyzed at an approved lab. (40 CFR 141.705)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that systems have Cryptosporidium samples analyzed by a laboratory that is approved under EPA's Laboratory Quality Assurance Evaluation Program for Analysis of Cryptosporidium in Water or a laboratory that has been certified for Cryptosporidium analysis by an equivalent State laboratory certification program. (NOTE: Any laboratory certified by the EPA, the National Environmental Laboratory Accreditation Conference or the State for total coliform or fecal coliform analysis is approved for E. coli analysis under this subpart when the laboratory uses the same technique for E. coli that the laboratory uses for 40 CFR 141.74. Verify that measurements of turbidity are made by a party approved by the State. (NOTE: See the text of 40 CFR 141.704 for the approved analytical methods.)

WQ.15.10.US In specific situations, public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source can grandfather sample results. (40 CFR 141.707)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) (NOTE: Systems may comply with the initial source water monitoring requirements by grandfathering sample results collected before the system is required to begin monitoring (i.e., previously collected data). To be grandfathered, the sample results and analysis must meet the criteria in this checklist item and the State must approve.) (NOTE: A filtered system may grandfather Cryptosporidium samples when the system does not have corresponding E. coli and turbidity samples. A system that grandfathers Cryptosporidium samples without E. coli and turbidity samples is not required to collect E. coli and turbidity samples when the system completes the requirements for Cryptosporidium monitoring.) Verify that the analysis of E. coli samples meet the analytical method and approved laboratory requirements. Verify that the analysis of Cryptosporidium samples is done at an approved laboratory using approved analytical methods. Verify that, for each Cryptosporidium sample, the laboratory analyzed at least 10 L of sample or at least 2 mL of packed pellet or as much volume as could be filtered by 2 EPA-approved filters for the approved analytical methods. Verify that the sampling
WQ.15.11.US Public water systems that use ground water must meet microbial source water monitoring requirements for ground water systems that do not treat all of their ground water to at least 99.99 percent (4-log) treatment of viruses. (40 CFR 141.400(a) through 141.400(c)(2), 141.400(d), 141.402(a), and 141.402(b))[Added January 2007; Revised April 2009; Citation Revised July 2009].	(NOTE: This checklist item applies to all public water systems that use ground water except that it does not apply to public water systems that combine all of their ground water with surface water or with ground water under the direct influence of surface water prior to treatment under 40 CFR 141, Subpart H.) (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) Verify that a ground water system conducts triggered source water monitoring if the following conditions exist: - the system does not provide at least 4-log treatment of viruses (using inactivation, removal, or a State-approved combination of 4-log virus inactivation and removal) before or at the first customer for each ground water source - the system is notified that a sample collected under 40 CFR 141.21(a) is total coliform-positive and the sample is not invalidated under 40 CFR 141.21(c). Verify that a ground water system collects, within 24 h of notification of the total coliform-positive sample, at least one ground water source sample from each ground water source in use at the time the total coliform-positive sample was collected. Verify that required ground water source samples are collected at a location prior to any treatment of the ground water source unless the State approves a sampling location after treatment. (NOTE: If the system's configuration does not allow for sampling at
WQ.15.12.US Public water systems that use ground water having fecally contaminated source waters or significant deficiencies identified by a regulator must meet treatment technique requirements. (40 CFR 141.400(a) through 141.400(c)(3), 141.400(d), 141.403(a)(1) through 141.403(a)(6), and 141.403(c))[Added January 2007].	(NOTE: This checklist item applies to all public water systems that use ground water except that it does not apply to public water systems that combine all of their ground water with surface water or with ground water under the direct influence of surface water prior to treatment under 40 CFR 141, Subpart H.) (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) Verify that a ground water system with fecally contaminated source water or with significant deficiencies subject to the treatment technique requirements implement one or more of the following corrective action options: correct all significant deficiencies provide an alternate source of water eliminate the source of contamination provide treatment that reliably achieves at least 4-log treatment of viruses (using inactivation, removal, or a State-approved combination of 4-log virus inactivation and removal) before or at the first customer. Verify that, within 120 days (or earlier if directed by the State) of receiving written notification from the State of a significant deficiency, written notice from a laboratory that a ground water source sample was found to be fecal indicator-positive, or direction from the State that a fecal indicator-positive sample requires corrective action, the ground

WQ.15.13.US Public water systems that use ground water must meet monitoring requirements in specific situations. (40 CFR 141.400(a) through 141.400(c)(3), 141.400(d), 141.403(b), 141.403(c)(1), 141.403(c)(2), 141.403(c)(4))[Added January 2007].	(NOTE: This checklist item applies to all public water systems that use ground water except that it does not apply to public water systems that combine all of their ground water with surface water or with ground water under the direct influence of surface water prior to treatment under 40 CFR 141, Subpart H.) (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) Verify that a ground water system that is not required to meet the source water monitoring requirements of this subpart for any ground water source because it provides at least 4-log treatment of viruses (using inactivation, removal, or a State-approved combination of 4-log virus inactivation and removal) before or at the first customer for any ground water source before 1 December 2009, notifies the State in writing that it provides at least 4-log treatment of viruses (using inactivation, removal, or a State-approved combination of 4-log virus inactivation and removal) before or at the first customer for the specified ground water source and will begin compliance monitoring by 1 December 2009. Verify that notification to the State includes engineering, operational, or other information that the State requests to evaluate the submission. Verify that, if the system
WQ.20.1.US Public water systems that use surface water sources or groundwater sources under direct influence of a surface water source must provide filtration as a treatment technique for microbiological contaminants unless certain criteria are met. (40 CFR 141.71(a) and 141.71(b))[Revised January 1999; Reviewed March 2000; Revised April 2001].	(NOTE: Public water systems that use a groundwater source under the direct influence of surface water are not required to meet these conditions to avoid filtration until 18 mo after the state has determined that the system is under the direct influence of surface water.) Verify that filtration of drinking water is performed unless all of the following conditions for surface water are met: - the fecal coliform concentration is less than or equal to 20/100 mL or total coliform concentration is equal to or less than 100/100 mL in representative samples of the source water immediately prior to the first or only point of disinfectant application in at least 90 percent of the measurements made in the last 6 mo that the system served water to the public on an ongoing basis - the turbidity level does not exceed 5 NTU in representative samples of the source water immediately prior to the first or only point of disinfectant application, unless state determines otherwise and there has not been more than two events in the past 12 mo that the system served water to the public or more than five events in the past 120 mo that the system served water to the public. Verify that filtration of drinking water is done unless all the following site-specific conditions are met: - meets the requirements of 40 CFR 141.72(a)(1) (see checklist item
WQ.20.2.US Systems that do not meet the criteria necessary for exclusion from filtration for public water systems that use a surface water source or a groundwater source under the direct influence of surface water must provide filtration that meets specific standards by 29 June 1993, or within 18 mo after being required to provide filtration, whichever is later. (40 CFR 141.73, 141.74(c)(1), through 141.74(c)(4))[Revised January 1999; Reviewed March 2000; Revised April 2001].	Verify that, if conventional or direct filtration is used, the following are met: - a turbidity level of 0.5 NTU or less in 95 percent of measurements taken each month - the turbidity level of representative samples of filtered water at no time exceeds 5 NTU - systems serving at least 10,000 people meet the turbidity requirements in 40 CFR 141.173(a) starting 1 January 2002. Verify that, if slow sand filtration is used, the following are met: - the turbidity level of representative samples of a system's filtered water is 1 NTU or less in 95 percent of the monthly measurements. - the turbidity level of representative samples of a system's filtered water at no time exceeds 5 NTU. Verify that, if diatomaceous earth filtration is used, the following are met: - the turbidity level of representative samples of a system's filtered water is less than or equal to 1 NTU in at least 95 percent of the measurements taken each month - the turbidity level of representative samples of a system's filtered water at no time exceeds 5 NTU. Verify that, if other filtration technologies are used, they have been approved by the state and beginning 1 January 2002, systems serving at least 10,000 people meet the requirements for other filtration technologies in 40 CFR 141.173(b). Verify that, starting 29 June 1993 or when filtration is installed, turbidity measurements are performed on representative samples of the system's filtered water every 4 h that the system serves water to the public. Verify that, as of 29 June 1993, or whenever filtration is installed, the residual disinfectant concentration of water entering the distribution system is monitored continuously and the lowest value

WQ.20.3.US Public water systems that use a surface water source or a groundwater source under direct influence of a surface water source that is not required to provide filtration are required to provide disinfection treatment by 30 December 1991. (40 CFR 141.72(a))[Reviewed March 2000].	Verify that the following requirements for disinfection are met: - it ensures 99.9 percent (3-log) inactivation of Giardia lamblia cysts every day except for once per month by meeting the required CT applicable to the system's particular water quality parameters as outlined in 40 CFR 141.74 - it ensures 99.99 percent (4-log) inactivation of virus every day except for once per month by meeting the required CT applicable to the systems particular water quality parameters as outlined in 40 CFR 141.74 - the CT values are calculated daily as specified in 40 CFR 141.74(b)(3) - throughout the disinfection system there is either: automatic startup and alarm for ensuring continuous disinfection application while water is delivered through the distribution system automatic shutoff when there is less than 0.2 mg/L residual disinfectant - the residual disinfectant concentration in water entering distribution system is not less than 0.2 mg/L for more than 4 h - the residual disinfectant concentration, measured as total chlorine, combined chlorine, or chlorine dioxide is not undetectable in more than 5 percent of samples each month for more than 2 consecutive months. (NOTE: Water in a distribution system with a heterotrophic bacteria concentration less than or equal to 500 mL, measured as heterotrophic plate count
WQ.20.4.US Public water systems that use a surface water source or a groundwater source under direct influence of a surface water source that provide filtration or that are required by the state to install filtration must meet specific disinfection requirements by 29 June 1993 or within 18 mo of being required to install filtration. (40 CFR 141.72(b) and 141.73)[Reviewed March 2000].	Determine if the filtration is provided for drinking water. Verify that the following requirements for disinfection are provided: - it ensures 99.9 percent (3-log) inactivation of Giardia lamblia cysts - it ensures 99.99 percent (4-log) inactivation of viruses - the residual disinfectant concentration in water entering distribution system is not less than 0.2 mg/L for more than 4 h. - the residual disinfectant concentration throughout the distribution system is not undetectable in more than 5 percent of samples each month for any 2 consecutive mo the system serves water to the public - analytical methods as specified in 40 CFR 141.74 are used to demonstrate compliance with the requirements for filtration and disinfection. (NOTE: Systems that filter are given an inactivation credit dependent on the type of filtration used.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.20.5.US Public water systems that use a surface water source and do not provide filtration are required to report specific information monthly to the state beginning 31 December 1990 (unless the state has determined that filtration is not required) until filtration is in place. (40 CFR 141.75(a))[Reviewed March 2000; Revised July 2000].	Verify that the following listed information is reported to the state at the indicated times: - source water quality information within 10 days after the end of each month the system serves water to the public - disinfection information within 10 days after the end of each month the system serves water to the public - a report summarizing compliance with all watershed control programs no later than 10 days after the end of each Federal FY - a report on the onsite inspection conducted during that year, unless it was conducted by the state, no later than 10 days after the end of the Federal FY - the occurrence of a waterborne disease outbreak potentially attributable to that water system as soon as possible, but no later than by the end of the next business day - when turbidity exceeds 5 NTU, consult with the primary agency as soon as practical, but no later than 24 h after the exceedance is known - any time the residual falls below 0.2 mg/L in the water entering the distribution system as soon as possible, but no later than by the end of the next business day. (NOTE: See the complete text of 40 CFR 141.75(a) for more details on how this information is to be reported.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)

WQ.20.6.US Public water systems that use a groundwater source under the direct influence of surface water and do not provide filtration treatment must report specific information to the state monthly starting 31 December 1990, or 6 mo after the state determines that the groundwater source is under the direct influence of surface water, whichever is later. (40 CFR 141.75(a))[Reviewed March 2000; Revised July 2000].	Verify that the following listed information is reported to the state at the indicated times: - source water quality information within 10 days after the end of each month the system serves water to the public - disinfection information within 10 days after the end of each month the system serves water to the public - a report summarizing compliance with all watershed control programs no later than 10 days after the end of each Federal FY - a report on the onsite inspection conducted during that year, unless it was conducted by the state, no later than 10 days after the end of the Federal FY - the occurrence of a waterborne disease outbreak potentially attributable to that water system as soon as possible, but no later than by the end of the next business day - when turbidity exceeds 5 NTU, consult with the primary agency as soon as practical, but no later than 24 h after the exceedance is known - any time the residual falls below 0.2 mg/L in the water entering the distribution system as soon as possible, but no later than by the end of the next business day. (NOTE: See the complete text of 40 CFR 141.75(a) for more details on how this information is to be reported.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.20.7.US Public water systems that use a surface water source or a groundwater source under the direct influence of surface water that provide filtration must report specific information monthly to the state starting 29 June 1993 or when filtration is installed, whichever is later. (40 CFR 141.75(b))[Reviewed March 2000; Revised July 2000].	Verify that by 29 June 1993, or whenever filtration is installed, the following information is provided to the state in the indicated time frame: - turbidity measurements within 10 days after the end of each month the system serves water to the public - disinfection information within 10 days after the end of each month the system serves water to the public - notice of an occurrence of a waterborne disease outbreak, as soon as possible, but no later than by the end of the next business day - when the turbidity exceeds 5 NTU, consult with the primary agency as soon as practical, but no later than 24 h after the exceedance is known - any time the residual falls below 0.2 mg/L in the water entering the distribution system, as soon as possible, but no later than by the end of the next business day. (NOTE: See the complete text of 40 CFR 141.75(b) for more details on how this information is to be reported.) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.20.8.US USEPA has set certain standards for analytic procedures that must be used and followed to demonstrate compliance with disinfection and filtration requirements. (40 CFR 141.74)[Reviewed March 2000].	Verify that analytic methods as specified in 40 CFR 141.74 are used to demonstrate compliance with the requirements for filtration and disinfection. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.20.9.US As of 1 January 2002, Subpart H systems that provide filtration serving at least 10,000 people must provide treatment that complies with certain treatment technique requirements. (40 CFR 141.170(a), 141.171, 141.173, and 141.174)[Added January 1999; Revised March 2000; Revised April 2001].	(NOTE: These requirements for filtration and disinfection are in addition to criteria under which filtration and disinfection are required under 40 CFR 141.70 through 141.75.) Verify that each Subpart H system serving at least 10,000 people provides treatment of its source water by installing and properly operating water treatment processes that reliably achieve: - at least 99 percent (2-log) removal of Cryptosporidium between a point where the raw water is not subject to recontamination by surface water runoff and a point downstream before or at the first customer for filtered systems, or Cryptosporidium control under the watershed control plan for unfiltered systems - compliance with the profiling and benchmark requirements under 40 CFR 141.172. Verify that filtration is provided that meets with one of the following by 31 December 2001: - conventional filtration or direct filtration that results in: - the turbidity level of representative samples of a system's filtered water is

WQ.20.10.US Public water system may not begin construction of uncovered finished water storage facilities beginning 16 February 1999. (40 CFR 141.170(a) and 141.170(c))[Added January 1999; Reviewed March 2000].	Verify that each Subpart H system serving at least 10,000 people do not begin construction of uncovered finished water storage facilities beginning 16 February 1999. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.20.11.US As of 1 January 2002, Subpart H systems serving at least 10,000 people providing disinfection must perform disinfection profiling and benchmarking. (40 CFR 141.170(a) and 141.172)[Added January 1999; Revised March 2000].	(NOTE: These requirements for filtration and disinfection are in addition to criteria under which filtration and disinfection are required under 40 CFR 141.70 through 141.75.) Verify that the public water systems determines its TTHM annual average using the procedure in 40 CFR 141.172(a)(1) and its HAA5 annual average using the procedure in 40 CFR 141.172 (a)(2). (NOTE: The annual average is the arithmetic average of the quarterly averages of four consecutive quarters of monitoring.) (NOTE: The system may request that the state approve a more representative annual data set for the purpose of determining applicability of the requirements of this section. The state may require that a system use a more representative annual data set for the purpose of determining applicability of the requirements of this section.) Verify that the system submits data to the state in accordance with the determination procedures used. Verify that any system having either a TTHM annual average >/= 0.064 mg/L or an HAA5 annual average >/= 0.048 mg/L during the required period develops a disinfection profile of its disinfection practice for a period of up to 3 yr. (NOTE: The details of how a disinfection profile is developed can be found in 40 CFR 172(b).) Verify that any system required to develop a
WQ.20.12.US As of 8 December 2003, all subpart H systems that employ conventional filtration or direct filtration treatment and that recycle spent filter backwash water, thickener supernatant, or liquids from dewatering processes must meet specific requirements. (40 CFR 141.76)[Added July 2001].	Verify that subpart H systems notify the State in writing by 8 December 2003 if the system recycles spent filter backwash water, thickener supernatant, or liquids from dewatering processes. Verify that the notification includes, at a minimum: - a plant schematic showing the origin of all flows which are recycled (including, but not limited to, spent filter backwash water, thickener supernatant, and liquids from dewatering processes), the hydraulic conveyance used to transport them, and the location where they are re-introduced back into the treatment plant. - typical recycle flow in gallons per minute (gpm), the highest observed plant flow experienced in the previous year (gpm), design flow for the treatment plant (gpm), and State-approved operating capacity for the plant where the State has made such determinations. Verify that any system that recycles spent filter backwash water, thickener supernatant, or liquids from dewatering processes must return these flows through the processes of a system's existing conventional or direct filtration system or at an alternate location approved by the State by 8 June 2004. (NOTE: If capital improvements are required to modify the recycle location to meet this requirement, all capital improvements must be completed no later than 8 June 2006.) Verify that the
WQ.20.13.US Subpart H public water systems which do not provide filtration are required to meet specific requirements. (40 CFR 141.501, 141.502, and 141.520 through 141.522)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serve fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that subpart H systems which do not provide filtration continue to comply with all of the filtration avoidance criteria in 40 CFR 141.71, as well as the additional watershed control requirements outlined in this requirement. Verify that subpart H systems which do not provide filtration take any additional steps necessary to minimize the potential for contamination by Cryptosporidium oocysts in the source water. Verify that the system's watershed control program does the following for Cryptosporidium: - identifies watershed characteristics and activities which may have an adverse effect on source water quality - monitors the occurrence of activities which may have an adverse effect on source water quality. (NOTE: During an onsite inspection, the State must determine whether the watershed control program is adequate to limit potential contamination by Cryptosporidium oocysts. The adequacy of the program must be based on the comprehensiveness of the watershed review; the effectiveness of the program to monitor and control detrimental activities occurring in the watershed; and the

WQ.20.14.US Subpart H water systems serving fewer than 10,000 persons which are required to develop a disinfection profile are required to develop a disinfection benchmark if deciding to make a significant change. (40 CFR 141.501, 141.502, and 141.540 through 141.546)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that subpart H systems required to develop a disinfection profile also develop a disinfection benchmark if significant changes are mate to the disinfection practice. (NOTE: The system must consult with the State for approval prior to implementing a significant disinfection practice change. Significant changes to disinfection practice include: - changes to the point of disinfection - changes to the disinfectant(s) used in the treatment plant - changes to the disinfection process - any other modification identified by the State.) Verify that the following information is submitted to the State as part of the consultation and approval process: - a description of the proposed change - the disinfection profile for Giardia lamblia (and, if necessary, viruses) and disinfection benchmark - an analysis of how the proposed change will affect the current levels of disinfection - any additional information requested by the State. Verify that if the system is making a significant change to its disinfection practice, it calculates a disinfection benchmark using the following procedure: - Step 1: Using
WQ.20.15.US As of 1 January 2005, all subpart H systems which serve populations fewer than 10,000 that are required to filter, and utilize filtration other than slow sand filtration or diatomaceous earth filtration are required to meet specific combined filter effluent turbidity requirements. (40 CFR 141.73(a)(4), 141.501, 141.502, and 141.550 through 141.553)[Added April 2002; Revised October 2004].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that all subpart H systems which serve populations fewer than 10,000, filter, and utilize filtration other than slow sand filtration or diatomaceous earth filtration and meet the combined filter effluent turbidity requirements outlined in this checklist item. (NOTE: If the system uses slow sand or diatomaceous earth filtration, it is not required to meet the combined filter effluent turbidity limits, but the system must continue to meet the combined filter effluent turbidity limits in 40 CFR 141.73 (see checklist item WQ.20.2.US).). Verify that the system meets the following two strengthened combined filter effluent turbidity limits: - the first combined filter effluent turbidity limit is a "95th percentile"' turbidity limit that the system must meet in at least 95 percent of the turbidity measurements taken each month: - if the system consists of Conventional Filtration or Direct Filtration, the 95th percentile turbidity value is 0.3 NTU - for all other alternative filtration, the 95th percentile turbidity value is a value determined by the State (not to exceed 1 NTU) based on the demonstration outlined in
WQ.20.16.US Public water systems should meet maximum residual disinfectant level goals (MRDLG) and MCLGs for disinfectants. (MP)[Added July 2005; Revised April 2006; Revised April 2009].	Verify that public water systems meet the following MRDLGs for disinfectants: - Chlorine, 4 (as Cl2) mg/L - Chloramines, 4 (as Cl2) mg/L - Chlorine dioxide, 0.8 (as ClO2) mg/L. Verify that the following MCLGs are met for the listed disinfection byproducts: - Bromodichloromethane, MCLG of 0 mg/L - Bromoform, MCLG of 0 mg/L - Bromate, MCLG of 0 mg/L - Chlorite MCLG of 0.8 mg/L - Chloroform MCLG of 0.07 mg/L - Dibromochloromethane, MCLG of 0.06 mg/L - Dichloroacetic acid, MCLG of 0 mg/L - Monochloracetic acid , MCLG 0.07 mg/L - Trichloroacetic acid, MCLG of 0.2 mg/L. (NOTE: This checklist item is based on 40 CFR 141.53 and 141.54. According to the definitions of MRDLG and MCLG in 40 CFR 141.2, MRDLGs or MCLGs are "nonenforceable health goals.")

WQ.20.17.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must develop disinfection profiles and calculate disinfection benchmarks. (40 CFR 141.708 and 141.709)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that, following the completion of initial source water monitoring, a system that plans to make a significant change to its disinfection practice, develops disinfection profiles and calculates disinfection benchmarks for Giardia lamblia and viruses. Verify that prior to changing the disinfection practice, the system notifies the State and includes in this notice the following information: a completed disinfection profile and disinfection benchmark for Giardia lamblia and viruses a description of the proposed change in disinfection practice. an analysis of how the proposed change will affect the current level of disinfection. (NOTE: Significant changes to disinfection practice are defined as follows: - changes to the point of disinfection changes to the disinfectant(s) used in the treatment plant changes to the disinfection process any other modification identified by the State as a significant change to disinfection practice.) Verify that systems monitor at least weekly for a period of 12 consecutive months to determine the total log inactivation for Giardia lamblia and viruses. Verify that, if systems monitor more frequently, the monitoring frequency is evenly spaced. Verify that systems that operate for
WQ.20.18.US After the first round of source water monitoring, filtered public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must calculate an initial Cryptosporidium bin concentration for each plant for which monitoring was required. (40 CFR 141.710)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that, following completion of the initial round of required source water monitoring, filtered systems calculate an initial Cryptosporidium bin concentration for each plant for which monitoring was required. (NOTE: Calculation of the bin concentration must use the Cryptosporidium results reported under 40 CFR 141.701(a) (see checklist item WQ.15.6.US.) and follow the following procedures: - for systems that collect a total of at least 48 samples, the bin concentration is equal to the arithmetic mean of all sample concentrations for systems that collect a total of at least 24 samples, but not more than 47 samples, the bin concentration is equal to the highest arithmetic mean of all sample concentrations in any 12 consecutive months during which Cryptosporidium samples were collected for systems that serve fewer than 10,000 people and monitor for Cryptosporidium for only one year (i.e., collect 24 samples in 12 months), the bin concentration is equal to the arithmetic mean of all sample concentrations for systems with plants operating only part of the year that monitor fewer than 12 mo per year, the bin concentration is equal to the highest arithmetic mean of all sample
WQ.20.19.US Filtered public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must meet additional Cryptosporidium treatment requirements. (40 CFR 141.711)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that filtered systems provide the level of additional treatment for Cryptosporidium outlined in this checklist item based on their bin classification as determined under 40 CFR 141.710 (see checklist item WQ.20.17.US.) and according to the schedule in 40 CFR 141.713 (see checklist item WQ.20.20.US). (NOTE: See Appendix 13-9d, Table 2.) Verify that filtered systems use one or more of the treatment and management options listed in 40 CFR 141.715 (see text), termed the microbial toolbox, to comply with the additional required Cryptosporidium treatment. Verify that systems classified in Bin 3 and Bin 4 achieve at least 1-log of the additional required Cryptosporidium treatment using either one or a combination of the following: bag filters, bank filtration, cartridge filters, chlorine dioxide, membranes, ozone, or UV, as described in 40 CFR 141.716 through 141.720 (see checklist item WQ.20.22.US, WQ.20.23.US., WQ.20.24.US). (NOTE: Failure by a system in any month to achieve treatment credit by meeting criteria in 40 CFR 141.716 through 141.720 (see checklist item WQ.20.22.US, WQ.20.23.US., and WQ.20.24.US) for microbial toolbox options that is at

WQ.20.20.US Unfiltered public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must meet certain Cryptosporidium treatment requirements. (40 CFR 141.712)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that, following completion of the required initial source water monitoring under 40 CFR 141.701(a) (see checklist item WQ.15.6.US.), unfiltered systems must calculate the arithmetic mean of all Cryptosporidium sample concentrations reported. Verify that systems report this value to the State for approval no later than 6 mo after the month the system is required to complete initial source water monitoring based on the schedule in checklist item 141.701(c) (see checklist item WQ.15.6.US.). Verify that, following completion of the second round of required source water monitoring, unfiltered systems calculate the arithmetic mean of all Cryptosporidium sample concentrations reported under 40 CFR 141.701(b) (see checklist item WQ.15.6.US.). Verify that systems report this value to the State for approval no later than 6 mo after the month the system is required to complete the second round of source water monitoring based on the schedule in 40 CFR 141.701(c) (see checklist item WQ.15.6.US.). (NOTE: If the monthly Cryptosporidium sampling frequency varies, systems must first calculate a monthly average for each month of monitoring. Systems must then use these monthly
WQ.20.21.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must meet a certain schedule Cryptosporidium treatment requirements. (40 CFR 141.713)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that, following initial bin classification, filtered systems provide the level of treatment for Cryptosporidium required under 40 CFR 141.711 (see checklist item WQ.20.18.US.) according to the schedule below. Verify that, following initial determination of the mean Cryptosporidium level, unfiltered systems provide the required level of treatment for Cryptosporidium according to the schedule below. Verify that Cryptosporidium treatment is done according to the following dates: systems that serve at least 100,000 people, 1 April 2012 systems that serve from 50,000 to 99,999 people; 1 October 2012 systems that serve from 10,000 to 49,999 people, 1 October 2013 systems that serve fewer than 10,000 people, 1 October 2014. (NOTE: A States may allow up to an additional 2 yr for complying with the treatment requirement for systems making capital improvements.) Verify that, if the bin classification for a filtered system changes following the second round of source water monitoring, the system provides the level of treatment for Cryptosporidium required under 40 CFR 141.711 (see checklist item WQ.20.18.US.) on a schedule the State approves. Verify that, if the
WQ.20.22.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must meet certain conditions. (40 CFR 141.714)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that systems notify the State of the use of each uncovered finished water storage facility no later than 1 April 2008. Verify that systems must meet one of the following conditions for each uncovered finished water storage facility or be in compliance with a State-approved schedule to meet these conditions no later than 1 April 2009: systems cover any uncovered finished water storage facility systems treat the discharge from the uncovered finished water storage facility to the distribution system to achieve inactivation and/or removal of at least 4-log virus, 3-log Giardia lamblia, and 2-log Cryptosporidium using a protocol approved by the State. (NOTE: Failure to comply with the requirements of this checklist item is a violation of the treatment technique requirement.)

WQ.20.23.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must meet certain requirements for source toolbox components. (40 CFR 141.716)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) (NOTE: Systems receive 0.5-log Cryptosporidium treatment credit for implementing a watershed control program that meets the requirements of this section.) Verify that systems intending to apply for the watershed control program credit notify the State of this intent no later than 2 yr prior to the treatment compliance date applicable to the system in 40 CFR 141.713 (see checklist item WQ.20.20.US). Verify that systems submit to the State a proposed watershed control plan no later than 1 yr before the applicable treatment compliance date in 40 CFR 141.713 (see checklist item WQ.20.20.US). (NOTE: The State must approve the watershed control plan for the system to receive watershed control program treatment credit.) Verify that the watershed control plan includes the following elements: identification of an "area of influence" outside of which the likelihood of Cryptosporidium or fecal contamination affecting the treatment plant intake is not significant (NOTE: this is the area to be evaluated in future watershed surveys) identification of both potential and actual sources of Cryptosporidium contamination and an assessment of the relative impact of these sources on the
WQ.20.24.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must meet certain requirements for pre-filtration treatment toolbox components. (40 CFR 141.717)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) Verify that for systems receiving 0.5-log Cryptosporidium treatment credit for a presedimentation basin during any month, the process meets the following criteria: the presedimentation basin is in continuous operation and treats the entire plant flow taken from a surface water or GWUDI source the system continuously add a coagulant to the presedimentation basin the presedimentation basin achieves one of the following performance criteria: demonstrates at least 0.5-log mean reduction of influent turbidity which is determined using daily turbidity measurements in the presedimentation process influent and effluent and calculated as follows: log10 (monthly mean of daily influent turbidity)-log10(monthly mean of daily effluent turbidity) complies with State-approved performance criteria that demonstrate at least 0.5-log mean removal of micron-sized particulate material through the presedimentation process. (NOTE: Systems receive an additional 0.5-log Cryptosporidium treatment credit for a two-stage lime softening plant if chemical addition and hardness precipitation occur in two separate and sequential softening stages prior to filtration. Both softening stages must treat the entire plant
WQ.20.25.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must meet certain requirements for treatment performance toolbox components. (40 CFR 141.718)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) (NOTE: Systems using conventional filtration treatment or direct filtration treatment receive an additional 0.5-log Cryptosporidium treatment credit during any month the system meets the criteria in this checklist item.) Verify that combined filter effluent (CFE) turbidity is less than or equal to 0.15 NTU in at least 95 percent of the measurements with turbidity being measured as described in 40 CFR 141.74(a) and 141.74(c) (see checklist item WQ.20.8.US). Verify that, in order to receive an additional 0.5-log Cryptosporidium treatment credit, systems using conventional filtration treatment or direct filtration treatment during any month meet the following criteria: the filtered water turbidity for each individual filter is less than or equal to 0.15 NTU in at least 95 percent of the measurements recorded each month no individual filter has a measured turbidity greater than 0.3 NTU in two consecutive measurements taken 15 min apart. (NOTE: Any system that has received treatment credit for individual filter performance and fails to meet the above requirements during any month does not receive a treatment technique violation under 40 CFR 141.711(c) [see checklist item WQ.20.18.US.] if

WQ.20.26.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must respond to significant deficiencies identified in sanitary surveys performed by EPA. (40 CFR 141.723)[Added April 2006].	(NOTE: See checklist item WQ.15.5.US. for information on applicability and nonapplicability of these requirements.) (NOTE: A sanitary survey is an onsite review of the water source (identifying sources of contamination by using results of source water assessments where available), facilities, equipment, operation, maintenance, and monitoring compliance of a PWS to evaluate the adequacy of the PWS, its sources and operations, and the distribution of safe drinking water.) (NOTE: For the purposes of this checklist item, a significant deficiency includes a defect in design, operation, or maintenance, or a failure or malfunction of the sources, treatment, storage, or distribution system that EPA determines to be causing, or has the potential for causing the introduction of contamination into the water delivered to consumers.) Verify that, for sanitary surveys performed by EPA, systems respond in writing to significant deficiencies identified in sanitary survey reports no later than 45 days after receipt of the report, indicating how and on what schedule the system will address significant deficiencies noted in the survey. Verify that systems correct significant deficiencies identified in sanitary survey reports according to the schedule approved by EPA, or if there is no approved schedule, according to the
WQ.25.1.US The use of pipe, solder, or flux that contains lead is not allowed in specific situations. (40 CFR 141.43(a)(1) and 141.43(d))[Revised April 2000].	Verify that lead pipe, solder, or flux is not used in the installation or repair of either of the following: - any public water system - any plumbing in a residential facility that provides water for human consumption and is connected to a public water system. (NOTE: This does not apply to leaded joints necessary for the repair of cast iron pipes.) (NOTE: Lead-free is defined as follows: - when used with respect to solders and flux refers to solders and flux containing not more than 0.2 percent lead - when used with respect to pipes and pipe fittings refers to pipes and pipe fittings containing not more than 8.0 percent lead - when used with respect to plumbing fittings and fixtures intended by the manufacturer to dispense water for human ingestion refers to fittings and fixtures that are in compliance with standards established in accordance with 42 U.S.C. 300g-6(e).) (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.30.1.US Public water systems are required to maintain on the premises, or at a convenient location, specific records. (40 CFR 141.33(a), 141.33(b), 141.33(d) through 141.33(f))[Revised March 2000; Revised July 2000; Revised April 2006].	Verify that records of microbiological analyses and turbidity analyses are kept for not less than 5 yr. Verify that records of chemical analyses are kept for a minimum of 10 yr. Verify that records concerning a variance or exemption granted to the system are kept for a period ending not less than 5 yr following the expiration of the variance or exemption. Verify that records relating to sanitary surveys are kept for a minimum of 10 yr. Verify that records of action taken by the system to correct violations or primary drinking water regulations are kept for at least 3 yr after the last action taken with respect to the particular violation involved. Verify that copies of public notices issued under 40 CFR 141.201 through 141.210 (see checklist items WQ.30.6.US. through WQ.30.10.US.) and certifications made to the primacy agency are kept for 3 yr after issuance. Verify that copies of monitoring plans are kept for the same period of time as the records of analyses taken under the plan are required to be kept unless specified otherwise. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)

WQ.30.3.US Public water systems must send reports to the state on any failure to comply with applicable biological, turbidity, radioactivity, and chemical standards, and on any failure to comply with monitoring requirements that apply. (40 CFR 141.31)[Reviewed March 2000; Revised July 2000].	Verify that, in general, reports are sent within the first 10 days following the month in which the result is received or the first 10 days following the end of the requirement monitoring period, whichever is shorter, whenever standards are not met. Verify that the facility reported failure to comply with any national primary drinking water regulations to the state within 48 h. Verify that, the public water system, within 10 days of completing the public notification requirements under 40 CFR 141.201 through 141.210 (see checklist items WQ.30.6.US. through WQ.30.10.US.) for the initial public notice and any repeat notices, submits to the primacy agency a certification that it has fully complied with the public notification regulations. Verify that the public water system includes with this certification a representative copy of each type of notice distributed, published, posted, and made available to the persons served by the system and to the media. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.30.4.US Public water systems which are required to sample quarterly for disinfection byproducts, disinfectants, and disinfection byproducts precursors (DBPs) must meet specific reporting requirements. (40 CFR 141.134)[Added January 1999; Reviewed March 2000].	Verify that systems required to sample quarterly or more frequently for disinfection byproducts, disinfectants, and DBPs report to the state within 10 days after the end of each quarter in which samples were collected. Verify that systems required to sample less frequently than quarterly report to the state within 10 days after the end of each monitoring period in which samples were collected. Verify that the information in Appendix 13-11 is reported, as applicable. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.30.5.US As of 1 January 2002, Subpart H systems serving at least 10,000 people that provide filtration are required to report specific information to the state. (40 CFR 141.175)[Added January 1999; Revised March 2000; Revised July 2000; Revised April 2001].	Verify that systems that provide conventional filtration treatment or direct filtration report the following monthly: - turbidity measurements are reported within 10 days after the end of each month the system serves water to the public and includes: - the total number of filtered water turbidity measurements taken during the month - the number and percentage of filtered water turbidity measurements taken during the month that are less than or equal to the turbidity limits - the date and value of any turbidity measurements taken during the month which exceed 1 NTU, or which exceed the maximum level set by the state - that they have conducted individual filter turbidity monitoring, within 10 days after the end of each month that the system serves water to the public - individual filter turbidity measurement results, within 10 days after the end of each month that the system serves water to the public, only if measurements demonstrate one or more of the following conditions: - for any individual filter that has a measured turbidity level of > 1.0 NTU in two consecutive measurements taken 15 min apart, the system reports the filter number, the turbidity measurement, and the date on which the exceedance occurred. In addition, the system must either produce a filter profile for the filter within 7 days of

WQ.30.6.US Public water systems are required to give notice in certain situations. (40 CFR 141.201 and 141.210)[Added July 2000; Revised April 2006].	(NOTE: Public water systems in States with primacy for the public water system supervision (PWSS) program must comply with these requirements no later than 6 May 2002 or on the date the State-adopted rule becomes effective, whichever comes first. Public water systems in jurisdictions where USEPA directly implements the PWSS program must comply with these requirements on 31 October 2000. Prior to these dates, public water systems must continue to comply with the public notice requirements in 40 CFR 141.32 (see checklist item WQ.30.2.US.) Verify that each owner or operator of a public water system (community water systems, nontransient noncommunity water systems, and transient noncommunity water systems) gives notice for all violations of national primary drinking water regulations (NPDWR) and for other situations as follows: NPDWR violations: failure to comply with an applicable MCL or MRDL failure to comply with a prescribed treatment technique (TT) failure to perform water quality monitoring, as required by the drinking water regulations failure to comply with testing procedures as prescribed by a drinking water regulation variance and exemptions under sections 1415 and 1416 of SDWA: operation under a variance or an exemption failure to comply with
WQ.30.7.US For certain types of violations, Tier 1 notifications are required. (40 CFR 141.202 and 141.210)[Added July 2000; Revised April 2002; Revised April 2006; Revised January 2007].	Verify that a Tier 1 public notice is issued for the following violations or situations: violation of the MCL for total coliforms when fecal coliform or E. coli are present in the water distribution system (as specified in 40 CFR 141.63(b), see checklist item WQ.35.2.US.)), or when the water system fails to test for fecal coliforms or E. coli when any repeat sample tests positive for coliform violation of the MCL for nitrate, nitrite, or total nitrate and nitrite, or when the water system fails to take a confirmation sample within 24 h of the system's receipt of the first sample showing an exceedance of the nitrate or nitrite MCL exceedance of the nitrate MCL by noncommunity water systems, where permitted to exceed the MCL by the primacy agency violation of the MRDL for chlorine dioxide when one or more samples taken in the distribution system the day following an exceedance of the MRDL at the entrance of the distribution system exceed the MRDL, or when the water system does not take the required samples in the distribution system violation of the turbidity MCL, where the primacy agency determines after consultation that a Tier 1 notice is required or where consultation does not take place within 24 h after the system learns of the violation violation of the Surface Water Treatment Rule (SWTR), Interim
WQ.30.8.US For certain types of violations, Tier 2 notifications are required. (40 CFR 141.203(a), 141.203(c), and 141.210)[Added July 2000; Revised April 2006; Revised January 2007].	Verify that a Tier 2 public notice is issued for the following violations or situations: all violations of the MCL, MRDL, and treatment technique requirements, except where a Tier 1 notice is required or where the primacy agency determines that a Tier 1 notice is required violations of the monitoring and testing procedure requirements, where the primacy agency determines that a Tier 2 rather than a Tier 3 public notice is required, taking into account potential health impacts and persistence of the violation failure to comply with the terms and conditions of any variance or exemption in place failure to take corrective action or failure to maintain at least 4-log treatment of viruses (using inactivation, removal, or a State-approved combination of 4-log virus inactivation and removal) before or at the first customer under 40 CFR 141.403(a) (see checklist item WQ.15.12.US). Verify that public water systems provide the public notice as soon as practical, but no later than 30 days after the system learns of the violation. Verify that, if the public notice is posted, the notice remains in place for as long as the violation or situation persists, but in no case for less than seven days, even if the violation or situation is resolved. (NOTE: The primacy agency may, in appropriate circumstances, allow additional time for the initial

WQ.30.9.US For certain types of violations, Tier 3 notifications are required. (40 CFR 141.204(a) through 141.204(c) and 141.210)[Added July 2000; Revised April 2006].	Verify that a Tier 3 public notice is issued for the following violations or situations: monitoring violations under 40 CFR 141, except where a Tier 1 notice is required or where the primacy agency determines that a Tier 2 notice is required failure to comply with a testing procedure established in 40 CFR 141, except where a Tier 1 notice is required or where the primacy agency determines that a Tier 2 notice is required operation under a variance granted under 40 CFR 1415 or an exemption granted under Section 1416 of the Safe Drinking Water Act availability of unregulated contaminant monitoring results exceedance of the fluoride secondary maximum contaminant level (SMCL). Verify that public water systems provide the public notice not later than 1 yr after the public water system learns of the violation or situation or begins operating under a variance or exemption. Verify that, following the initial notice, the public water system repeats the notice annually for as long as the violation, variance, exemption, or other situation persists. Verify that, if the public notice is posted, the notice remains in place for as long as the violation, variance, exemption, or other situation persists, but in no case less than 7 days (even if the violation or situation is resolved). (NOTE: Instead of individual Tier 3 public
WQ.30.10.US Public notices are required to contain specific information. (40 CFR 141.205 and 141.210)[Added July 2000; Revised April 2006].	Verify that when a public water system violates a NPDWR or has a situation requiring public notification, each public notice includes the following elements: a description of the violation or situation, including the contaminant(s) of concern, and (as applicable) the contaminant level(s) when the violation or situation occurred any potential adverse health effects from the violation or situation the population at risk, including subpopulations particularly vulnerable if exposed to the contaminant in their drinking water whether alternative water supplies should be used what actions consumers should take, including when they should seek medical help, if known what the system is doing to correct the violation or situation when the water system expects to return to compliance or resolve the situation the name, business address, and phone number of the water system owner, operator, or designee of the public water system as a source of additional information concerning the notice a statement to encourage the notice recipient to distribute the public notice to other persons served. Verify that, if a public water system has been granted a variance or an exemption, the public notice contains: an explanation of the reasons for the variance or exemption the date on which the variance or exemption was issued a brief
WQ.30.11.US All subpart H systems which serve populations fewer than 10,000 meeting filtration and disinfection requirements are required to meet specific reporting requirements. (40 CFR 141.501, 141.502, and 141.570)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) Verify that the reporting requirements outlined in Appendix 13-14 are met. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)

WQ.30.12.US All subpart H systems which serve populations fewer than 10,000 meeting filtration and disinfection requirements are required to meet specific recordkeeping requirements. (40 CFR 141.501, 141.502, and 141.571)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) (NOTE: These records are in addition to those required by 40 CFR 141.75 (see checklist item WQ.20.5.US through WQ.20.7.US).) Verify that, if the system is subject to the Individual filter Turbidity requirements (40 CFR 141.560 through 141.564 (see checklist item WQ.15.4.US), the results of individual filter monitoring are kept for at least 3 yr. Verify that, if the system is subject to Disinfection Profiling requirements (40 CFR 141.530 through 141.536 (see checklist item WQ.35.4.US and WQ.76.3.US), the results of the profile, including raw data and analysis, are kept indefinitely. Verify that, if the system is subject to Disinfection Benchmarking requirements (40 CFR 141.540 through 141.544 (see checklist item WQ.20.14.US), the results of the benchmark, including raw data and analysis, are kept indefinitely. (NOTE: This checklist item applies to public water systems [PWSs]. See the definition of Public Water System or the NOTE in WQ.10.1.US.)
WQ.30.13.US Public water systems required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source must meet reporting requirements. (40 CFR 141.706)[Added April 2006].	Verify that systems report results from the source water monitoring required under 40 CFR 141.701 (see checklist item WQ.15.6.US.) no later than 10 days after the end of the first month following the month when the sample is collected. Verify that all systems serving at least 10,000 people report the results from the initial source water monitoring to EPA electronically at https://intranet.epa.gov/lt2/. Verify that, if a system is unable to report monitoring results electronically, the system uses an EPA approved alternative approach for reporting monitoring results. Verify that systems serving fewer than 10,000 people report results from the initial source water monitoring required to the State. Verify that all systems report results from the second round of required source water monitoring to the State. Verify that systems report the following information, as applicable, for the required source water monitoring: for each Cryptosporidium analysis: PWS ID Facility ID Sample collection date Sample type (field or matrix spike) Sample volume filtered (L), to nearest 1/4 L Was 100% of filtered volume examined Number of oocysts counted for matrix spike samples, report the sample volume spiked and estimated number of oocysts spiked (NOTE: These data are not required for field samples) for samples in
WQ.30.14.US Public water systems which are required to conduct an initial and a second round of source water monitoring for each plant that treats a surface water or GWUDI source which are using uncovered finished water storage facilities must meet certain reporting/ recordkeeping requirements. (40 CFR 141.721 and 141.722)[Added April 2006].	Verify that the system reports sampling schedules under 40 CFR 141.702 (see checklist item WQ.15.7.US.) and source water monitoring results under 40 CFR 141.706 (see checklist item WQ.30.13.US.) unless they notify the State that they will not conduct source water monitoring due to meeting the criteria of 40 CFR 141.701(d) ((see checklist item WQ.15.6.US.). Verify that systems report the use of uncovered finished water storage facilities to the State as described in 40 CFR 141.714 (see checklist item WQ.20.21.US). Verify that filtered systems report their Cryptosporidium bin classification as described in 40 CFR 141.710 (see checklist item WQ.20.17.US.). Verify that unfiltered systems report their mean source water Cryptosporidium level as described in 40 CFR 141.712 (see checklist item WQ.20.19.US.). Verify that systems report disinfection profiles and benchmarks to the State as described in 40 CFR 141.708 through 141.709 (see checklist items WQ.20.16.US.) prior to making a significant change in disinfection practice. Verify that systems report to the State in accordance with the following table for any microbial toolbox options used to comply with treatment requirements under 40 CFR 141.711 (see checklist item WQ.20.18.US.) or 40 CFR 141.712 (see checklist

WQ.30.15.US Public water systems that use ground water must meet reporting and recordkeeping requirements. (40 CFR 141.400(a) through 141.400(c)(3), 141.400(d), and 141.405)[Added January 2007].	Verify that, in addition to the requirements of 40 CFR 141.31, a ground water system conducting compliance monitoring under 40 CFR 141.403(b) (see checklist item WQ.15.13.US) notifies the State any time the system fails to meet any State-specified requirements including, but not limited to, minimum residual disinfectant concentration, membrane operating criteria or membrane integrity, and alternative treatment operating criteria, if operation in accordance with the criteria or requirements is not restored within 4 h. (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) (NOTE: The ground water system must notify the State as soon as possible, but in no case later than the end of the next business day.) Verify that, after completing any corrective action under 40 CFR 141.403(a) (see checklist item WQ.15.12.US), a ground water system notifies the State within 30 days of completion of the corrective action. Verify that, if a ground water system subject to the requirements of 40 CFR 141.402(a) (see checklist item WQ.15.11.US) does not conduct source water monitoring required by 40 CFR 141.402(a)(5)(ii), the system provides documentation to the State within 30 days of the total coliform positive sample that
WQ.35.1.US Community water systems, except as defined under exempted water systems in the definitions, are required to meet specific MCLs for inorganic chemicals, organic chemicals, and fluorides. (40 CFR 141.11(a), 141.11(b), and 141.62)[May 1996; Reviewed March 2000; Revised January 2001; Revised April 2006].	Verify that the MCL of 4.0 mg/L for fluoride is not exceeded. Verify that the MCLs outlined in Appendix 13-1 and 13-2 are met. (NOTE: A community water systems is a public water system that serves at least 15 service connections used by year round residents or regularly serves at least 25 year- round residents. Community water systems must also comply with the standards for public water systems.)
WQ.35.2.US Community water systems are required to meet specific MCLs for microbiological contaminants. (40 CFR 141.63)[Revised March 2000].	Verify that systems that collect at least 40 bacteriological samples per month have no more than 5 percent of the samples collected during a month that are total coliform positive. Verify that systems that collect less than 40 bacteriological samples per month have no more than one sample collected per month that is total coliform positive. Verify that there are no fecal coliform-positive repeat samples or E. coli-positive repeat samples, or any total coliform-positive repeat samples following a fecal coliform-positive or E coli-positive routine sample. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.35.3.US Community water systems are required to meet specific MCLs and MRDLs related to disinfection. (40 CFR 141.64 and 141.65(a), 141.65(b)(1))[Added January 1999; Revised March 2000; Revised January 2001; Revised April 2001; Revised April 2006].	Verify that community water systems meet the MCL for disinfection by-products and the MRDLs outlined in Appendix 13-9. (NOTE: These requirements apply to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004. All systems must comply with these MCLs until the date specified in 40 CFR 141.620(c) [see checklist item WQ.40.22.US.].) (NOTE: For the disinfection byproduct of Bromate, the Administrator has identified as the best technology, treatment techniques, or other means available for achieving compliance with the maximum contaminant levels to be the control of ozone treatment process to reduce production of bromate.) (NOTE: For the disinfection byproduct of Chlorite, the Administrator has identified as the best technology, treatment techniques, or other means available for achieving compliance with the maximum contaminant levels to be controlling treatment processes to reduce disinfectant demand and control of disinfection treatment processes to reduce disinfectant levels) (NOTE: For the disinfection byproduct of Total trihalomethanes (TTHM) and

WQ.35.4.US Community water systems are required to meet specific MCLs for radionuclides. (40 CFR 141.66(b) through 141.66(f))[Added January 2001].	Verify that the system does not exceed the MCL for combined radium-226 and ?228 of 5 pCi/L. (NOTE: The combined radium-226 and radium-228 value is determined by the addition of the results of the analysis for radium 226 and the analysis for radium-228.) Verify that the system does not exceed the MCL for gross alpha particle activity (excluding radon and uranium) of 15 pCi/L. Verify that the average annual concentration of beta particle and photon radioactivity from man-made radionuclides in drinking water does not produce an annual dose equivalent to the total body or any internal organ greater than 4 mrem/yr. Verify that, except for the radionuclides listed in Appendix 13-9a, the concentration of man-made radionuclides causing 4 mrem total body or organ dose equivalents are calculated on the basis of 2 L/day drinking water intake using the 168 h data list in "Maximum Permissible Body Burdens and Maximum Permissible Concentrations of Radionuclides in Air and in Water for Occupational Exposure," NBS Handbook 69 as amended August 1963, U.S. Department of Commerce. (NOTE: Copies of this document are available from the National Technical Information Service, NTIS ADA 280 282, U.S. Department of Commerce, 5285 Port Royal Road, Springfield, Virginia
WQ.35.5.US Subpart H community water systems serving fewer than 10,000 persons are required to develop a disinfection profile. (40 CFR 141.501, 141.502, and 141.530 through 141.536)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) (NOTE: A disinfection profile is a graphical representation of the system's level of Giardia lamblia or virus inactivation measured during the course of a year. The system is not required to develop a profile if the state determines it is unnecessary. States may only determine that a system's profile is unnecessary if a system's TTHM and HAA5 levels are below 0.064 mg/L and 0.048 mg/L, respectively. To determine these levels, TTHM and HAA5 samples must be collected after 1 January 1998, during the month with the warmest water temperature, and at the point of maximum residence time in the distribution system. The state may also approve the use of more representative data set for disinfection profiling that that required by these regulations.) Verify that the disinfection profile consists of three steps: - the system collects data for the following parameters from the plant once a week on the same day over the course of 12 consecutive months: - temperature of the disinfected water at each residual disinfectant concentration sampling point during peak hourly flow - if the system uses
WQ.35.6.US Each community water system serving a population of greater than 3,300 persons will conduct an assessment of the vulnerability of its system to a terrorist attack or other intentional acts intended to substantially disrupt the ability of the system to provide a safe and reliable supply of drinking water. (Public Law 107?188, Section 401)[Added April 2003].	Verify that each community water system serving a population of greater than 3,300 persons conducts an assessment of the vulnerability of its system to a terrorist attack or other intentional acts intended to substantially disrupt the ability of the system to provide a safe and reliable supply of drinking water. Verify that the vulnerability assessment includes, but is not be limited to, a review of pipes and constructed conveyances, physical barriers, water collection, pretreatment, treatment, storage and distribution facilities, electronic, computer or other automated systems which are utilized by the public water system, the use, storage, or handling of various chemicals, and the operation and maintenance of such system. Verify that each community water system serving a population of greater than 3,300 persons that has conducted a vulnerability assessment certifies to the USEPA Administrator that the system has conducted a compliant vulnerability assessment and submits to the USEPA Administrator a written copy of the assessment. (NOTE: Certification and submission shall be made prior to: - 31 March 2003, in the case of systems serving a population of 100,000 or more - 31 December 2003, in the case of systems serving a population of 50,000 or more but less than 100,000. - 30 June 2004, in the case of

WQ.40.1.US Community water systems are required to meet specific monitoring requirements for inorganic contaminants. (40 CFR 141.23(a))[Revised January 2000; Reviewed March 2000].	Verify that groundwater systems: - take a minimum of one sample at every entry point to the distribution system which is representative of each well after treatment (a sampling point) beginning in the compliance period starting 1 January 1993 - take each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. Verify that surface water systems: - take a minimum of one sample at every entry point to the distribution system after any application of treatment or in the distribution system at a point that is representative of each source after treatment (a sampling point) beginning in the compliance period starting 1 January 1993 - takes each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. (NOTE: In relation to these requirements, surface water systems include systems with a combination of surface and ground sources.) Verify that if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. (NOTE: The state may reduce the total number of samples that must be analyzed by allowing the
WQ.40.2.US Community water systems are required to meet specific monitoring requirements for asbestos. (40 CFR 141.23(b))[Reviewed March 2000].	Verify that asbestos is monitored during the first 3-yr compliance period of each 9-yr compliance cycle starting 1 January 1993. (NOTE: The community water system may apply to the state for a waiver of monitoring if they believe that asbestos is not an issue.) Verify that if the system is vulnerable to asbestos contamination only because of corrosion of asbestos-cement pipe, one sample is taken at a tap served by asbestos- cement pipe and under conditions where asbestos contamination is most likely to occur. Verify that if the system is vulnerable to asbestos contamination due to both its source water supply and corrosion of asbestos-cement pipe, one sample is taken at a tap served by asbestos-cement pipe and under conditions where contamination is most likely to occur. Verify that, when the MCL is exceeded, monitoring is done quarterly. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.40.3.US Community water systems are required to meet specific monitoring requirements for antimony, barium, beryllium, cadmium, chromium, cyanide, fluoride, mercury, nickel, selenium, and thallium. (40 CFR 141.23(c))[May 1996; Reviewed March 2000].	Verify that monitoring is done as follows: - groundwater systems: take one sample at each sampling point during each compliance period - surface water systems (or combined surface/ground): take one sample annually at each sampling point - when MCLs are exceeded, monitoring is done quarterly. (NOTE: States may grant a public water system a waiver for the monitoring of cyanide.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.40.4.US All community water systems are required to conduct monitoring to determine compliance for nitrate and nitrite levels according to specific parameters. (40 CFR 141.23(d) and 141.23(e))[Reviewed March 2000].	Verify that the following schedules are met for monitoring of nitrate: - community water systems served by groundwater monitor annually starting 1 January 1993 - community water systems served by surface water monitor quarterly starting 1 January 1993. Verify that when the MCL for nitrate is exceeded community water systems do repeat monitoring quarterly for at least 1 yr following any one sample in which the concentration exceeds more than 50 percent of the MCL. (NOTE: After the initial round of quarterly sampling is completed, each community system that is monitoring annually shall take the subsequent samples during the quarters which previously resulted in the highest analytical result.) Verify that public water systems take one sample at each sampling point in the compliance period beginning 1 January 1993 and ending 31 December 1995 for nitrite. (NOTE: After the initial sample, systems where an analytical result for nitrite is less than 50 percent of the MCL will monitor at the frequency specified by the state.) Verify that community systems repeat monitoring for nitrites quarterly for at least 1 yr after any one sample is greater than 50 percent of the MCL. Verify that systems that are monitoring annually for nitrites take each subsequent sample during the quarters which previously resulted in the

WQ.40.5.US Beginning with the initial compliance period, monitoring of the contaminants listed in Table 2 of Appendix 13-1 at community water systems is required to be done according to specific parameters. (40 CFR 141.24(f))[Reviewed March 2000].	Verify that groundwater systems take a minimum of one sample at every entry point of the distribution system that is representative of each well after treatment. Verify that surface water systems (or combined surface/ground) take a minimum of one sample at points in the distribution system that are representative of each source or at each entry point to the distribution system after treatment. (NOTE: For both groundwater and surface water systems, each sample must be taken at the same sampling point unless conditions make another sampling point more representative of each source, treatment plant, or within the distribution system.) Verify that if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. Verify that each community water system takes four consecutive quarterly samples for each contaminant, except vinyl chlorides. (NOTE: If the initial monitoring for contaminants is completed by December 1992 and none of the contaminants listed are found, then each system shall take one sample annually starting with the initial compliance period.) (NOTE: After a minimum of 3 yr of sampling, the state may reduce the number of
WQ.40.6.US Monitoring for organic contaminants listed in Table 3 of Appendix 13-1 at community water systems is required to be done according to specific parameters. (40 CFR 141.24(h))[Reviewed March 2000; Revised April 2007].	(NOTE: No monitoring is required for aldicarb, aldicarb sulfoxide, or aldicarb sulfone.) Verify that groundwater systems take a minimum of one sample at every entry point to the distribution system that is representative of each well after treatment. Verify that surface water systems (or surface/ground) take a minimum of one sample at points in the distribution system that are representative of each source or at each entry point to the distribution system after treatment. (NOTE: For both groundwater and surface water systems, each sample must be taken at the same sampling point unless conditions make another sampling point more representative of each source, treatment plant, or within the distribution system.) Verify that, if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. Verify that each community water system takes four consecutive quarterly samples for each contaminant during each compliance period starting with the initial compliance period. (NOTE: Systems serving more than 3300 persons that do not detect a contaminant in the initial compliance period may reduce sampling to two quarterly samples in 1 yr during
WQ.40.7.US Community water systems are required to monitor for specific unregulated contaminants. (40 CFR 141.40(a)(2), 141.40(a)(4) through 141.40(a)(7))[Revised October 1999; Reviewed March 2000; Citation Revised April 2001; Revised April 2007].	(NOTE: The determination of whether a PWS is required to monitor under this rule is based on the type of system (e.g., community water system, non-transient non-community water system, etc.); whether the system purchases all of its water, as finished water, from another system; and its population served as of 30 June 30, 2005.) Verify that a wholesale or retail PWS (other than a transient non-community system) that serves more than 10,000 people, and does not purchase their entire water supply as finished water from another PWS, monitors as the unregulated contaminants on List 1 of Table 1, UCMR Contaminant List, in Appendix 13-5. Verify that, if the facility serves a population of more than 10,000 people, this monitoring is performed regardless of whether the system has have been notified by the State or EPA. Verify that a wholesale or retail PWS (other than a transient non-community system) that serves more than 10,000 people, and does not purchase their entire water supply as finished water from another PWS, monitors for the unregulated contaminants on List 2 (Screening Survey) of Table 1 in Appendix 13-5, if the system serves 10,001 to 100,000 people and the system is notified by EPA or the State that you are part of the State Monitoring Plan for

WQ.40.8.US The reporting of unregulated contaminant monitoring results must be done according to certain parameters by community water systems. (40 CFR 141.35)[Revised October 1999; Reviewed March 2000; Revised October 2001; Revised April 2007].	(NOTE: This checklist item applies to any community water system required to monitor for unregulated contaminants under 40 CFR 141.40(a) [See checklist item WQ.40.8.US].) (NOTE: For this checklist item, "population served" includes the sum of the retail population served directly by the community water system plus the population served by any consecutive system(s) receiving all or part of its finished water from that community water system.) (NOTE: For this checklist item, "finished" means water that is introduced into the distribution system of a PWS and is intended for distribution and consumption without further treatment, except the treatment necessary to maintain water quality in the distribution system (e.g., booster disinfection, addition of corrosion control chemicals).) (NOTE: For this checklist item, the term "State" refers to the State or Tribal government entity that has jurisdiction over the community water system even if that government does not have primary enforcement responsibility under the Safe Drinking Water Act.) (NOTE: For this checklist item, the term "PWS Official" refers to the person at the water system who is able to function as the official spokesperson for the system's Unregulated Contaminant Monitoring Regulation (UCMR) activities.) (NOTE: For
WQ.40.9.US Community water systems, except as defined as exempted water systems, are required to monitor for total coliforms at a frequency based on the population served by the system. (40 CFR 141.21(a)(2) and 141.21(a)(4))[Reviewed March 2000].	Verify that the community water system is sampling according to the schedule in Appendix 13-6. Verify that samples are collected at regular time intervals throughout the month. (NOTE: A system which uses only groundwater (except groundwater under the direct influence of surface water) and serves 4900 persons or fewer may collect all required samples in a single day if they are taken from different sites.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.40.11.US Community water systems are required to monitor for radioactivity at specific frequencies. (40 CFR 141.25(c)(1) Table B and 141.26)[Revised March 2000. Revised January 2001; Revised October 2004].	Verify that community water systems conduct initial monitoring to determine compliance with standards for gross alpha particle activity, radium-226, radium-228, and uranium outlined in 40 CFR 141.66(b), 141.66(c), and 141.66(e) (see checklist item WQ.35.4.US) by 31 December 2007. (NOTE: For the purposes of monitoring for gross alpha particle activity, radium-226, radium-228, uranium, and beta particle and photon radioactivity in drinking water, the "detection limit" is defined as follows: - Gross alpha particle activity : 3 pCi/L - Radium 226 : 1 pCi/L - Radium 228: 1 pCi/L - Uranium: 1 microgram/L. Verify that all existing community water systems using groundwater, surface water or systems using both ground and surface water: - samples at every entry point to the distribution system that is representative of all sources being used under normal operating conditions - takes each sample at the same sampling point unless conditions make another sampling point more representative of each source or the State has designated a distribution system location. Verify that all new community water systems or community water systems that use a new source of water: - begin to conduct initial monitoring for the new source within the first quarter after initiating use of the source - conduct
WQ.40.12.US Checklist item deleted. [Revised January 1999; Revised March 2000; Revised April 2001; Deleted April 2006].	NOTE: This checklist item about analyzing for TTHM after adding disinfectant to water is deleted due to the deletion of 40 CFR 141.30 as of 6 March 2006.
WQ.40.13.US Suppliers of water for community public water systems are required to analyze for sodium. (40 CFR 141.41)[Reviewed March 2000].	Verify that one sample is taken per plant at the entry point of the distribution system annually for systems using surface water in whole or in part and every 3 yr for systems using solely groundwater sources. Verify that the results of the sampling were reported to the USEPA and/or state within 10 days following the end of the required monitoring period or within the first 10 days of the month following the month in which the sample was taken. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)

WQ.40.14.US Community water systems are required to identify whether certain construction materials are present in their distribution system and report to the state. (40 CFR 141.42(d))[Revised March 2000].	Verify that the community water supply system identifies whether the following construction materials are present in their distribution system and reports to the state: - lead from piping, solder, caulking, interior lining of distribution mains, alloys, and home plumbing - copper from piping and alloys, service lines, and home plumbing - galvanized piping, service lines, and home plumbing - ferrous piping materials such as cast iron and steel - asbestos cement pipe. (NOTE: States may require identification and reporting of other materials.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.40.15.US Community water systems that add a chemical disinfectant to the water in any part of the drinking water process or supply water containing a chemical disinfectant are required to meet specific monitoring requirements for disinfection byproducts and disinfection byproduct precursors (DBPP). (40 CFR 141.130(a)(1), 141.130(b)(1), 141.131, 141.132(a), 141.132(b), and 141.132(d))[Added January 1999; Revised March 2000; Revised April 2001; Revised April 2006].	(NOTE: These requirements apply to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004.) Verify that all samples are taken during normal operating conditions and according to the required monitoring plan. (NOTE: Systems may consider multiple wells drawing water from a single aquifer as one treatment plant for determining the minimum number of TTHM and HAA5 samples required, if the state approves.) Verify that monitoring for TTHM and HAA5 is done at the frequency, either routine or reduced as appropriate, outlined in Appendix 13-10. Verify that sample analysis is done using appropriate methodology and is conducted by laboratories that are certified by the USEPA or the State. Verify that, in order to qualify for reduced monitoring for TTHM and HAA5, subpart H systems not monitoring under the requirements for disinfection byproduct precursors (DBPP) take monthly TOC samples every 30 days at a location prior to any treatment, beginning April 1, 2008 or earlier, if specified by the State. Verify that, in addition to meeting other criteria for reduced monitoring, the source water TOC running annual average is < =4.0 mg/L (based on the most recent four quarters of monitoring) on a continuing basis at each treatment plant to reduce or remain on reduced monitoring for TTHM and HAA5. (NOTE: Once qualified for reduced monitoring for TTHM and HAA5, a system may reduce source water TOC monitoring to quarterly TOC samples taken every 90 days at a location prior to any treatment.) (NOTE: Systems on a reduced monitoring schedule may remain
WQ.40.16.US Community water systems that add a chemical disinfectant to the water in any part of the drinking water process or distribute supply water containing a chemical disinfectant are required to meet specific monitoring requirements for disinfection residuals. (40 CFR 141.130(a)(1), 141.130(b), 141.131, 141.132(a)(1), and 141.132(c))[Added January 1999; Revised March 2000].	(NOTE: These requirements apply to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004.) Verify that all samples are taken during normal operating conditions and according to the required monitoring plan. Verify that sample analysis is done using appropriate methodology. Verify that systems using chlorine and/or chloramines measure the residual disinfectant level at the same points in the distribution system and at the same time as total coliforms are sampled. (NOTE: Subpart H systems may use the results of residual disinfectant concentration sampling conducted under 40 CFR 141.74(b)(6)(i) for unfiltered systems or 40 CFR 141.74(c)(3)(i) for systems that filter, in lieu of taking separate samples.) Verify that monitoring is not reduced when using chlorine and/or chloramine. Verify that systems using chlorine dioxide for disinfection or oxidation take daily samples at the entrance to the distribution system. (NOTE: When a daily chlorine dioxide sample exceeds the MRDL, samples are required to be taken in the distribution system the following day at the entrance to the distribution

WQ.40.17.US Community water systems that add a chemical disinfectant to the water in any part of the drinking water process are required to have a monitoring plan. (40 CFR 141.130(a)(1), 141.130(b)(1), 141.131, 141.132(a), and 141.132(f))[Added January 1999; Revised March 2000].	(NOTE: This requirement applies to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004.) Verify that the system has developed and maintains a monitoring plan. (NOTE: The plan must be made available for inspection by the state and the general public no later than 30 days following applicable compliance dates.) Verify that all Subpart H systems serving more then 3300 people submit a copy of the plan to the state. Verify that the plan includes, at a minimum: - specific locations and schedules for collecting samples for any required parameters - how the system will calculate compliance with MCLs, MRDLs, and treatment techniques - if approved for monitoring as a consecutive system, or as providing water to a consecutive system, the plan reflects the entire distribution system. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.40.18.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must conduct monitoring according to specific parameters. (40 CFR 141.600, 141.601, and 141.604)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) Verify that the sampling schedule in Table 1 of Appendix 13-9b is met. Verify that an Initial Distribution System Evaluation (IDSE) is used to determine locations with representative high TTHM and HAA5 concentrations throughout the distribution system. (NOTE: IDSEs are used in conjunction with, but separate from, compliance monitoring defined in 40 CFR 141.130 through 141.135 (see checklist items WQ.30.4.US, and WQ.40.15.US through WQ.40.17.US), to identify and select Stage 2 disinfection byproduct compliance monitoring locations.) (NOTE: In relation to the schedule, the State may determine that the combined distribution system does not include certain consecutive systems based on factors such as receiving water from a wholesale system only on an emergency basis or
WQ.40.19.US System specific studies done for community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet certain requirements. (40 CFR 141.602 and 141.604)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) Verify that the system specific study plan is based on either existing monitoring results or modeling. Verify that the system specific study plan is prepared and submitted to the State according to the schedule in Appendix 13-9b, Table 2. (NOTE: The facility may comply by submitting monitoring results collected before the facility is required to begin monitoring (see Appendix 13-9b) and the monitoring results and analysis meet the following criteria: TTHM and HAA5 results are based on samples collected and analyzed in accordance with 40 CFR 141.131 (see checklist items WQ.40.15.US. through WQ.40.17.US) no earlier than 5 yr prior to the study plan submission date the monitoring locations and frequency must meet the conditions identified in Table 3 of Appendix 13-9b each location must

WQ.40.20.US Eligibility for 40/30 certification at a community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light requires consistent TTHM and HAA5 compliance. (40 CFR 141.603)[Added April 2006].	(NOTE: The facility is eligible for 40/30 certification if the facility had no TTHM or HAA5 monitoring violations under 40 CFR 141, Subpart L and no individual sample exceeded 0.040 mg/L for TTHM or 0.030 mg/L for HAA5 during an eight consecutive calendar quarter period beginning no earlier than the following specified date: if the 40/30 certification is due 1 October 2006; January 2004 if the 40/30 certification is due 1 April 2007; January 2004 if the 40/30 certification is due, 1 October 2007; January 2005 if the 40/30 certification is due 1 April 2008; January 2005. Eight consecutive calendar quarters are not required if the facility is on reduced monitoring under 40 CFR 141, Subpart L and were not required to monitor during the specified period. If the facility did not monitor during the specified period, they must base eligibility on compliance samples taken during the 12 mo preceding the specified period.) Verify that, in order to obtain 40/30 certification, the facility certifies to the State that every individual compliance sample taken under 40 CFR 141, Subpart L during the periods specified above were less than or equal to 0.040 mg/L for TTHM less than or equal to 0.030 mg/L for HAA5, and there has not been any TTHM or HAA5 monitoring violations during the specified period. (NOTE: The State
WQ.40.21.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must follow certain monitoring location recommendations. (40 CFR 141.605)[Added April 2006].	Verify that the IDSE report includes the facility's recommendations and justification for where and during what month(s) TTHM and HAA5 monitoring should be conducted. Verify that the facility bases the recommendations on the following: select the number of monitoring locations specified in Table 4 of Appendix 13-9b unless the State requires different or additional locations distribute locations throughout the distribution system to the extent possible standard monitoring results, system specific study results, and 40 CFR 141, Subpart L compliance monitoring results the following protocols: location with the highest TTHM LRAA not previously selected as a 40 CFR 141, Subpart V monitoring location (see checklist items WQ.40.22.US through WQ.40.26.US and WQ.45.5.US) location with the highest HAA5 LRAA not previously selected as a 40 CFR 141, Subpart V monitoring location existing 40 CFR 141, Subpart L average residence time compliance monitoring location (maximum residence time compliance monitoring location for ground water systems) with the highest HAA5 LRAA not previously selected as a 40 CFR 141, Subpart V monitoring location location with the highest TTHM LRAA not previously selected as a 40 CFR 141, Subpart V monitoring location location with the highest
WQ.40.22.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet the Stage 2 disinfection byproducts requirements according to a specific schedule. (40 CFR 141.620)[Added April 2006].	(NOTE: The regulations in 40 CFR 141, Subpart V [40 CFR 141.620 through 141.629, see checklist items WQ.40.22.US through WQ.40.26.US and WQ.45.5.US] establish monitoring and other requirements for achieving compliance with MCLs based on locational running annual averages (LRAA) for total trihalomethanes (TTHM) and haloacetic acids (five) (HAA5), and for achieving compliance with maximum residual disinfectant residuals for chlorine and chloramine for certain consecutive systems. These are also known as the Stage 2 Disinfection Byproducts Requirements.) Verify that the facility complies with the Stage 2 disinfection byproducts requirements according to the following schedule: for systems that are not part of a combined distribution system and systems that serve the largest population in the combined distribution system: if the system serves greater than or equal to 100,000 people, comply with 40 CFR 141, Subpart V monitoring by 1 April 2012 (see checklist items WQ.40.22.US through WQ.40.26.US and WQ.45.5.US) if the system serves between 50,000 and 99,999 people, comply with 40 CFR 141, Subpart V monitoring by 1 October 2012 if the system serves between 10,000 and 49,999 people, comply with 40 CFR 141, Subpart V monitoring by 1 October

WQ.40.23.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet the Stage 2 disinfection byproducts monitoring requirements. (40 CFR 141.621, 141.623, and 141.627)[Added April 2006].	Verify that if the facility submitted an IDSE report, the facility began monitoring at the locations and months recommended in the submitted IDSE report following the schedule in 40 CFR 141.620(c) (see checklist item WQ.40.22.US), unless the State requires other locations or additional locations after its review. Verify that if the facility submitted a 40/30 certification or the facility qualified for a very small system waiver under 40 CFR 141.604 (see checklist item WQ.40.18.US and WQ.40.19.US) the facility monitors at the location(s) and dates identified in the facility monitoring plan. Verify that the facility monitors at no fewer than the number of locations identified in Table 1 of Appendix 13-9c. (NOTE: If the facility is an undisinfected system that begins using a disinfectant other than UV light after the dates for complying with the IDSE requirements (see checklist item WQ.40.18.US), the facility must consult with the State to identify compliance monitoring locations and develop a monitoring plan under 40 CFR 141.622 (see checklist item WQ.40.24.US) that includes those monitoring locations.) Verify that the facility uses an approved method listed in 40 CFR 141.131 (see checklist item WQ.40.15.US through WQ.40.18.US) for TTHM and HAA5 analyses for the Stage 2 disinfection byproducts monitoring.
WQ.40.24.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must develop a Subpart V monitoring plan. (40 CFR 141.622)[Added April 2006].	Verify that the facility develops and implements a monitoring plan to be kept on file for State and public review. Verify that the monitoring plan contains the following elements and is completed no later than the date the facility conducts the initial monitoring under 40 CFR 141, Subpart V (see checklist items WQ.40.22.US through WQ.40.26.US and WQ.45.5.US): monitoring locations monitoring dates compliance calculation procedures monitoring plans for any other systems in the combined distribution system if the State has reduced monitoring requirements. (NOTE: If the facility was not required to submit an IDSE report under either 40 CFR 141.601 or 141.602 (see checklist items WQ.40.18.US and WQ.40.19.US), and the facility does not have sufficient 40 CFR 141, Subpart L monitoring locations (see checklist items WQ.30.4.US and WQ.40.15.US through WQ.40.17.US) to identify the required number of 40 CFR, Subpart V compliance monitoring locations indicated in 40 CFR 141.605(b) (see checklist item WQ.40.21.US), the facility must identify additional locations by alternating selection of locations representing high TTHM levels and high HAA5 levels until the required number of compliance monitoring locations have been identified. The facility must also provide the rationale for identifying the
WQ.40.25.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must increase monitoring under certain conditions. (40 CFR 141.625 and 141.628)[Added April 2006].	Verify that, if the facility is required to monitor at a particular location annually or less frequently than annually under 40 CFR 141.621 or 40 CFR 141.623 (see checklist item WQ.40.23.US), the facility increases monitoring to dual sample sets once per quarter (taken every 90 days) at all locations if a TTHM sample is greater than 0.080 mg/L or a HAA5 sample is greater than 0.060 mg/L at any location. (NOTE: The facility is in violation of the MCL when the LRAA exceeds the 40 CFR 141, Subpart V MCLs in 40 CFR 141.64(b)(2) (see checklist item WQ.35.3.US), calculated based on four consecutive quarters of monitoring (or the LRAA calculated based on fewer than four quarters of data if the MCL would be exceeded regardless of the monitoring results of subsequent quarters). The facility is in violation of the monitoring requirements for each quarter that a monitoring result would be used in calculating an LRAA if the facility fails to monitor.) (NOTE: The facility may return to routine monitoring once it has conducted increased monitoring for at least four consecutive quarters and the LRAA for every monitoring location is less than or equal to 0.060 mg/L for TTHM and less than or equal to 0.045 mg/L for HAA5.) (NOTE: If the facility was on increased monitoring under 40 CFR 141.132(b)(1),

WQ.40.26.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must conduct an operational evaluation under certain conditions. (40 CFR 141.626)[Added April 2006].	(NOTE: The facility has exceeded the operational evaluation level at any monitoring location where the sum of the two previous quarters' TTHM results plus twice the current quarter's TTHM result, divided by 4 to determine an average, exceeds 0.080 mg/L, or where the sum of the two previous quarters' HAA5 results plus twice the current quarter's HAA5 result, divided by 4 to determine an average, exceeds 0.060 mg/L.) Verify that, if the facility exceeds the operational evaluation level, the facility conducts an operational evaluation and submits a written report of the evaluation to the State no later than 90 days after being notified of the analytical result that causes the facility to exceed the operational evaluation level. Verify that the written report is made available to the public upon request. Verify that the operational evaluation includes an examination of system treatment and distribution operational practices, including storage tank operations, excess storage capacity, distribution system flushing, changes in sources or source water quality, and treatment changes or problems that may contribute to TTHM and HAA5 formation and what steps could be considered to minimize future exceedances. (NOTE: The facility may request and the State may allow the facility to limit the scope of
WQ.40.27.US A community water system that is a consecutive system that does not add a disinfectant but delivers water treated with a primary or residual disinfectant other than ultraviolet light must meet specific monitoring requirements. (40 CFR 141.624)[Added April 2006].	Verify that, if the facility is a consecutive system that does not add a disinfectant but delivers water that has been treated with a primary or residual disinfectant other than ultraviolet light, the facility meets the following requirements: analytical and monitoring requirements for chlorine and chloramines in 40 CFR 141.131(c) and 141.132(c)(1) (see checklist item WQ.40.15.US through WQ.40.17.US) the compliance requirements in 40 CFR 141.133(c)(1) beginning 1 April 2009, unless required earlier by the State report monitoring results under 40 CFR 141.134(c) (see checklist item WQ.30.4.US).
WQ.45.2.US Community water systems are required to deliver to their customer's annual consumer confidence reports. (40 CFR 141.151 through 141.155)[Added October 1998; Reviewed March 2000; Revised July 2000; Revised April 2006].	Verify that the community water system delivers annual consumer confidence reports to their customers by 1 July of each year. (NOTE: For the purpose of this report, the term ?customers' is defined as billing units or service connection to which water is delivered by a community water system.) Verify that the reports must contain information on the quality of the water delivered by the systems and characterize the risks (if any) from exposure to contaminants detected in the drinking water in an accurate and understandable manner. Verify that one copy is delivered to each customer and the reports are made available to the public upon request. Verify that, no later than the date the system is required to distribute the report to its customers, each community water system mails a copy of the report to the primacy agency, followed within 3 mo by a certification that the report has been distributed to customers, and that the information is correct and consistent with the compliance monitoring data previously submitted to the primacy agency. Verify that, no later than the date the system is required to distribute the report to its customers, each community water system delivers the report to any other agency or clearinghouse identified by the primacy agency. Verify that each community water system serving

WQ.45.3.US When a community water system is required to submit a notice, the notice is required to be provided according to specific parameters. (40 CFR 141.203(c)(1), 141.204(c)(1), 141.204(d), 141.206(a), and 141.210)[Added July 2000; Revised April 2006].	(NOTE: Public water systems in States with primacy for the public water system supervision (PWSS) program must comply with these requirements no later than 6 May 2002 or on the date the State-adopted rule becomes effective, whichever comes first. Public water systems in jurisdictions where USEPA directly implements the PWSS program must comply with these requirements on 31 October 2000. Prior to these dates, public water systems must continue to comply with the public notice requirements in 40 CFR 141.32 (see checklist item WQ.30.2.US.) Verify that, unless directed otherwise by the primacy agency in writing, community water systems provide Tier 2 notice by: mail or other direct delivery to each customer receiving a bill and to other service connections to which water is delivered by the public water system any other method reasonably calculated to reach other persons regularly served by the system, if they would not normally be reached by the notice (NOTE: Persons who might not normally be reached by the Tier 2 notice may include those who do not pay water bills or do not have service connection addresses (e.g., house renters, apartment dwellers, university students, nursing home patients, prison inmates, etc.). Other methods may include: publication in a local
WQ.45.4.US When a community water system is required to provide special notices on the availability of unregulated contaminant monitoring results or exceedances of the SMCL for fluoride, specific parameters must be met. (40 CFR 141.207, 141.208, and 141.210)[Added July 2000; Revised April 2006].	Verify that the owner or operator of a community water system required to monitor under 40 CFR 141.40 (see checklist item WQ.40.7.US.) notifies persons served by the system of the availability of the results of unregulated contaminant sampling no later than 12 mo after the monitoring results are known. Verify that the form and manner of the public notice follows the requirements for a Tier 3 public notice prescribed in 40 CFR 141.204(c), (d)(1), and (d)(3) (see checklist item WQ.45.3.US.) and identifies a person and provide the telephone number to contact for information on the monitoring results. Verify that community water systems that exceed the fluoride secondary maximum contaminant level (SMCL) of 2 mg/l as determined by the last single sample taken, but do not exceed the MCL of 4 mg/l for fluoride, provide the public notice to persons served as soon as practical but no later than 12 mo from the day the water system learns of the exceedance. Verify that a copy of the notice is also sent to all new billing units and new customers at the time service begins and to the State public health officer. Verify that the public water system repeats the notice at least annually for as long as the SMCL is exceeded. (NOTE: If the public notice is posted, the notice must remain in place for as long as the
WQ.45.5.US The owner or operator of a community water system that is required to monitor source water Cryptosporidium, E. coli, and turbidity must perform certain notifications. (40 CFR 141.211)[Added April 2006].	Verify that the owner or operator of a community water system that is required to monitor source water under 40 CFR 141.701 (see checklist items WQ.15.6.US) notifies persons served by the water system that monitoring has not been completed as specified no later than 30 days after the system has failed to collect any 3 mo of monitoring as specified in 40 CFR 141.701(c). Verify that the notices are repeated as specified in 40 CFR 141.203(b) (see checklist item WQ.45.3.US). Verify that the owner or operator of a community water system that is required to determine a bin classification under 40 CFR 141.710 (see checklist item WQ.20.17.US), or to determine mean Cryptosporidium level under 40 CFR 141.712 (see checklist item WQ.20.19.US), notifies persons served by the water system that the determination has not been made as required no later than 30 days after the system has failed report the determination as specified in 40 CFR 141.710(e) or 40 CFR 141.712(a), respectively (see checklist item WQ.20.17.US and WQ.20.19.US). (NOTE: The notice of bin classification is not required if the system is complying with a State-approved schedule to address the violation.) Verify that the notices are repeated as specified in 40 CFR 141.203(b) (see checklist

WQ.45.6.US Community water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet reporting and recordkeeping requirement. (40 CFR 141.629)[Added April 2006].	Verify that the facility reports the following information for each monitoring location to the State within 10 days of the end of any quarter in which monitoring is required: number of samples taken during the last quarter date and results of each sample taken during the last quarter arithmetic average of quarterly results for the last four quarters for each monitoring location (LRAA), beginning at the end of the fourth calendar quarter that follows the compliance date and at the end of each subsequent quarter whether, based on 40 CFR 141.64(b)(2) and 40 CFR 141, Subpart V, the MCL was violated at any monitoring location any operational evaluation levels that were exceeded during the quarter and, if so, the location and date, and the calculated TTHM and HAA5 levels. (NOTE: If the LRAA calculated based on fewer than four quarters of data would cause the MCL to be exceeded regardless of the monitoring results of subsequent quarters, the facility must report this information to the State as part of the first report due following the compliance date or anytime thereafter that this determination is made. If the facility is required to conduct monitoring at a frequency that is less than quarterly, the facility must make compliance calculations beginning with the first compliance sample taken after the compliance
WQ.45.7.US Community water systems that use ground water having fecally contaminated source waters or significant deficiencies identified by a regulator must meet notification requirements. (40 CFR 141.400(a), 141.400(d), and 141.403(a)(7)(i))[Added January 2007].	(NOTE: This checklist item applies to all public water systems that use ground water except that it does not apply to public water systems that combine all of their ground water with surface water or with ground water under the direct influence of surface water prior to treatment under 40 CFR 141, Subpart H.) (NOTE: Unless otherwise noted, ground water systems must comply with this checklist item beginning 1 December 2009.) Verify that, in addition to the applicable public notification requirements of 40 CFR 141.202, a community ground water system that receives notice from the State of a significant deficiency or notification of a fecal indicator-positive ground water source sample that is not invalidated by the State informs the public served by the water system under 40 CFR 141.153(h)(6) of the fecal indicator-positive source sample or of any significant deficiency that has not been corrected. Verify that the system continues to inform the public annually until the significant deficiency is corrected or the fecal contamination in the ground water source is determined by the State to be corrected.
WQ.50.1.US Community water systems must educate their users about lead in drinking water systems. (40 CFR 141.85(a), 141.85(b)(1) through 141.85(b)(3), 141.85(b)(6) through 141.85(b)(8) and 141.90(f))[Revised April 2000; Revised October 2007; Revised January 2008].	Verify that all community water systems deliver a consumer notice of lead tap water monitoring results to persons served by the water system at sites that are tested. Verify that a community water system that exceeds the lead action level based on tap water samples collected in accordance with 40 CFR 141.86 delivers the public education materials outlined in Appendix 13-7a. Verify that, for public water systems serving a large proportion of non-English speaking consumers, as determined by the State, the public education materials contain information in the appropriate language(s) regarding the importance of the notice or contain a telephone number or address where persons served may contact the water system to obtain a translated copy of the public education materials or to request assistance in the appropriate language. Verify that a community water system that exceeds the lead action level on the basis of tap water samples collected in accordance with 40 CFR 141.86, and that is not already conducting public education tasks, conducts the following public education tasks within 60 days after the end of the monitoring period in which the exceedance occurred: deliver printed materials meeting the content requirements of Appendix 13-7a to all bill paying customers contact customers who are

WQ.50.2.US Community water systems are required to meet specific standards for lead and copper action levels and reporting requirements when these levels are exceeded. (40 CFR 141.80(a)(1), 141.80(c), 141.80(g), 141.85(c), and 141.85(d))[Reviewed March 2000; Revised October 2007; Revised January 2008].	Verify that the concentration of lead does not exceed 0.015 mg/L in more than 10 percent of tap water samples collected during any monitoring period. Verify that the concentration of copper does not exceed 1.3 mg/L in more than 10 percent of tap water samples collected during any monitoring period. (NOTE: See the text of 40 CFR 141.80(c)(3) for details on calculating the 90th percentile lead and copper levels.) (NOTE: For a public water system that has been allowed by the State to collect fewer than five samples, the sample result with the highest concentration is considered the 90th percentile value.) Verify that a water system that fails to meet the lead action level on the basis of tap samples collected in accordance with 40 CFR 141.86 offers to sample the tap water of any customer who requests it. (NOTE: The system is not required to pay for collecting or analyzing the sample, nor is the system required to collect and analyze the sample itself.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.) Verify that the water system provides a consumer notice of lead tap water monitoring results to persons served at the sites (taps) that are tested. Verify that any system exceeding the lead action level implement the public education requirements. Verify that
WQ.50.3.US Community water systems are required to install and operate optimal corrosion control. (40 CFR 141.80(d) and 141.82)[Reviewed March 2000].	Verify that the water system has corrosion control that minimizes the lead and copper concentrations at users' taps while insuring that the treatment does not cause the water system to violate any of the national primary drinking water standards. (NOTE: Please see 40 CFR 141.81 for design details for corrosion control systems in relationship to the size of the water system.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.50.4.US Community water systems that exceed the lead or copper action level are required to implement applicable source water treatment standards. (40 CFR 141.80(e) and 141.83)[Reviewed March 2000; Revised October 2007].	Verify that systems exceeding the lead or copper action level complete lead and copper source water monitoring and make a treatment recommendation to the State no later than 180 days after the end of the monitoring period during which the lead or copper action level was exceeded. Verify that if the state requires the installation of source water treatment, the installation is done within 24 mo after the states initial response. Verify that follow-up tap water monitoring and source water monitoring is completed within 36 mo after the state's initial response. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.50.5.US Community water systems exceeding the lead action level after implementation of corrosion control and source water treatment requirements are required to replace lead service lines. (40 CFR 141.80(f) and 141.84)[Reviewed March 2000].	Verify that lead service line replacement, if needed, is done according to the schedules and parameters outlined in 40 CFR 141.84. (NOTE: A system is not required to replace an individual lead service line if the lead concentration in all service line samples from that line is less than or equal to 0.015 mg/L.) (NOTE: Replacement of lead service lines can stop when the first draw samples that are collected meet the lead action levels during two consecutive monitoring periods and the system submits the results to the state.) (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)

WQ.50.6.US Monitoring for lead and copper at community water systems is required to start on a specified date and be done at a specified number of sites according to the chart in Appendix 13-7. (40 CFR 141.80(h), 141.86(a)(1) through 141.86(a)(5), 141.86(a)(8), 141.86(c), 141.86(d) through 141.86(g))[May 1996; Reviewed March 2000; Revised April 2000; Revised October 2007].	Verify that water systems have completed a materials evaluation of its distribution system to identify a pool of targeted sampling sites and which is sufficiently large to ensure that the water system can collect the number of samples required. (NOTE: Sampling sites may not include point-of-use or point-of-entry treatment devices designed to remove inorganic contaminants.) (NOTE: See Appendix 13-7 for details on the required number of samples and when the sampling program is required to start.) Verify that selected sampling sites (tier 1 sampling sites) for community water systems consist of single family structures that have one or both of the following: contain copper pipes with lead solder installed after 1982 or contain lead pipes are served by a lead service line. (NOTE: When multiple family residences comprise at least 20 percent of the structure served by a water system, the system may include these types of structures in its sampling pool.) Verify that, if the community water system has insufficient tier 1 sampling sites, the sampling pool is completed with tier 2 sites that consist of buildings, including multiple family residences, that: contain copper pipes with lead solder installed after 1982 or contain lead pipes are served by a lead service line. Verify that if the community water
WQ.50.7.US All large water systems and all small and medium size systems that exceed the lead or copper action level are required to monitor for water quality parameters in addition to lead and copper. (40 CFR 141.80(h) and 141.87)[Reviewed March 2000].	Verify that monitoring for water quality parameters is done according to Appendix 13-8. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.50.8.US Community water systems that fail to meet the lead or copper action levels are required to meet specific monitoring requirements. (40 CFR 141.80(h) and 141.88)[Reviewed March 2000; Revised April 2000; Revised October 2007; Revised January 2008].	Verify that groundwater systems that fail to meet the lead or copper action level on the basis of tap samples take a minimum of one sample at every entry point to the distribution system which is representative of each well after treatment (hereafter called a sampling point). Verify that the groundwater system takes one sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. Verify that surface water systems that fail to meet the lead or copper action level on the basis of tap samples take a minimum of one sample at every entry point to the distribution system after any application of treatment or in the distribution system at a point that is representative of each source after treatment (a sampling point). Verify that the surface water system takes each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. (NOTE: For the purposes of this checklist item, surface water systems include systems with a combination of surface and ground sources.) Verify that, if a system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods

WQ.50.9.US In reference to lead and copper in water systems, community water systems are required to report specific information to the state. (40 CFR 141.90(a) through 141.90(e), 141.90(g), and 141.90(h))[Reviewed March 2000; Revised April 2000; Revised October 2007; Revised January 2008].	Verify that a water system reports the following information for all tap water samples specified in 40 CFR 141.86 (see checklist item WQ.50.6.US.) and for all water quality parameter samples specified in 40 CFR 141.87 (see checklist item WQ.50.7.US.) within the first 10 days following the end of each applicable monitoring period (i.e., every 6 mo, annually, every 3 yr, or every 9 yr): the results of all tap samples for lead and copper, including the location of each site and the criteria under which the site was selected for the system's sampling pool documentation for each tap water lead or copper sample for which the water system requests invalidation the 90th percentile lead and copper concentrations measured from among all lead and copper tap water samples collected during each monitoring period, unless the state calculates the system's 90th percentile lead and copper levels any site that was not sampled during previous monitoring periods and why the sampling sites have changed the results of all tap samples for pH, and where applicable, alkalinity, calcium, conductivity, temperature, and orthophosphate or silica the results of all water samples collected at the entry points to the distribution system for applicable water quality parameters under 40 CFR 141.87(b) through 40 CFR
WQ.50.10.US Community systems subject to the lead and copper requirements are required to retain onsite all the original records of sampling data, analysis, reports, surveys, letters, evaluations, state determinations, and any other pertinent documents for at least 12 yr. (40 CFR 141.80(j) and 141.91)[Reviewed March 2000].	Verify that records are kept onsite for 12 yr. (NOTE: See checklist item WQ.35.1.US for the definition of a community water systems.)
WQ.76.1.US NTNC water systems, except as defined under exempted water systems, are required to meet specific MCLs for organic contaminants, inorganic contaminants, and microbiological contaminants. (40 CFR 141.60 through 141.63)[March 1995; Reviewed March 2000].	Verify that the standards outlined in Appendix 13-1 and 13-2 are met. Verify that systems, which collect at least 40 bacteriological samples per month, have no more than 5 percent of the samples collected during a month that are total coliform-positive. Verify that systems, which collect less than 40 bacteriological samples per month, have no more than one sample collected per month that is total coliform-positive. Verify that there are no fecal coliform-positive repeat sampling or E. coli-positive repeat samples, or any total coliform-positive repeat samples following a fecal coliform-positive or E. coli-positive routine sample. (NOTE: An NTNC water system must also meet the standards for a public water system and a noncommunity water system. An NTNC is defined as a water system that is not a community water system that regularly serves at least 25 of the same persons over 6 mo of the year.)

WQ.76.2.US NTNC water systems are required to meet specific MCLs and MRDLs related to disinfection. (40 CFR 141.64, 141.65(a), and 141.65(b)(1))[Added January 1999; Reviewed March 2000; Revised January 2001; Revised April 2001; Revised April 2006].	Verify that NTNC water systems meet the MCL for disinfection byproducts and the MRDLs outlined in Appendix 13-9. (NOTE: This requirement applies to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004. All systems must comply with these MCLs until the date specified in 40 CFR 141.620(c) [See checklist item WQ.77.14.US].) (NOTE: For the disinfection byproduct of Bromate, the Administrator has identified as the best technology, treatment techniques, or other means available for achieving compliance with the maximum contaminant levels to be the control of ozone treatment process to reduce production of bromate.) (NOTE: For the disinfection byproduct of Chlorite, the Administrator has identified as the best technology, treatment techniques, or other means available for achieving compliance with the maximum contaminant levels to be controlling treatment processes to reduce disinfectant demand and control of disinfection treatment processes to reduce disinfectant levels) (NOTE: For the disinfection byproduct of Total trihalomethanes (TTHM) and
WQ.76.3.US Subpart H NTNC water systems serving fewer than 10,000 persons are required to develop a disinfection profile. (40 CFR 141.501, 141.502, and 141.530 through 141.536)[Added April 2002].	(NOTE: These requirements to public water systems that use surface water or GWUDI as a source and serves fewer than 10,000 persons. In this case, these requirements apply specifically to Subpart H systems) (NOTE: A disinfection profile is a graphical representation of the system's level of Giardia lamblia or virus inactivation measured during the course of a year. The system is not required to develop a profile if the state determines it is unnecessary. States may only determine that a system's profile is unnecessary if a system's TTHM and HAA5 levels are below 0.064 mg/L and 0.048 mg/L, respectively. To determine these levels, TTHM and HAA5 samples must be collected after 1 January 1998, during the month with the warmest water temperature, and at the point of maximum residence time in the distribution system. The state may also approve the use of more representative data set for disinfection profiling that that required by these regulations.) Verify that the disinfection profile consists of three steps: - the system collects data for the following parameters from the plant once a week on the same day over the course of 12 consecutive months: - temperature of the disinfected water at each residual disinfectant concentration sampling point during peak hourly flow - if the system uses
WQ.77.1.US Facilities with NTNC water systems are required to meet specific monitoring requirements for inorganic contaminants. (40 CFR 141.23(a))[Revised January 2000; Revised March 2000].	Verify that groundwater systems: - take a minimum of one sample at every entry point to the distribution system that is representative of each well after treatment (a sampling point) beginning in the compliance period starting 1 January 1993 - take each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. Verify that surface water systems: - take a minimum of one sample at every entry point to the distribution system after any application of treatment or in the distribution system at a point that is representative of each source after treatment (a sampling point) beginning in the compliance period starting 1 January 1993 - takes each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. (NOTE: In relation to these requirements, surface water systems include systems with a combination of surface and ground sources.) Verify that, if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. (NOTE: The state may reduce the total number of samples that must be analyzed by allowing the

WQ.77.2.US NTNC water systems are required to meet specific monitoring requirements for asbestos. (40 CFR 141.23(b))[March 1995; Reviewed March 2000].	Verify that asbestos is monitored during the first 3 yr compliance period of each 9 yr compliance cycle starting 1 January 1993. (NOTE: The facility may apply to the state for a waiver of monitoring if they believe that asbestos is not an issue.) Verify that, if the system is vulnerable to asbestos contamination only because of corrosion of asbestos-cement pipe, one sample is taken at a tap served by asbestos- cement pipe and under conditions where asbestos contamination is most likely to occur. Verify that, if the system is vulnerable to asbestos contamination due to both its source water supply and corrosion of asbestos-cement pipe, one sample is taken at a tap served by asbestos-cement pipe and under conditions where contamination is most likely to occur. Verify that, when the MCL is exceeded, monitoring is done quarterly. (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.77.3.US NTNC water systems are required to meet specific monitoring requirements for antimony, barium, beryllium, cadmium, chromium, cyanide, fluoride, mercury, nickel, selenium, and thallium. (40 CFR 141.23(c))[May 1996; Reviewed March 2000].	Verify that monitoring is done as follows: - groundwater systems: take one sample at each sampling point during each compliance period - surface water systems (or combined surface/ground): take one sample annually at each sampling point - when MCLs are exceeded, monitoring is done quarterly. (NOTE: States may grant a public water system a waiver for the monitoring of cyanide.) (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.77.4.US NTNC water systems are required to conduct monitoring to determine compliance for nitrate and nitrite levels according to specific parameters. (40 CFR 141.23(d) and 141.23(e))[March 1995; Reviewed March 2000].	Verify that the following schedules are met for monitoring of nitrate: - NTNC water systems served by groundwater monitor annually starting 1 January 1993 - NTNC water systems served by surface water monitor quarterly starting 1 January 1993. (NOTE: States may allow a surface water system to reduce annual sampling frequency if analytical results from four consecutive quarters are less than 50 percent of the MCL.) Verify that NTNC water systems do repeat monitoring quarterly for at least 1 yr following any one sample in which the concentration exceeds more than 50 percent of the MCL. (NOTE: States may allow groundwater systems to return to annual sampling if the results of four consecutive quarters are consistently and reliably below the MCL.) (NOTE: After the initial round of quarterly sampling is completed, each NTNC system that is monitoring annually shall take the subsequent samples during the quarters that previously resulted in the highest analytical result.) Verify that NTNC water systems take one sample at each sampling point in the compliance period beginning 1 January 1993 and ending 31 December 1995 for nitrite. (NOTE: After the initial sample, systems where an analytical result for nitrite is less than 50 percent of the MCL will monitor at the frequency specified by
WQ.77.5.US Beginning with the initial compliance period, monitoring of the contaminants listed in Table 2 of Appendix 13-1 at NTNC water systems is required to be done according to specific parameters. (40 CFR 141.24(f))[March 1995; Reviewed March 2000].	Verify that groundwater systems take a minimum of one sample at every entry point of the distribution system that is representative of each well after treatment. Verify that surface water systems (or combined surface/ground) take a minimum of one sample at points in the distribution system that are representative of each source or at each entry point to the distribution system after treatment. (NOTE: For both groundwater and surface water systems, each sample must be taken at the same sampling point unless conditions make another sampling point more representative of each source, treatment plant, or within the distribution system.) Verify that, if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. Verify that each NTNC water system takes four consecutive quarterly samples for each contaminant, except vinyl chlorides. (NOTE: If the initial monitoring for contaminants is completed by December 1992 and none of the contaminants listed are found, then each system shall take one sample annually starting with the initial compliance period.) (NOTE: After a minimum of 3 yr of sampling, the state may reduce the number of samples to

WQ.77.6.US Monitoring for organic contaminants listed in Table 3 of Appendix 13-1 at NTNC water systems is required to be done according to specific parameters. (40 CFR 141.24(h))[March 1995; Reviewed March 2000; Revised April 2007].	(NOTE: No monitoring is required for aldicarb, aldicarb sulfoxide or aldicarb sulfone.) Verify that groundwater systems take a minimum of one sample at every entry point to the distribution system that is representative of each well after treatment. Verify that surface water systems (or surface/ground) take a minimum of one sample at points in the distribution system that are representative of each source or at each entry point to the distribution system after treatment. (NOTE: For both groundwater and surface water systems, each sample must be taken at the same sampling point unless conditions make another sampling point more representative of each source, treatment plant, or within the distribution system.) Verify that, if the system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods of normal operating conditions. Verify that each NTNC water system takes four consecutive quarterly samples for each contaminant during each compliance period starting with the initial compliance period. (NOTE: Systems serving more than 3300 persons, which do not detect a contaminant in the initial compliance period, may reduce sampling to two quarterly samples in 1 yr during
WQ.77.7.US NTNC systems are required to monitor for specific unregulated contaminants. (40 CFR 141.40(a)(1), 141.40(a)(4) through 141.40(a)(7))[Revised October 1999; Reviewed March 2000; Revised April 2001; Revised April 2007].	(NOTE: The determination of whether a PWS is required to monitor under this rule is based on the type of system (e.g., community water system, non-transient non-community water system, etc.); whether the system purchases all of its water, as finished water, from another system; and its population served as of 30 June 2005.) Verify that a wholesale or retail PWS (other than a transient non-community system) that serves more than 10,000 people, and does not purchase their entire water supply as finished water from another PWS, monitors as the unregulated contaminants on List 1 of Table 1, UCMR Contaminant List, in Appendix 13-5. Verify that, if the facility serves a population of more than 10,000 people, this monitoring is performed regardless of whether the system has have been notified by the State or EPA. Verify that a wholesale or retail PWS (other than a transient non-community system) that serves more than 10,000 people, and does not purchase their entire water supply as finished water from another PWS, monitors for the unregulated contaminants on List 2 (Screening Survey) of Table 1 in Appendix 13-5, if the system serves 10,001 to 100,000 people and the system is notified by EPA or the State that you are part of the State Monitoring Plan for Screening Survey testing.
WQ.77.8.US The reporting of unregulated contaminant monitoring results must be done according to certain parameters by NTNC water systems. (40 CFR 141.35)[Revised October 1999; Reviewed March 2000; Revised October 2001; Revised April 2007].	(NOTE: This checklist item applies to any NTNC water system required to monitor for unregulated contaminants under 40 CFR 141.40(a) [See checklist item WQ.77.7.US].) (NOTE: For this checklist item, "population served" includes the sum of the retail population served directly by the community water system plus the population served by any consecutive system(s) receiving all or part of its finished water from that community water system.) (NOTE: For this checklist item, "finished" means water that is introduced into the distribution system of a PWS and is intended for distribution and consumption without further treatment, except the treatment necessary to maintain water quality in the distribution system (e.g., booster disinfection, addition of corrosion control chemicals).) (NOTE: For this checklist item, the term "State" refers to the State or Tribal government entity that has jurisdiction over the community water system even if that government does not have primary enforcement responsibility under the Safe Drinking Water Act.) (NOTE: For this checklist item, the term "PWS Official" refers to the person at the water system who is able to function as the official spokesperson for the system's Unregulated Contaminant Monitoring Regulation (UCMR) activities.) (NOTE: For this

WQ.77.9.US NTNC water systems that add ozone or chlorine dioxide to the water in any part of the drinking water process are required to meet specific monitoring requirements. (40 CFR 141.130(a)(1), 141.130(b)(1), 141.131, 141.132(a), 141.132(b)(2) and 141.132(b)(3))[Added January 1999; Reviewed March 2000; Revised April 2001; Revised April 2006].	(NOTE: This requirement applies to Subpart H systems serving 10,000 or more persons beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and systems using only groundwater not under the direct influence of surface water must comply with this section beginning 1 January 2004.) Verify that all samples are taken during normal operating conditions. Verify that sample analysis is done using appropriate methodology and is conducted by laboratories that are certified by the USEPA or the State. (NOTE: Systems may consider multiple wells drawing water from a single aquifer as one treatment plant for determining the minimum number of TTHM and HAA5 samples required, if the state approves.) Verify that NTNC water systems using chlorine dioxide, for disinfection or oxidation, perform the following monitoring for chlorite: daily samples at the entrance to the distribution system plus when the daily sample exceeds the chlorite MCL, additional samples in the distribution system the following day at the entrance to the distribution system, as close to the first customer as possible, in a location representative of average residence time, and as close to the end of the distribution system as possible a monthly three-sample set in the distribution system near the first customer, at a
WQ.77.10.US NTNC water systems serving at least 10,000 people and using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must conduct monitoring according to specific parameters. (40 CFR 141.600, 141.601, and 141.604)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) Verify that the sampling schedule in Table 1 of Appendix 13-9b is met. Verify that an Initial Distribution System Evaluation (IDSE) is used to determine locations with representative high TTHM and HAA5 concentrations throughout the distribution system. (NOTE: IDSEs are used in conjunction with, but separate from, compliance monitoring defined in 40 CFR 141.130 through 141.135 (see checklist items WQ.30.4.US, and WQ.77.9.US), to identify and select Stage 2 disinfection byproduct compliance monitoring locations.) (NOTE: In relation to the schedule, the State may determine that the combined distribution system does not include certain consecutive systems based on factors such as receiving water from a wholesale system only on an emergency basis or receiving only a small
WQ.77.11.US System specific studies done for NTNC water systems serving at least 10,000 people and using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet certain requirements. (40 CFR 141.602 and 141.604)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) Verify that the system specific study plan is based on either existing monitoring results or modeling. Verify that the system specific study plan is prepared and submitted to the State according to the schedule in Appendix 13-9b, Table 2. (NOTE: The facility may comply by submitting monitoring results collected before the facility is required to begin monitoring (see Appendix 13-9b) and the monitoring results and analysis meet the following criteria: TTHM and HAA5 results are based on samples collected and analyzed in accordance with 40 CFR 141.131 (see checklist item number WQ.30.4.US, WQ.65.3.US through WQ.65.5.US, and WQ.77.9.US) no earlier than 5 yr prior to the study plan submission date the monitoring locations and frequency must meet the conditions identified in Table 3 of

WQ.77.12.US Eligibility for 40/30 certification at a NTNC water system serving at least 10,000 people using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light requires consistent TTHM and HAA5 compliance. (40 CFR 141.603)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) (NOTE: The facility is eligible for 40/30 certification if the facility had no TTHM or HAA5 monitoring violations under 40 CFR 141, Subpart L and no individual sample exceeded 0.040 mg/L for TTHM or 0.030 mg/L for HAA5 during an eight consecutive calendar quarter period beginning no earlier than the following specified date: if the 40/30 certification is due 1 October 2006; January 2004 if the 40/30 certification is due 1 April 2007; January 2004 if the 40/30 certification is due, 1 October 2007; January 2005 if the 40/30 certification is due 1 April 2008; January 2005. Eight consecutive calendar quarters are not required if the facility is on reduced monitoring under 40 CFR 141, Subpart L and were not required to monitor during the specified period. If the facility did not monitor during the specified period, they
WQ.77.13.US NTNC water systems serving at least 10,000 people and using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must follow certain monitoring location recommendations. (40 CFR 141.605)[Added April 2006].	(NOTE: Compliance with these requirements is not mandatory if the facility serves fewer than 500 people and the facility has taken TTHM and HAA5 samples under 40 CFR 141, Subpart L unless the State notifies the facility that they must conduct standard monitoring or a system specific study. If the facility has not taken TTHM and HAA5 samples under 40 CFR 141, Subpart L or if the State notifies the facility that they must comply, the facility must conduct standard monitoring or a system specific study.) Verify that the IDSE report includes the facility's recommendations and justification for where and during what month(s) TTHM and HAA5 monitoring should be conducted. Verify that the facility bases the recommendations on the following: select the number of monitoring locations specified in Table 4 of Appendix 13-9b unless the State requires different or additional locations distribute locations throughout the distribution system to the extent possible standard monitoring results, system specific study results, and 40 CFR 141, Subpart L compliance monitoring results the following protocols: location with the highest TTHM LRAA not previously selected as a 40 CFR 141, Subpart V monitoring location (see checklist items WQ.77.14.US through WQ.77.19.US and WQ.78.1.US) location
WQ.77.14.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet the Stage 2 disinfection byproducts requirements according to a specific schedule. (40 CFR 141.620)[Added April 2006].	(NOTE: The regulations in 40 CFR 141, Subpart V [40 CFR 141.620 through 141.629, see checklist items WQ.77.14.US through WQ.77.19.US and WQ.78.1.US] establish monitoring and other requirements for achieving compliance with MCLs based on locational running annual averages (LRAA) for total trihalomethanes [TTHM] and haloacetic acids [five] [HAA5], and for achieving compliance with maximum residual disinfectant residuals for chlorine and chloramine for certain consecutive systems. These are also known as the Stage 2 Disinfection Byproducts Requirements.) Verify that the facility complies with the Stage 2 disinfection byproducts requirements according to the following schedule: for systems that are not part of a combined distribution system and systems that serve the largest population in the combined distribution system: if the system serves greater than or equal to 100,000 people, comply with 40 CFR 141, Subpart V (see checklist items WQ.77.14.US through WQ.77.19.US and WQ.78.1.US) monitoring by 1 April 2012 if the system serves between 50,000 and 99,999 people, comply with 40 CFR 141, Subpart V monitoring by 1 October 2012 if the system serves between 10,000 and 49,999 people, comply with 40 CFR 141, Subpart V monitoring by 1 October

WQ.77.15.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet the Stage 2 disinfection byproducts monitoring requirements. (40 CFR 141.621, 141.623, and 141.627)[Added April 2006].	Verify that if the facility submitted an IDSE report, the facility began monitoring at the locations and months recommended in the submitted IDSE report following the schedule in 40 CFR 141.620(c) (see checklist item WQ.40.22.US), unless the State requires other locations or additional locations after its review. Verify that if the facility submitted a 40/30 certification or the facility qualified for a very small system waiver under 40 CFR 141.604 (see checklist item WQ.40.18.US and WQ.40.19.US) the facility monitors at the location(s) and dates identified in the facility monitoring plan. Verify that the facility monitors at no fewer than the number of locations identified in Table 1 of Appendix 13-9c. (NOTE: If the facility is an undisinfected system that begins using a disinfectant other than UV light after the dates for complying with the IDSE requirements [see checklist item WQ.40.18.US], the facility must consult with the State to identify compliance monitoring locations and develop a monitoring plan under 40 CFR 141.622 [see checklist item WQ.77.16.US] that includes those monitoring locations.) Verify that the facility uses an approved method listed in 40 CFR 141.131 (see checklist item number WQ.30.4.US, WQ.65.3.US through WQ.65.5.US, and WQ.77.9.US) for TTHM and HAA5 analyses for the Stage
WQ.77.16.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must develop a Subpart V monitoring plan. (40 CFR 141.622)[Added April 2006].	Verify that the facility develops and implements a monitoring plan to be kept on file for State and public review. Verify that the monitoring plan contains the following elements and is completed no later than the date the facility conducts the initial monitoring under 40 CFR 141, Subpart V (see checklist items WQ.77.14.US through WQ.77.19.US and WQ.78.1.US): monitoring locations monitoring dates compliance calculation procedures monitoring plans for any other systems in the combined distribution system if the State has reduced monitoring requirements. (NOTE: If the facility was not required to submit an IDSE report under either 40 CFR 141.601 or 141.602 (see checklist items WQ.77.10.US and WQ.77.11.US), and the facility does not have sufficient 40 CFR 141, Subpart L monitoring locations (see checklist items WQ.30.4.US, WQ.65.3.US through WQ.65.5.US, and WQ.77.9.US) to identify the required number of 40 CFR 141, Subpart V compliance monitoring locations indicated in 40 CFR 141.605(b) (see checklist item WQ.77.13.US), the facility must identify additional locations by alternating selection of locations representing high TTHM levels and high HAA5 levels until the required number of compliance monitoring locations have been identified. The facility must also provide the rationale
WQ.77.17.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must increase monitoring under certain conditions. (40 CFR 141.625 and 141.628)[Added April 2006].	Verify that, if the facility is required to monitor at a particular location annually or less frequently than annually under 40 CFR 141.621 or 40 CFR 141.623 (see checklist items WQ.77.15.US), the facility increases monitoring to dual sample sets once per quarter (taken every 90 days) at all locations if a TTHM sample is greater than 0.080 mg/L or a HAA5 sample is greater than 0.060 mg/L at any location. (NOTE: The facility is in violation of the MCL when the LRAA exceeds the 40 CFR 141, Subpart V MCLs in 40 CFR 141.64(b)(2) (see checklist item WQ.76.3.US), calculated based on four consecutive quarters of monitoring (or the LRAA calculated based on fewer than four quarters of data if the MCL would be exceeded regardless of the monitoring results of subsequent quarters). The facility is in violation of the monitoring requirements for each quarter that a monitoring result would be used in calculating an LRAA if the facility fails to monitor.) (NOTE: The facility may return to routine monitoring once it has conducted increased monitoring for at least four consecutive quarters and the LRAA for every monitoring location is less than or equal to 0.060 mg/L for TTHM and less than or equal to 0.045 mg/L for HAA5.) (NOTE: If the facility was on increased monitoring under 40 CFR 141.132(b)(1),

WQ.77.18.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must conduct an operational evaluation under certain conditions. (40 CFR 141.626)[Added April 2006].	(NOTE: The facility has exceeded the operational evaluation level at any monitoring location where the sum of the two previous quarters' TTHM results plus twice the current quarter's TTHM result, divided by 4 to determine an average, exceeds 0.080 mg/L, or where the sum of the two previous quarters' HAA5 results plus twice the current quarter's HAA5 result, divided by 4 to determine an average, exceeds 0.060 mg/L.) Verify that, if the facility exceeds the operational evaluation level, the facility conducts an operational evaluation and submits a written report of the evaluation to the State no later than 90 days after being notified of the analytical result that causes the facility to exceed the operational evaluation level. Verify that the written report is made available to the public upon request. Verify that the operational evaluation includes an examination of system treatment and distribution operational practices, including storage tank operations, excess storage capacity, distribution system flushing, changes in sources or source water quality, and treatment changes or problems that may contribute to TTHM and HAA5 formation and what steps could be considered to minimize future exceedances. (NOTE: The facility may request and the State may allow the facility to limit the scope of
WQ.77.19.US A NTNC water system that is a consecutive system that does not add a disinfectant but delivers water treated with a primary or residual disinfectant other than ultraviolet light must meet specific monitoring requirements. (40 CFR 141.624)[Added April 2006].	Verify that, if the facility is a consecutive system that does not add a disinfectant but delivers water that has been treated with a primary or residual disinfectant other than ultraviolet light, the facility meets the following requirements: analytical and monitoring requirements for chlorine and chloramines in 40 CFR 141.131(c) and 141.132(c)(1) (see checklist item number WQ.65.3.US through WQ.65.5.US and WQ.77.9.US) the compliance requirements in 40 CFR 141.133(c)(1) beginning 1 April 2009, unless required earlier by the State report monitoring results under 40 CFR 141.134(c) (see checklist item WQ.30.4.US).
WQ.78.1.US Facilities with NTNC water systems must notify their users about an exceedence of lead in drinking water systems. (40 CFR 141.85(b)(1), 141.85(b)(4), 141.85(b)(5), 141.85(b)(6) and 141.90(f))[March 1995; Revised April 2000; Revised October 2007; Revised January 2008].	Verify that the NTNC delivers a consumer notice of lead tap water monitoring results to persons served by the water system at sites that are tested. Verify that a NTNC water system that exceeds the lead action level based on tap water samples collected in accordance with 40 CFR 141.86 delivers the public education materials contained in Appendix 13-7a. Verify that, for NTNC water systems serving a large proportion of non-English speaking consumers, as determined by the State, the public education materials contains information in the appropriate language(s) regarding the importance of the notice or contain a telephone number or address where persons served may contact the water system to obtain a translated copy of the public education materials or to request assistance in the appropriate language. Verify that, within 60 days after the end of the monitoring period in which the exceedance occurred (unless it already is repeating public education tasks), a NTNC water system delivers the public education materials specified Appendix 13-7a: informational posters on lead in drinking water are posted in a public place or common area in each of the buildings served by the system informational pamphlets and/or brochures on lead in drinking water are distributed to each person served by the

WQ.78.2.US NTNC water systems are required to meet specific standards for lead and copper action levels and reporting requirements when these levels are exceeded. (40 CFR 141.80(a)(1), 141.80(c), 141.85(c), 141.80(g), and 141.85(d))[March 1995; Reviewed March 2000; Revised January 2008].	Verify that the concentration of lead does not exceed 0.015 mg/L in more than 10 percent of tap water samples collected during any monitoring period. Verify that the concentration of copper does not exceed 1.3 mg/L in more than 10 percent of tap water samples collected during any monitoring period. Verify that a NTNC water system that fails to meet the lead action level on the basis of tap samples collected in accordance with 40 CFR 141.86 offers to sample the tap water of any customer who requests it. (NOTE: The system is not required to pay for collecting or analyzing the sample, nor is the system required to collect and analyze the sample itself.) (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.) Verify that the water system provides a consumer notice of lead tap water monitoring results to persons served at the sites (taps) that are tested. Verify that the NTNC water system provides a notice of the individual tap results from lead tap water monitoring carried out under the requirements of 40 CFR 141.86 to the persons served by the water system at the specific sampling site from which the sample was taken (e.g., the occupants of the residence where the tap was tested). Verify that a NTNC water system provides the consumer notice as soon as practical, but no
WQ.78.3.US NTNC water systems are required to install and operate optimal corrosion control. (40 CFR 141.80(d) and 141.82)[March 1995; Reviewed March 2000].	Verify that the water system has corrosion control that minimizes the lead and copper concentrations at users' taps while insuring that the treatment does not cause the water system to violate any of the national primary drinking water standards. (NOTE: Please see 40 CFR 141.81 for design details for corrosion control systems in relationship to the size of the water system.) (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.78.4.US NTNC systems that exceed the lead or copper action level are required to implement applicable source water treatment standards. (40 CFR 141.80(e) and 141.83)[March 1995; Reviewed March 2000; Revised October 2007].	Verify that systems exceeding the lead or copper action level complete lead and copper source water monitoring and make a treatment recommendation to the State no later than 180 days after the end of the monitoring period during which the lead or copper action level was exceeded. Verify that, if the state requires the installation of source water treatment, the installation is done within 24 mo after the state's initial response. Verify that follow-up tap water monitoring and source water monitoring is completed within 36 mo after the state's initial response. (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.78.5.US Facilities with NTNC water systems exceeding the lead action level after implementation of corrosion control and source water treatment requirements are required to replace lead service lines. (40 CFR 141.80(f) and 141.84)[March 1995; Reviewed March 2000].	Verify that lead service line replacement, if required, is done according to the schedules and parameters outlined in 40 CFR 141.84. (NOTE: A system is not required to replace an individual lead service line if the lead concentration in all service line samples from that line is less than or equal to 0.015 mg/L.) (NOTE: Replacement of lead service lines can stop when the first draw samples that are collected meet the lead action levels during two consecutive monitoring periods and the system submits the results to the state.) (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)

WQ.78.6.US Monitoring for lead and copper at NTNC water systems is required to start on a specified date and be done at a specified number of sites according to the chart in Appendix 13-7. (40 CFR 141.86(a)(1) 141.86(a)(6) through 141.86(a)(8), 141.86(c), 141.86(d) through 141.86(g))[March 1995; Reviewed March 2000; Revised April 2000; Citation Revised January 2008].	Verify that water systems have completed a materials evaluation of its distribution system to identify a pool of targeted sampling sites and which is sufficiently large to ensure that the water system can collect the number of samples required. (NOTE: Sampling sites may not include point-of-use or point-of-entry treatment devices designed to remove inorganic contaminants.) (NOTE: See Appendix 13-7 for details on the required number of samples and when the sampling program is required to start.) Verify that selected sampling sites (tier 1 sampling sites) for NTNC water systems consist of buildings that: - contain copper pipes with lead solder installed after 1982 or contain lead pipes - are served by a lead service line. (NOTE: An NTNC water system with insufficient tier 1 sites that meet the targeting criteria shall complete its sampling pool with sampling sites that contain copper pipes with lead solder installed before 1983. If additional sites are needed to complete the sampling pool, the NTNC water system shall use representative sites throughout the distribution system. A representative site is a site in which the plumbing materials used at that site would be commonly found at other sites served by the water system.) Verify that any water system with a distribution system that contains lead service lines
WQ.78.7.US All large water systems and all small and medium size systems that exceed the lead or copper action level are required to monitor for water quality parameters in addition to lead and copper. (40 CFR 141.87)[March 1995; Reviewed March 2000; Citation Revised April 2007].	Verify that monitoring for water quality parameters is done according to Appendix 13-8. (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.78.8.US NTNC water systems, that fail to meet the lead or copper action levels, are required to meet specific monitoring requirements. (40 CFR 141.80(h) and 141.88)[March 1995; Revised April 2000; Revised October 2007; Revised January 2008].	Verify that groundwater systems that fail to meet the lead or copper action level on the basis of tap samples take a minimum of one sample at every entry point to the distribution system that is representative of each well after treatment (hereafter called a sampling point). Verify that the groundwater system takes one sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. Verify that surface water systems that fail to meet the lead or copper action level on the basis of tap samples take a minimum of one sample at every entry point to the distribution system after any application of treatment or in the distribution system at a point that is representative of each source after treatment (a sampling point). Verify that the surface water system takes each sample at the same sampling point unless conditions make another sampling point more representative of each source or treatment plant. (NOTE: For the purposes of this checklist item, surface water systems include systems with a combination of surface and ground sources.) Verify that, if a system draws water from more than one source and the sources are combined before distribution, the system samples at an entry point to the distribution system during periods

WQ.78.9.US In reference to lead and copper in water systems, NTNC water systems are required to report specific information to the state. (40 CFR 141.90(a) through 141.90(e), 141.90(g), and 141.90(h))[March 1995; Revised April 2000; Revised October 2007; Revised January 2008].	Verify that a water system reports the following information for all tap water samples specified in 40 CFR 141.86 (see checklist item WQ.78.6.US.) and for all water quality parameter samples specified in 40 CFR 141.87 (see checklist item WQ.78.7.US.) within the first 10 days following the end of each applicable monitoring period (i.e., every 6 mo, annually, every 3 yr, or every 9 yr): - the results of all tap samples for lead and copper, including the location of each site and the criteria under which the site was selected for the system's sampling pool - documentation for each tap water lead or copper sample for which the water system requests invalidation - the 90th percentile lead and copper concentrations measured from among all lead and copper tap water samples collected during each monitoring period, unless the state calculates the system's 90th percentile lead and copper levels - any site that was not sampled during previous monitoring periods and why the sampling sites have changed - the results of all tap samples for pH, and where applicable, alkalinity, calcium, conductivity, temperature, and orthophosphate or silica - the results of all water samples collected at the entry points to the distribution system for applicable water quality parameters under 40 CFR 141.87(b) through 40 CFR
WQ.78.10.US All NTNC systems subject to the lead and copper requirements are required to retain onsite all the original records of sampling data, analysis, reports, surveys, letters, evaluations, state determinations, and any other pertinent documents for at least 12 yr. (40 CFR 141.80(j) and 141.91)[March 1995; Reviewed March 2000].	Verify that records are kept onsite for 12 yr. (NOTE: See checklist item WQ.76.1.US for clarification on NTNC water systems.)
WQ.79.1.US NTNC water systems using a primary or residual disinfectant other than ultraviolet light or delivering water that has been treated with a primary or residual disinfectant other than ultraviolet light must meet reporting and recordkeeping requirement. (40 CFR 141.629)[Added April 2006].	Verify that the facility reports the following information for each monitoring location to the State within 10 days of the end of any quarter in which monitoring is required: number of samples taken during the last quarter date and results of each sample taken during the last quarter arithmetic average of quarterly results for the last four quarters for each monitoring location (LRAA), beginning at the end of the fourth calendar quarter that follows the compliance date and at the end of each subsequent quarter whether, based on 40 CFR 141.64(b)(2) and 40 CFR 141, Subpart V (see checklist items WQ.77.14.US through WQ.77.19.US and WQ.78.1.US), the MCL was violated at any monitoring location any operational evaluation levels that were exceeded during the quarter and, if so, the location and date, and the calculated TTHM and HAA5 levels. (NOTE: If the LRAA calculated based on fewer than four quarters of data would cause the MCL to be exceeded regardless of the monitoring results of subsequent quarters, the facility must report this information to the State as part of the first report due following the compliance date or anytime thereafter that this determination is made. If the facility is required to conduct monitoring at a frequency that is less than quarterly, the facility must make compliance

WQ.80.1.US Transient noncommunity water systems are required to conduct monitoring to determine compliance for nitrate and nitrite levels according to specific parameters. (40 CFR 141.23(d) through 141.23(f))[March 1995; Revised March 2000; Revised July 2000].	Verify that transient noncommunity water systems monitor annually for nitrate starting 1 January 1993. Verify that, when the MCL for nitrate is exceeded, transient noncommunity water systems do repeat monitoring quarterly for at least 1 yr following any one sample in which the concentration exceeds more than 50 percent of the MCL. Verify that transient noncommunity water systems take one sample at each sampling point in the compliance period beginning 1 January 1993 and ending 31 December 1995 for nitrite. (NOTE: After the initial sample, systems where an analytical result for nitrite is less than 50 percent of the MCL will monitor at the frequency specified by the state.) Verify that transient noncommunity systems repeat monitoring for nitrites quarterly for at least 1 yr after any one sample is greater than 50 percent of the MCL. Verify that systems, which are monitoring annually for nitrites, take each subsequent sample during the quarters that previously resulted in the highest analytical result. Verify that, when nitrate or nitrite samples indicate an exceedence of the MCL, a confirmation sample is taken within 24 h of receipt of the results of the first sample (NOTE: If the system is unable to take a confirmation sample within 24 h, it must notify consumers of the exceedence and meet
WQ.80.2.US Transient noncommunity water systems are required to meet specific MRDLs related to disinfection. (40 CFR 141.65(a), and 141.65(b)(2))[Added January 1999; Revised March 2000; Revised January 2001; Revised April 2001].	Verify that transient noncommunity water systems meet the MRDLs outlined in Appendix 13-9. (NOTE: The MCL standards in Appendix 13-9 are not applicable.) (NOTE: This requirement applies to Subpart H systems serving 10,000 or more persons and using chlorine dioxide as a disinfectant or oxidant beginning 1 January 2002. Subpart H systems serving fewer than 10,000 persons and using chlorine dioxide as a disinfectant or oxidant and systems using only groundwater not under the direct influence of surface water and using chlorine dioxide as a disinfectant or oxidant must comply with the MRDL beginning 1 January 2004.) (NOTE: A transient water system must also meet the requirements for a public water system and for noncommunity water systems. It is defined as a noncommunity water system that does not regularly serve at least 25 of the same person over 6 mo per year.)
WQ.95.1.US Projects that may affect the recharge zone or stream flow source zone of a designated sole source aquifer are regulated. (40 CFR 149.103 and 149.104)[Revised May 1996].	(NOTE: Currently the only Federally designated sole source aquifers are the Edwards Aquifer in the San Antonio, TX area and the Buried Valley Aquifer System in southwest Ohio.) Determine if the facility is located near a designated sole source aquifer. Determine if the facility uses water from the aquifer, what impact water use may have on the aquifer, and if the water system requires additional treatment to protect the aquifer. Verify that the facility maintains a list of projects for which environmental impact statements will be prepared. Verify that if any projects may potentially cause direct or indirect contamination through its recharge zone a petition has been submitted to the USEPA regional administrator.