

CalARP Checklist Summary of Violations – Program Level 2 Facilities

This is an inspection element checklist of common types of violations of Federal, State, or local laws and regulations. For specific details about your inspection, refer to your Notice to Comply (NTC).

CERS VIOLATION NUMBER	AUTHORITY	DESCRIPTION
General		
Permit		
AP098	SCC 6.96.030	Has an active permit for CalARP covered process(es)
General Applicability		
Q096	19 CCR 4.5 2735.4(a)(1)	Complied with CalARP provisions when having a RS in a process listed in Table 1/2
Q097	19 CCR 4.5 2735.4(a)(2)	Complied with CalARP provisions when having a RS in a process listed in Table 3
Q098	19 CCR 4.5 2735.4(a)(3)	Complied with CalARP provisions when having a RS in a process listed in Table 1/2 and 3
Coordination		
Q099	19 CCR 4.5 2735.5(a)	Closely coordinated with the CUPA to implement the CalARP requirements
Management System		
Q102	19 CCR 4.5 2735.6(a)	Developed a management system to oversee the implementation of the risk management program elements
Q103	19 CCR 4.5 2735.6(b)	Assigned a qualified person or position who has the overall responsibility for the RMP elements
Q104	19 CCR 4.5 2735.6(c)	Documented the names or positions and lines of authority through an organization chart or document
RMP Components and Submission		
RMP Submission		
Q106	19 CCR 4.5 2735.5(b)(1), 2745.1(a)	Submitted a RMP which includes all requirements in Section 2745.3 through 2745.9
Q107	19 CCR 4.5 2745.1(b)(1), 2745.1(b)(2)	Submitted the RMP information required by the USEPA to the USEPA
Q108	19 CCR 4.5 2745.1(c)	Submitted the RMP information required by the USEPA to the CUPA
Q112	19 CCR 4.5 2745.1(d)	Submitted a RMP to the CUPA prior to the date a RS is in a process above the threshold quantity
Q110	19 CCR 4.5 2745.1(h)	Excluded classified information from the RMP
RMP Certification		
Q111	19 CCR 4.5 2745.2(a)	Ensured that the RMP is certified complete by a qualified person and the owner or operator
Q114	19 CCR 4.5 2745.9(b)	Submitted in the RMP the certification statement provided in Section 2745.9(b)
RMP Updates		
Q118	19 CCR 4.5 2745.10(a)	Revised, updated, and submitted the RMP to the USEPA and CUPA per timelines in Section 2745.10(a)
Q121	19 CCR 4.5 2745.10(b)	Revised, updated, and submitted the RMP to the CUPA per timelines in Section 2745.10(b)
Q115	19 CCR 4.5 2745.10(c)	Submitted a de-registration to the USEPA and CUPA within six months of the RS removal
Q116	19 CCR 4.5 2745.10(d)	Submitted a de-registration to the CUPA within six months of the RS removal
Q117	19 CCR 4.5 2745.10(f)	Contacted the CUPA within 30 days of a change of owner or operator to update the registration

RMP Corrections		
Q124	19 CCR 4.5 2745.10.5(a)	Corrected and submitted the data required in the RMP under sections 2745.5, 2745.6(j), and 2745.7(l)
Q119	19 CCR 4.5 2745.10.5(b)	Corrected and submitted the emergency contact information in the RMP within one month of any change
Covered Process Modification		
Q120	19 CCR 4.5 2745.11(a)(1)	Notified the CUPA in writing at least five calendar days before implementing any modifications
Q122	19 CCR 4.5 2745.11(a)(2)	Notified the CUPA within 48 hours after the modification where prenotification is not reasonable
Certificate of Occupancy		
Q123	19 CCR 4.5 2745.12	Complied with Government Code Section 65850.2(b) prior to issuance of a certificate of occupancy
RMP Review		
Q125	19 CCR 4.5 2745.2(b)(1)	Corrected deficiencies within 60 calendar days from receipt of the notification of RMP deficiencies
Registration		
Q126	19 CCR 4.5 2735.5(b)(2)	Included a registration in the RMP that reflects all covered processes
Q127	19 CCR 4.5 2740.1(a)	Completed the registration information and submitted it with the RMP to the USEPA and the CUPA
Q128	19 CCR 4.5 2740.1(b)	Completed the registration information and submitted it with the RMP to the CUPA
Q129	19 CCR 4.5 2740.1(c)	Submitted a registration with a certification of accuracy to the CUPA prior to submittal of the RMP
Q130	19 CCR 4.5 2740.1(d)	Included the data required in Section 2740.1 (d)(1) through (d)(20) in the registration
Hazard Assessment		
General Applicability		
Q133	19 CCR 4.5 2750.1	Conducted a hazard assessment that complies with Sections 2750.2 through 2750.9
Other Requirements		
Recordkeeping		
Q134	19 CCR 4.5 2775.1	Maintained records supporting the implementation of CalARP for five years unless otherwise provided
Q135	19 CCR 4.5 2785.1(a)	Coordinated with CUPA to ensure appropriate technical standards are applied to implement CalARP
Q136	19 CCR 4.5 2785.1(b)	Requested assistance from the CUPA when necessary to address compliance/safety issues with CalARP
Emergency Response Program		
Emergency Response Applicability		
Q137	19 CCR 4.5 2765.1(b)	Stationary source whose employees will not respond to releases met all applicable requirements
Emergency Response - Responding		
Q143	19 CCR 4.5 2765.2(a)	Developed and implemented an emergency response program according to Section 2765.2(a)
Q147	19 CCR 4.5 2765.2(b)	Coordinated the ERP with the community ERP
Q150	19 CCR 4.5 2765.2(c)	Provided LEPC or ER officials information for developing and implementing the community ERP
Program 2 Prevention Program		
Safety Information		
Q153	19 CCR 4.5 2755.1(a)	Compiled and maintained up-to-date safety information related to the RS, processes, and equipment
Q155	19 CCR 4.5 2755.1(b)	Ensured the process is designed in compliance with recognized and accepted engineering practices
Q156	19 CCR 4.5 2755.1(c)	Updated the safety information when a major change occurs that makes the information inaccurate
Hazard Review (HR)		
Q157	19 CCR 4.5 2755.2(a)	Conducted a review of the hazards associated with the RS, process, and procedures
Q158	19 CCR 4.5 2755.2(b)	Consulted with the CUPA to decide which hazard review methodology is best suited for the process

AP099	19 CCR 4.5 2755.2(c)	HR performed by team familiar with process and person with experience/knowledge specific to process
Q159	19 CCR 4.5 2755.2(c)	Determined the process is designed, fabricated, and operated in accordance with applicable standards
Q160	19 CCR 4.5 2755.2(d)	Included the consideration of external events, including seismic events in the hazard review
Q161	19 CCR 4.5 2755.2(e)	The hazard review addressed all requirements in Section 2755.2(e)
Q162	19 CCR 4.5 2755.2(f)	Updated and revalidated the hazard review at least once every 5 years
Q163	19 CCR 4.5 2755.2(f)	Updated and revalidated the hazard review whenever a major change in the process occurs
Q164	19 CCR 4.5 2755.2(f)	Resolved all issues identified in the hazard review before startup of the changed process
AP100	19 CCR 4.5 2755.2(g)	Hazard review only revalidated once between full reviews unless CUPA agrees in writing
AP101	19 CCR 4.5 2755.2(h)	Retained all HR's, updates/revalidations, and documented resolution of recommendations
Operating Procedures		
Q165	19 CCR 4.5 2755.3(a)(b)	Prepared written operating procedures that provide clear instructions for each covered process
Q166	19 CCR 4.5 2755.3(c)	Ensured operating procedures are developed/updated as necessary
Training		
Q167	19 CCR 4.5 2755.4(a)	Employees operating a process have been trained or tested competent in the operating procedures
Q168	19 CCR 4.5 2755.4(b)	Employees operating a process provided refresher training on operating procedures every three years
Q169	19 CCR 4.5 2755.4(d)	Operators trained in updated or new procedures prior to using the procedures
AP102	19 CCR 4.5 2755.4(e)	Initial and refresher training documented
Maintenance		
Q170	19 CCR 4.5 2755.5(a)	Prepared/Implemented written procedures to maintain the mechanical integrity of process equipment
Q171	19 CCR 4.5 2755.5(b)	Employees conducting maintenance are trained on requirements in Section 2755.5(b)
Q172	19 CCR 4.5 2755.5(c)	Documented that contract employees are trained to perform the maintenance procedures
Q175	19 CCR 4.5 2755.5(d)	Maintenance inspections and tests performed according to Section 2755.5(d)
Compliance Audits		
Q173	19 CCR 4.5 2755.6(a)	Certified the evaluation of compliance with Program Level 2 provisions at least every three years
Q174	19 CCR 4.5 2755.6(b)	Conducted the compliance audit by at least one person knowledgeable in the process
Q176	19 CCR 4.5 2755.6(c)	Developed a report of the audit findings
Q177	19 CCR 4.5 2755.6(d)	Promptly determined and documented response to audit findings, including correction of deficiencies
Q178	19 CCR 4.5 2755.6(e)	Retained the two most recent compliance audit reports
Incident Investigation		
Q179	19 CCR 4.5 2755.7(a)	Investigated each incident that resulted or could reasonably have resulted in a catastrophic release
Q180	19 CCR 4.5 2755.7(b)	Initiated incident investigations within 48 hours of the incident
Q181	19 CCR 4.5 2755.7(c)	Prepared a summary of the investigation at the conclusion of the investigation
Q182	19 CCR 4.5 2755.7(d)	Promptly addressed and resolved the investigation findings and recommendations
Q183	19 CCR 4.5 2755.7(d)	Documented resolutions and corrective actions with actual completion dates
Q184	19 CCR 4.5 2755.7(e)	Reviewed the incident investigation findings with all affected personnel
Q185	19 CCR 4.5 2755.7(f)	Retained investigation summaries for five years

RETURN TO COMPLIANCE STATEMENT

This *Return To Compliance Statement* must be returned to EMD within 19 days of your facility's inspection for Priority Corrective Action violations and within 35 days for all other violations (unless otherwise noted on the Notice To Comply.) Also include copies of any proof of compliance documents (e.g. photos, copies of manifests/disposal records or receipts, or other original paperwork.)

Compliance Certification

1. I certify that the violations noted on the Notice To Comply (and accompanying inspection checklists) have been corrected in the manner indicated below.
2. I have personally examined any attached documentation submitted as proof of compliance and I believe the information to be true, accurate and complete.
3. I am aware that there are significant penalties for submitting false information and/or for non-compliance with violations noted.
4. I declare under penalty of perjury that the foregoing certification is true and correct.

Executed at: _____, California Date: _____

Facility Name: _____ Facility ID#(FA): _____

Signature: _____ Printed Name: _____

Position/Title: _____

SUMMARY OF VIOLATION COMPLIANCE ACTION

Violation Number	Check Type of Evidence Submitted			Violation Number	Check Type of Evidence Submitted			Violation Number	Check Type of Evidence Submitted		
	Photo	Paperwork	Statement		Photo	Paperwork	Statement		Photo	Paperwork	Statement
AP098	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q134	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q174	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q096	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q135	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q176	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q097	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q136	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q177	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q098	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q137	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q178	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q099	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q143	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q179	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q102	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q147	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q180	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q103	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q150	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q181	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q104	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q153	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q182	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q106	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q155	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q183	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q107	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q156	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q184	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q108	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q157	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q185	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q112	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q158	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q110	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AP099	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q111	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q159	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q114	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q160	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q118	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q161	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q121	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q162	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q115	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q163	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q116	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q164	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q117	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AP100	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q124	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AP101	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q119	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q165	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q120	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q166	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q122	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q167	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q123	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q168	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q125	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q169	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q126	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AP102	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q127	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q170	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q128	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q171	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q129	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q172	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q130	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q175	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Q133	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Q173	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				