



Indiana Department of Environmental Management



Your Environmental Training Resource

Hazardous Waste Generator Overview

Presented Virtually on Jan. 9, 2024

**Due to Technical Issues, Re-recorded First Section on Jan. 12, 2024*



Senior Environmental Manager



Indiana Department of Environmental Management
Office of Program Support
Northwest Regional Office
Compliance & Technical Assistance Program (CTAP)



Senior Environmental Manager



Indiana Department of Environmental Management
Office of Program Support
Compliance & Technical Assistance Program (CTAP)



Compliance and Technical
Assistance Program

CTAP was established to **help** Indiana businesses **achieve** **compliance** with environmental regulations. We are experts on air, water, and waste regulations, and knowledgeable about current environmental issues and new technologies. We can assess the environmental compliance of your entire facility, or we can help you address concerns about a particular process or regulation.



CTAP Services

CTAP
Hotline
or Email

Site
Assessment

Training

Online
Resources



Before We Get Started.. Let's Test Your Generator Knowledge



Question #1

Hazardous waste is defined as a solid waste that may:

- A. Cause or contribute to an increase in mortality (death)
- B. Cause or contribute to serious, irreversible, or incapacitating reversible illness
- C. Pose a substantial hazard to human health or the environment either presently or in the future
- D. All of the Above



Question #2

Which of the following **is not** a category of a hazardous waste generator?

- A. Conditionally Exempt Small Quantity Generator (CESQG)
- B. Very Small Quantity Generator (VSQG)
- C. Small Quantity Generator (SQG)
- D. Large Quantity Generator (LQG)



Question #3

How does the generator determine if they have a hazardous waste?

- A. Waste is a “solid waste”
- B. Listed as a hazardous waste
- C. Characteristics of the waste (ignitability, corrosivity, reactivity, or toxicity.)
- D. All of the Above



Question #4

Which of the following is your hazardous waste generator status?

- A. Very Small Quantity Generator
- B. Small Quantity Generator
- C. Large Quantity Generator
- D. Does Not Generate Hazardous Waste
- E. Unknown



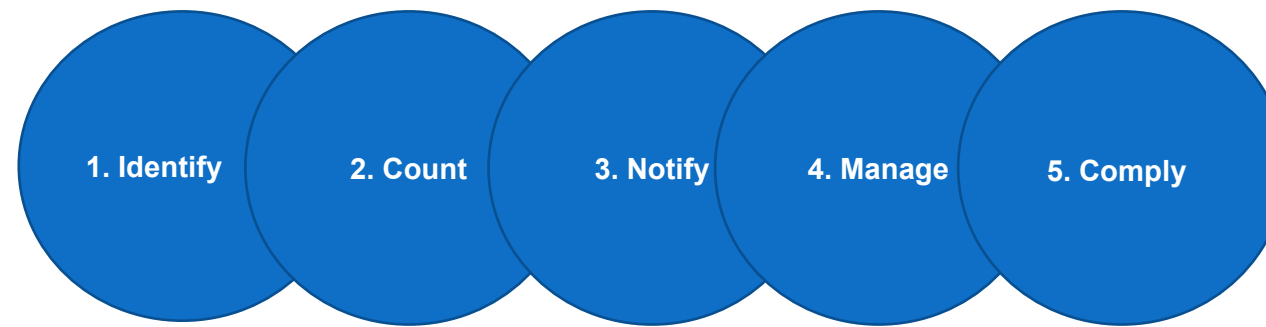
Top Ten IDEM Inspector Findings (Last 10 Years)

1. Failure to make hazardous waste determinations
2. Satellite **accumulation** violations
3. Used oil container **labeling**
4. Annual manifest **reporting**
5. Personnel **training** violations
6. Universal waste management
7. Containers **accumulation date**
8. Container **labeling**
9. Small quantity generator **labeling**
10. Small quantity generator **information posting**



Overview

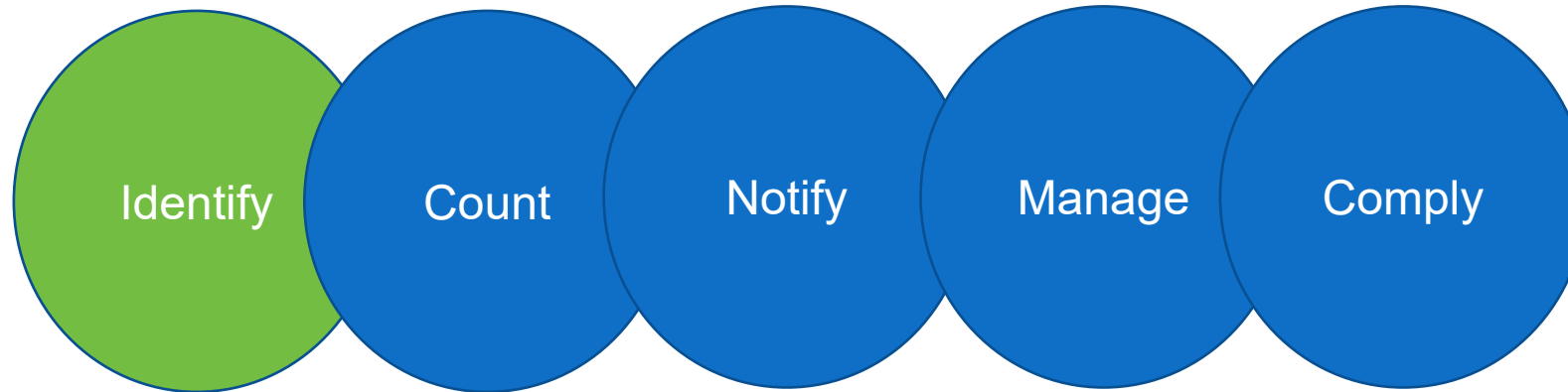
1. How to **IDENTIFY** if you are a generator of hazardous waste
2. How to **COUNT** your waste to determine generator status
3. How to **NOTIFY** IDEM of your generator status activities
4. How to **MANAGE** your hazardous waste and records
5. How to **COMPLY** with regulation requirements



Five Steps for Generators to Comply with Hazardous Waste Regulations



Step 1 – Identify Are YOU a Generator?



As a person operating a business in Indiana, **YOU** are responsible for ensuring that any waste you generate is managed properly.

*A hazardous waste generator is any person who produces a hazardous waste as listed or characterized in part [261 of title 40 of the Code of Federal Regulations](#) (CFR). If you generate hazardous waste, the regulations with which you must comply vary depending on the amount of hazardous waste you generate in a month or accumulate on site (also known as your Generator Category or Status).



How to Determine if you are a Generator



Assess solid wastes (e.g., liquid, solid, semisolid, or contained gasses) your facility generates, treats, stores, or sends off-site for recycling to determine if any of these are hazardous waste under the Resource Conservation and Recovery Act (RCRA).

Some common activities that generate hazardous waste include:

- Building or facility maintenance
- Carpentry
- Cleaning, degreasing
- Diagnostic or laboratory testing
- Drycleaning
- Furniture or wood refinishing, stripping, staining
- Painting
- Pesticide application or cleanup
- Photo processing
- Printing
- Manufacturing and sales of paints, solvents, cleaners, fertilizers, pesticides
- Vehicle or equipment maintenance and repair

* It is important to note, many “household” products meet the definition of hazardous waste when disposed, so do not dismiss an item because it’s a common product.



Common Hazardous Wastes Generated By Businesses

Type of Business	How It's Generated	Typical Wastes	Waste Codes
Dry cleaning	Commercial dry-cleaning processes	Distillation residues, spent filter cartridges, cooked powder residues, spent solvents, unused perchloroethylene	D001, D039, F002, F005, U210
Furniture manufacturing and refinishing	Construction and surface preparation, staining and painting, finishing, brush and spray brush cleaning	Ignitable wastes, toxic wastes, solvent wastes, paint wastes	D001–D003, D007, D008, D035, D040 F001–F003, F005, U002, U080, U159, U161, U220, U223, U239
Construction, demolition, and renovation	Land-clearing, wrecking, and demolition; heavy construction; carpentry and floorwork; paint preparation and painting; specialty contracting activities	Ignitable wastes, toxic wastes, solvent wastes, paint wastes, used oil, acids/bases	D001, D002, D004, D006–D009, D018, D021, D023–D026, D034, D035, D037, D040, F001–F003, F005, U002, U037, U080, U131, U159, U161, U220, U239
Laboratories	Diagnostic and other laboratory testing	Spent solvents, unused reagents, reaction products, testing samples, contaminated materials	D001, D002, D003, F001–F005, U211
Vehicle maintenance	Air conditioner maintenance; body repair and refinishing; car washing; battery and oil/fluids replacement; rustproofing, painting, and paint removal; parts washing and degreasing; radiator repair; product storage and storage tank cleaning; shop cleanup	Acids/bases, solvents, ignitable wastes, toxic wastes, paint wastes, spent rags and wipes, batteries, used oil, oil filters, unused cleaning chemicals, airbag inflators	D001, D002, D003, D006–D008, D018, D035, D040, F001–F002, F005, U002, U075, U080, U134, U154, U159, U161, U220, U228, U239



Common Hazardous Wastes Generated by Businesses - Continued

Type of Business	How It's Generated	Typical Wastes	Waste Codes
Printing	Using ink in lithography, letterpress, screen printing, flexography, and gravure; plate processing; cleaning printing equipment; developing negatives and prints; printing processes	Acids/bases, heavy metal wastes, spent organic solvents, toxic wastes, waste and unused ink, unused chemicals	D001, D002, D005–D007, D008, D011, D018, D019, D021, D035, D039, D040, D043, F001–F005, U002, U019, U043, U055, U056, U069, U080, U112, U122, U154, U159, U161, U210, U211, U220, U223, U226, U228, U239, U259, U359
Equipment repair	Degreasing, equipment cleaning, rust removal, paint preparation, painting, paint removal, spray booth, spray guns, and brush cleaning	Acids/bases, toxic wastes, ignitable wastes, paint wastes, solvents	D001, D002, D006, D008, F001–F005
Pesticide end users/ application services	Pesticide application and cleanup	Used/unused pesticides, solvent wastes, ignitable wastes, contaminated soil (from spills), contaminated rinse water, empty containers	D001, F001–F005, U129, U136, P094, P123
Educational and vocational shops	Automobile engine and body repair, metalworking, graphic arts-plate preparation, woodworking	Ignitable wastes, solvent wastes, acids/bases, paint wastes	D001, D002, F001–F005
Photo processing	Processing and developing negatives/prints; washing, stabilizing, system cleaning	Acid regenerants, dichromate-based and system cleaners, photographic activators, corrosive and ignitable wastes, silver	D001, D002, D007, D011
Leather manufacturing	Soaking; hair removal, deliming, bating; tanning; retanning, dyeing, fatliquoring; buffing coating	Acids/bases, ignitable wastes, toxic wastes, solvent wastes, unused chemicals, wastewater, suspended solids, alcohols	D001, D002, D003, D007, D035, F001–F005



E201: Waste Determinations – Beyond Basics

Presented on September 29, 2022

on.in.gov/E101

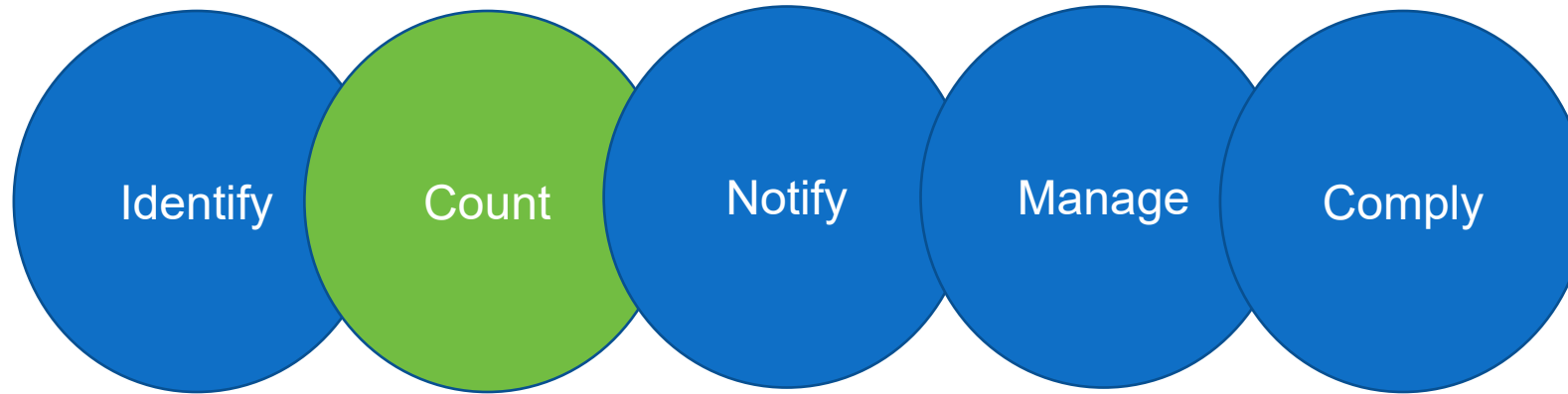
Overview

Waste Determinations

- General
 - What is it? Why is it important?
 - How and when do I start?
 - Definitions
- Hazardous Waste Determination Process
 - Solid Waste
 - Exclusions and Exemptions
 - Characteristic and Listed
- Putting it all together

Questions?

Step 2 - Count Your Waste



Average Weight of Containers Filled with Water (using 8.34 lbs. per gallon)

Steel-Lined Drums

- 507 lbs. (55 gallon)
- 277 lbs. (30 gallon)
- 139 lbs. (15 gallon)



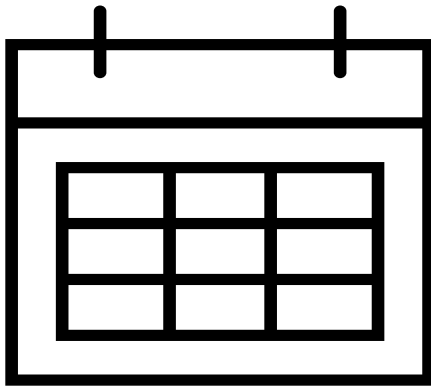
Plastic Drum

- 484 lbs. (55 gallon)
- 264 (30 gallon)
- 132 lbs. (15 gallon)

5-gallon bucket – 43 lbs.

Hazardous Waste Generator

Generator status is determined by the **total amount of hazardous waste generated in a month**, not an average, not per waste stream, and not the quantity shipped.



There are three (3) hazardous waste generator categories ([40 CFR 262.13](#)):

- Very Small Quantity Generator (VSQG)
- Small Quantity Generator (SQG)
- Large Quantity Generator (LQG)



Very Small Quantity Generator (VSQG)

An VSQG is a generator who generates **less than or equal to** the following amounts in a calendar month:

1. 100 kilograms (220 lbs.) of non-acute hazardous waste; and
2. 1 kilogram (2.2 lbs.) of acute hazardous waste listed in [40 CFR 261.31](#) or [40 CFR 261.33\(e\)](#); and
3. 100 kilograms (220 lbs.) of any residue or contaminated soil, water, or other debris resulting from the cleanup of a spill, into or on any land or water, of any acute hazardous waste listed in 40 CFR 261.31 or in 40 CFR 261.33(e).

VSQGs may not store more than 1,000 kg (2,200 lbs.) of hazardous waste or 1 kg (2.2 lbs.) of acute hazardous waste on site at any time.



Small Quantity Generator (SQG)

An SQG is a generator who generates the following amounts in a calendar month:

1. Greater than 100 kilograms (220 lbs.) but less than 1,000 kilograms (2,200 lbs.) of non-acute hazardous waste; and
2. Less than or equal to 1 kilogram (2.2 lbs.) of acute hazardous waste listed in [40 CFR 261.31](#) or [40 CFR 261.33\(e\)](#); and
3. Less than or equal to 100 kilograms (220 lbs.) of any residue or contaminated soil, water, or other debris resulting from the cleanup of a spill, into or on any land or water, of any acute hazardous waste listed in 40 CFR 261.31 or 40 CFR 261.33(e).

SQGs may not store more than 6,000 kg (13,200 lbs.) of hazardous waste on site at any time.



Large Quantity Generator (LQG)

An LQG is a generator who generates any of the following amounts in a calendar month:

1. Greater than or equal to 1,000 kilograms (2,200 lbs.) of non-acute hazardous waste; or
2. Greater than 1 kilogram (2.2 lbs.) of acute hazardous waste listed in [40 CFR 261.31](#) or [40 CFR 261.33\(e\)](#); or
3. Greater than 100 kilograms (220 lbs.) of any residue or contaminated soil, water, or other debris resulting from the cleanup of a spill, into or on any land or water, of any acute hazardous waste listed in 40 CFR 261.31 or 40 CFR 261.33(e).





Generators of both acute and non-acute hazardous wastes

Determine separately the resulting generator categories for the quantities of acute and non-acute hazardous waste generated using the Table 1 in [40 CFR 262.13](#) (below)

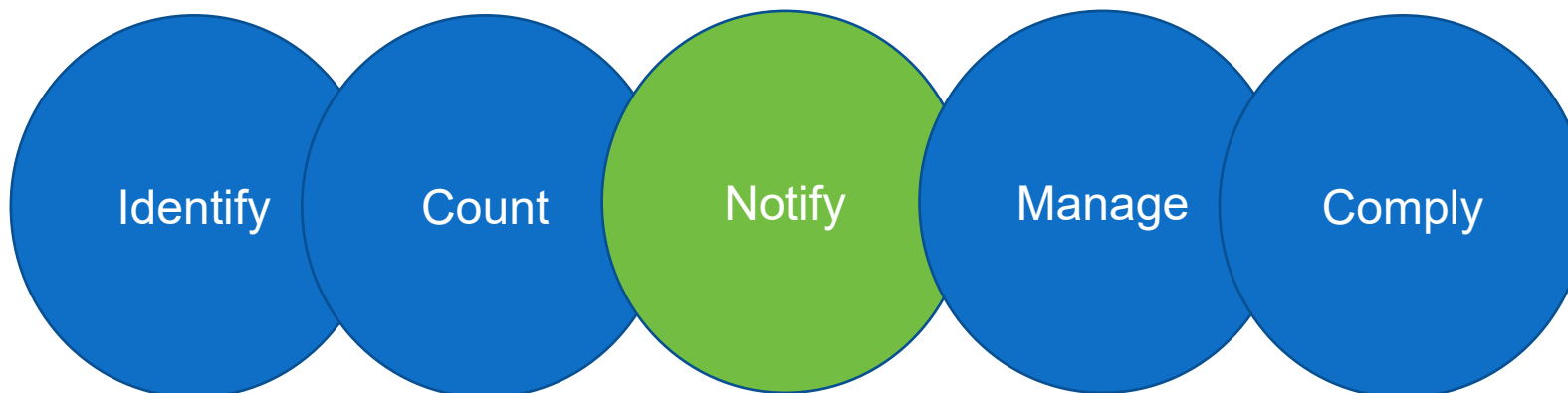
Quantity of acute hazardous waste generated in a calendar month	Quantity of non-acute hazardous waste generated in a calendar month	Quantity of residues from a cleanup of acute hazardous waste generated in a calendar month	Generator category
> 1 kg (2.2 lbs.)	Any amount	Any amount	LQG
Any amount	≥ 1,000 kg (2,200 lbs.)	Any amount	LQG
Any amount	Any amount	> 100 kg (220 lbs.)	LQG
-	> 100 kg (220 lbs.) and < 1,000 kg (2,200 lbs.)	≤ 100 kg (220 lbs.)	SQG
≤ 1 kg (2.2 lbs.)	≤ 100 kg (220 lbs.)	≤ 100 kg (220 lbs.)	VSQG



Questions?



Step 3 - Notify



The Resource Conservation and Recovery Act (RCRA) **requires** SQGs and LQGs to notify IDEM (as authorized by U.S. EPA) of their regulated waste activities, by applying for and receiving a RCRA identification number (EPA Identification Number), which are 12-character numbers are used to monitor and track hazardous waste activities.



EPA Identification Number For SQGs and LQGs

- A generator must not treat, store, dispose of, transport, or offer for transportation, hazardous waste without having received an EPA identification number from the Administrator. [40 CFR 262.18\(a\)](#)
- A generator must not offer its hazardous waste to transporters or to treatment, storage, or disposal facilities that have not received an EPA identification number. [40 CFR 262.18\(c\)](#)
- VSQG's are not required to obtain EPA identification number.



Obtaining an EPA Identification Number

The IDEM Office of Land Quality offers two (2) step-by-step guides on how to setup a RCRAinfo account and obtain your EPA Identification number:

1. Setup a RCRAinfo Account

- idem.in.gov/waste/files/hw_rcra_id_register_industry_user.pdf

2. Request a Federal EPA ID Number

- idem.in.gov/idem/waste/files/hw_rcra_id_myrcraid_instructions.pdf

EPA has also produced a free, online training resource (Learning Zen) with instructions on how to register as an industry user and how to complete the Notification of Regulated Waste Activity form.

Instructions on how to access the training can be found at: idem.in.gov/waste/files/hw_rcra_id_zen_training.pdf



Notifications of Changes to Business

- If your business changes generator categories, mailing address, contact person, etc., or if it stops handling hazardous waste or goes out of business, you should enter a subsequent notification into myRCRAid
- If your business changes ownership, a subsequent notification must be entered into myRCRAid **before** the new owner uses the EPA ID number
- LQG's required to provide notice 30-days prior to closing the facility.



Episodic Generation

- **Hazardous Waste Generator Improvement Rule** passed in 2016 added flexible standards for episodic generation and consolidation of waste from VSQG to LQGs. [40 CFR Part 262 Subpart L](#)
- An episodic event means an activity or activities, either planned or unplanned, that does not normally occur during generator operations, resulting in an increase in the generations of hazardous waste that exceeds the calendar month limits
- Applies to VSQG and SQG and allows for one planned and one unplanned in a calendar year
- VSQG and SQG must notify IDEM of episodic generation



Episodic Generation/Event

- What is an Episodic Event?
 - An activity or activities, either planned or unplanned, that does not normally occur during generator operations, resulting in an increase in the generation of hazardous wastes that exceeds the calendar month quantity limits for the generator's usual category (40 CFR 262.231).
- How does it work?
 - Allows generators to maintain current generator status while disposing at a higher level.
 - Generators can have one planned and one unplanned per year.
- Notification requirements
 - 30 days in advance for planned event
 - Within 72 hours for unplanned event

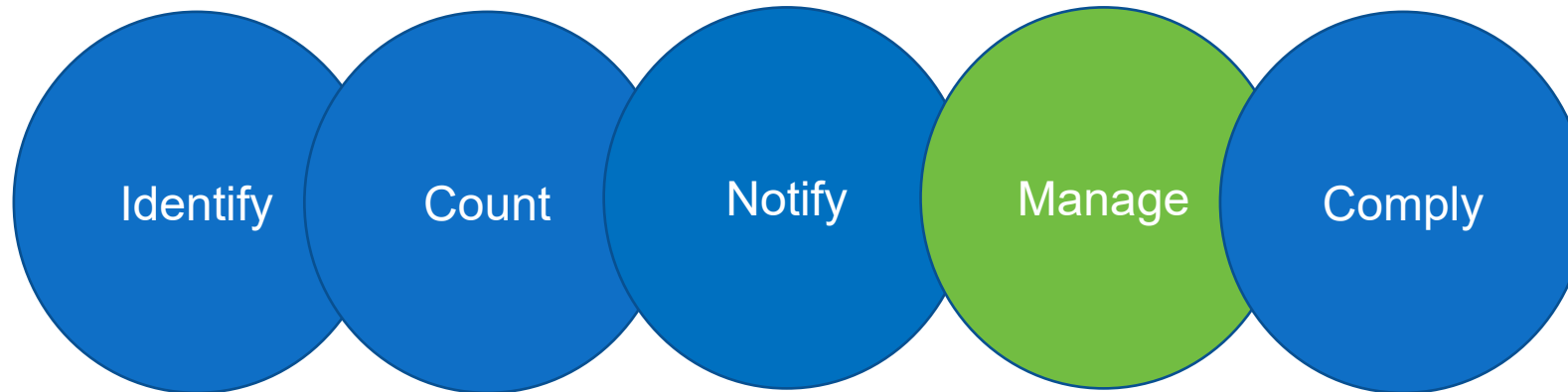
Note: If you are a VSQG, you will need an EPA ID number



Questions?



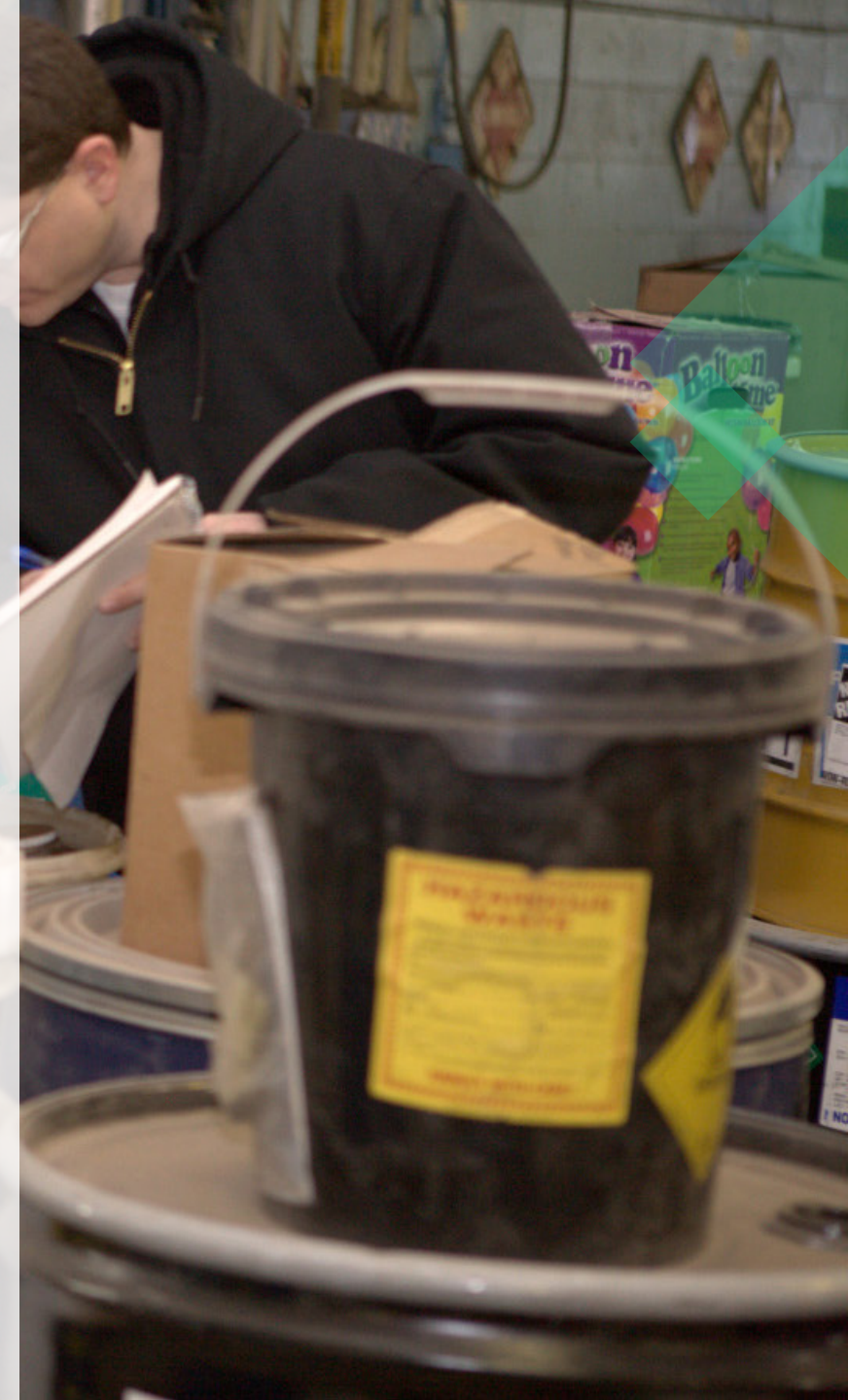
Step 4 - Manage Your Waste



Hazardous Waste in Containers

– Compatibility

- The generator must use a container made of or lined with materials that will not react with, and are otherwise compatible with, the hazardous waste to be accumulated, so that the ability of the container to contain the waste is not impaired. [40 CFR 262.17\(a\)\(1\)\(iii\)](#)
- Special conditions for accumulation of incompatible wastes [40 CFR 262.17\(a\)\(1\)\(vii\)](#)
 - Incompatible wastes, or incompatible wastes and materials, (see [appendix V of part 265](#) for examples) must not be placed in the same container, unless [40 CFR 265.17\(b\)](#) is complied with.
 - Hazardous waste must not be placed in an unwashed container that previously held an incompatible waste or material (see appendix V of part 265 for examples), unless 40 CFR 265.17(b) is complied with.
 - A container holding a hazardous waste that is incompatible with any waste or other materials accumulated nearby in other containers must be separated from the other materials or protected from them by any practical means.





EPA's Chemical Compatibility Chart

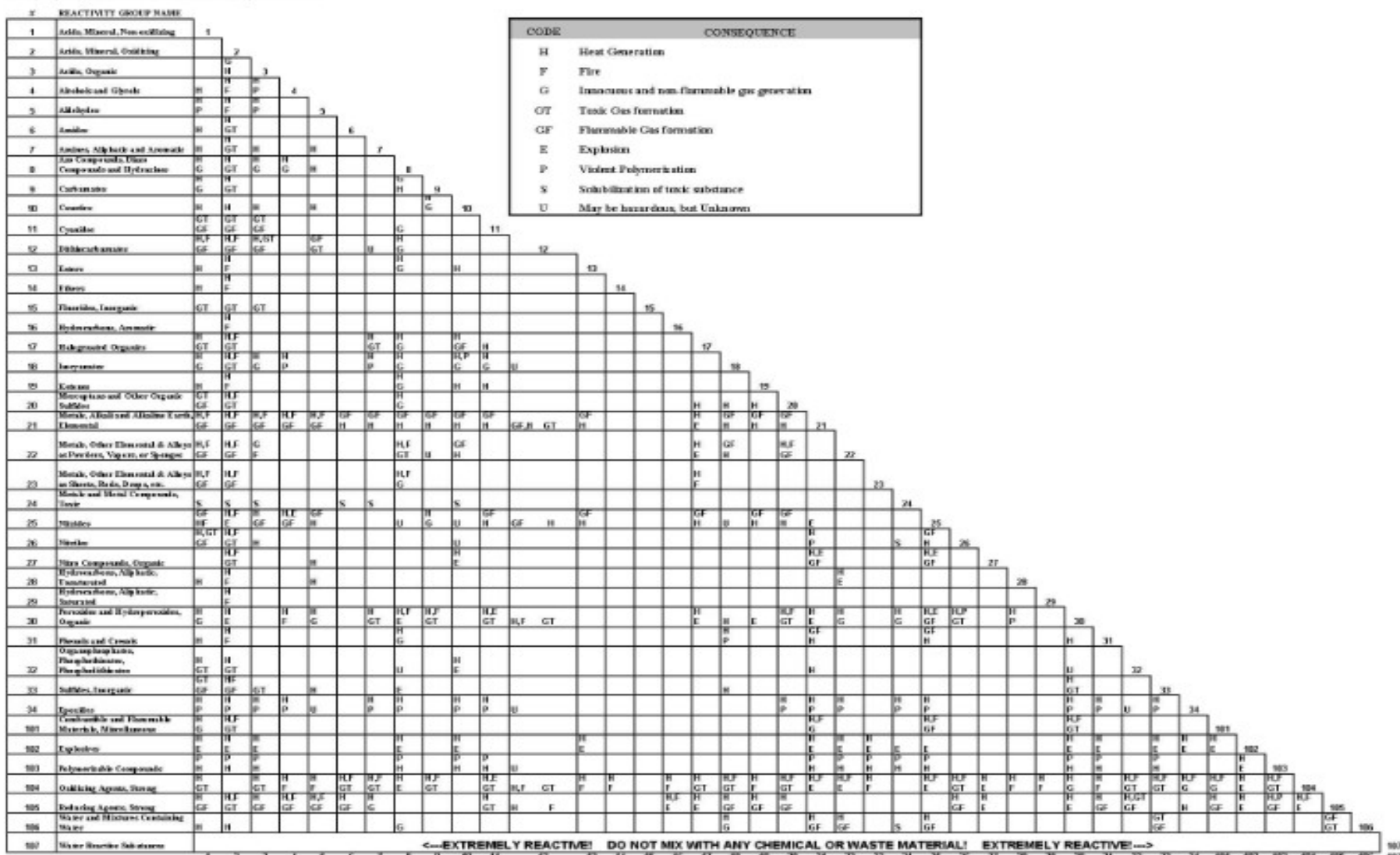
EPA-600/2-80-076 April, 1980
A METHOD FOR DETERMINING THE COMPATIBILITY OF CHEMICAL MIXTURES

Warning: This chart is intended as an indication of some of the hazards that can be expected on mixing chemical wastes. Because of the differing sizes of the thousands of compounds that may be encountered, it cannot possibly include every chemical substance and all mixtures. It cannot be assumed that wastes compatible of wastes because wastes are not classified as hazardous on the chart, nor do any wastes necessarily react when the mixture cannot result in a hazardous reaction. Detailed instructions as to hazardous reactions in handling and disposing of any given waste should be obtained from the suppliers of the waste.

EPA Chemical Compatibility Chart

EPA's chemical compatibility chart is intended as an indication of some of the hazards that can be expected on mixing chemical wastes

<https://www.epa.gov/sites/default/files/2016-03/documents/compat-haz-waste.pdf>





Hazardous Waste Containers

- Before adding waste to a container, ensure the container is in good condition and compatible with the waste. Containers should be labeled with the words “Hazardous Waste” and indicate the hazards of the contents (*i.e.*, ignitable, corrosive, reactive, toxic). Along with an accumulation start date of the waste.
 - Containers that are deteriorating (e.g., cracked, rusted) or leaking must not be used.
- A container holding hazardous waste must be closed at all times during accumulation, except:
 - when adding, removing, or consolidating waste; or
 - When temporary venting of a container is necessary
 - For the proper operation of equipment, or
 - To prevent dangerous situations, such as build-up of extreme pressure

Hazardous Waste Containers – Bad Condition

If a container holding hazardous waste is not in good condition, or if it begins to leak, the generator must immediately transfer the hazardous waste from this container to a container that is in good condition and does not leak, or immediately transfer and manage the waste in a central accumulation area operated in compliance with [40 CFR 262.16\(b\)](#) or [40 CFR 262.17\(a\)](#).



Labeling On-Site Hazardous Waste Containers

A generator must mark or label its container with the following:

1. The words “**Hazardous Waste**”
2. An indication of the hazards of the content. Examples include, but are not limited to:
 - A. Words indicating the applicable hazardous waste characteristic(s) (i.e., ignitable, corrosive, reactive, toxic)
 - B. Hazard communication consistent with the Department of Transportation requirements at [49 CFR part 172 subpart E \(labeling\)](#) or [subpart F \(placarding\)](#)
 - IDEM asserts the DOT Class 9 placard/label **does not satisfy** the requirement for labels to indicate the hazards because it does not indicate a specific hazard. Generators wishing to use the Class 9 label must use an additional label or marking on the container, tank, or containment building to clearly indicate the hazard(s)
 - C. A hazard statement or pictogram consistent with the Occupational Safety and Health Administration (OSHA) Hazard Communication Standard at [29 CFR 1910.1200](#)
 - D. A chemical hazard label consistent with the [National Fire Protection Association code 704](#)
3. For SQG and LQGs, the containers must be clearly marked with the accumulation start date.



Labeling - Indication of the Hazards



Explosives
Self Reactant
Organic Peroxides



Gases Under Pressure



Carcinogenic
Respirator Sensitizer



Environmental Toxicity



Skin & Eye Irritant
Dermal Sensitizer
Acute Toxicity



Flammable
Self Reactive
Pyrophoric



Oxidizers



Skin Corrosion



Acute Toxicity





Central Storage Area Requirements for SQGs and LQGs

- Full containers labeled
- Ensure containers are close and kept free of debris
- Must maintain aisle space to allow the unobstructed movement of personnel, fire protection equipment, and spill control equipment to any areas of the facility
- Segregate chemicals according to compatibility
 - * Segregation can be achieved by physical distance or by using secondary containment
- Area is free from debris and spills
- Inspect and document storage area weekly



What to Do RCRA SQG/LQG Storage Area

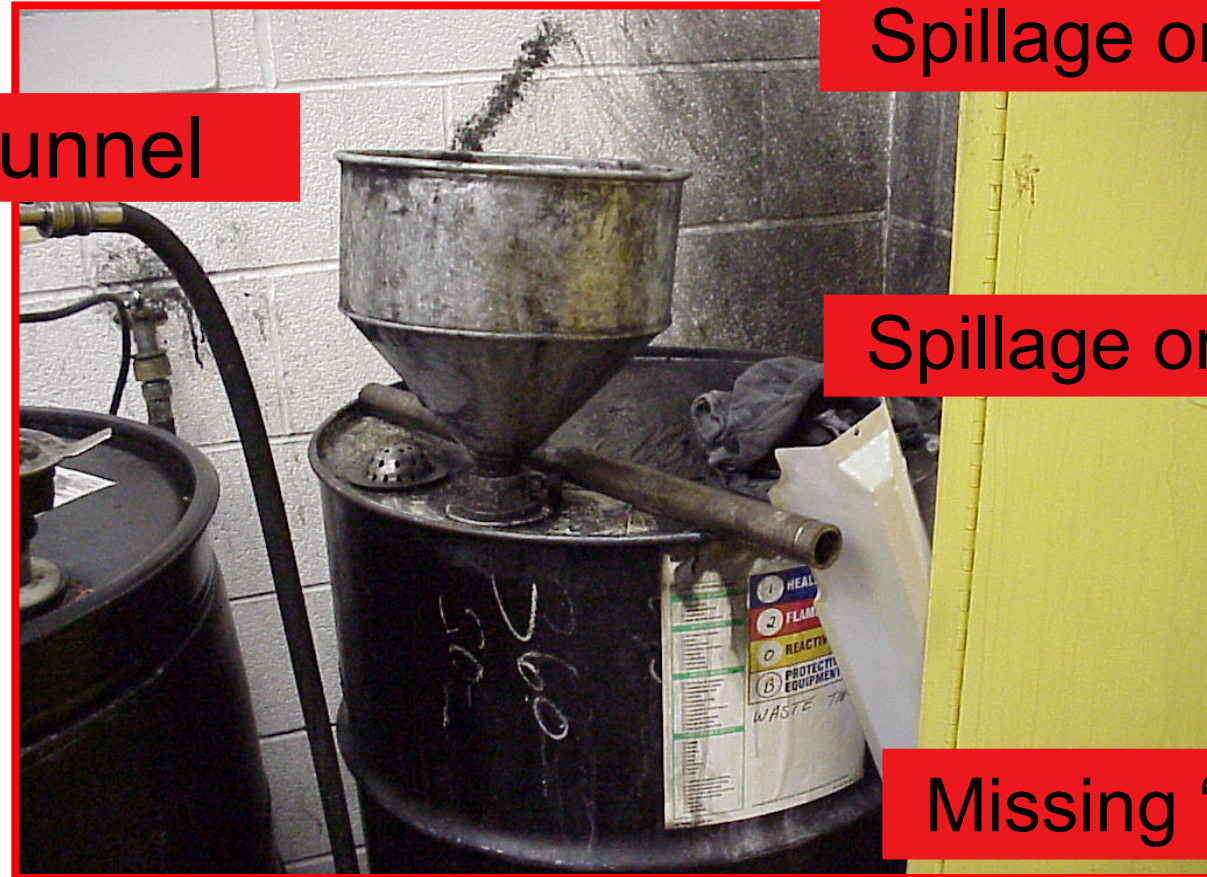
Closed drums

Labeled drums

Clean floor



What NOT to do RCRA SQG/LQG Storage Area



Uncovered funnel

Spillage on wall

Spillage on drum

Missing "Hazardous Waste"

Hazardous Waste Storage for LQG – Ignitability

Special conditions for accumulation of ignitable and reactive wastes 40 CFR 262.17(a)(1)(vi)

- A. Containers holding ignitable or reactive waste must be located **at least** 15 meters (50 feet) from the facility's property line unless a written approval is obtained from the authority having jurisdiction over the local fire code allowing hazardous waste accumulation to occur within this restricted area. **A record of the written approval must be maintained as long as ignitable or reactive hazardous waste is accumulated in this area.**
- B. The LQG must take precautions to prevent accidental ignition or reaction of ignitable or reactive waste. This waste must be **separated and protected** from sources of ignition or reaction including but not limited to the following: open flames, smoking, cutting and welding, hot surfaces, frictional heat, sparks (static, electrical, or mechanical), spontaneous ignition (e.g., from heat-producing chemical reactions), and radiant heat. While ignitable or reactive waste is being handled, the LQG must confine smoking and open flame to specially designated locations. “No Smoking” signs must be conspicuously placed wherever there is a hazard from ignitable or reactive waste.





Satellite Accumulation for LQGs and SQGs

- An generator may accumulate up to 55 gallons of non-acute hazardous waste and/or either one quart of liquid acute hazardous waste or 1 kg (2.2 lbs.) of solid acute hazardous waste listed in containers **at or near** any point of generation where wastes initially accumulate which is under the control of the operator of the process generating the waste, without a permit or interim status and without complying with the requirements of 40 CFR Part [124](#), [264](#) through [267](#), and [270](#), provided that all of the conditions for exemption are met. The conditions for exemption for satellite accumulation are summarized below and fully described in [40 CFR 262.15\(a\)](#).
- A generator who accumulates either acute hazardous or non-acute hazardous waste in excess of the amounts listed at or near any point of generation must do the following:
 - i. Comply within three consecutive calendar days with the applicable central accumulation area regulations in [40 CFR 262.16\(b\)](#) or 40 [40 CFR 262.17\(a\)](#), or
 - ii. Remove the excess from the satellite accumulation area within three consecutive calendar days to either:
 - A. A central accumulation area operated in accordance with the applicable regulations in [40 CFR 262.16\(b\)](#) or [40 CFR 262.17\(a\)](#);
 - B. An on-site interim status or permitted treatment, storage, or disposal facility, or
 - C. An off-site designated facility; and
 - iii. During the three-consecutive-calendar-day period the generator must continue to comply with [paragraphs \(a\)\(1\)](#) through [\(5\)](#) of this section. The generator must mark or label the container(s) holding the excess accumulation of hazardous waste with the date the excess amount began accumulating.



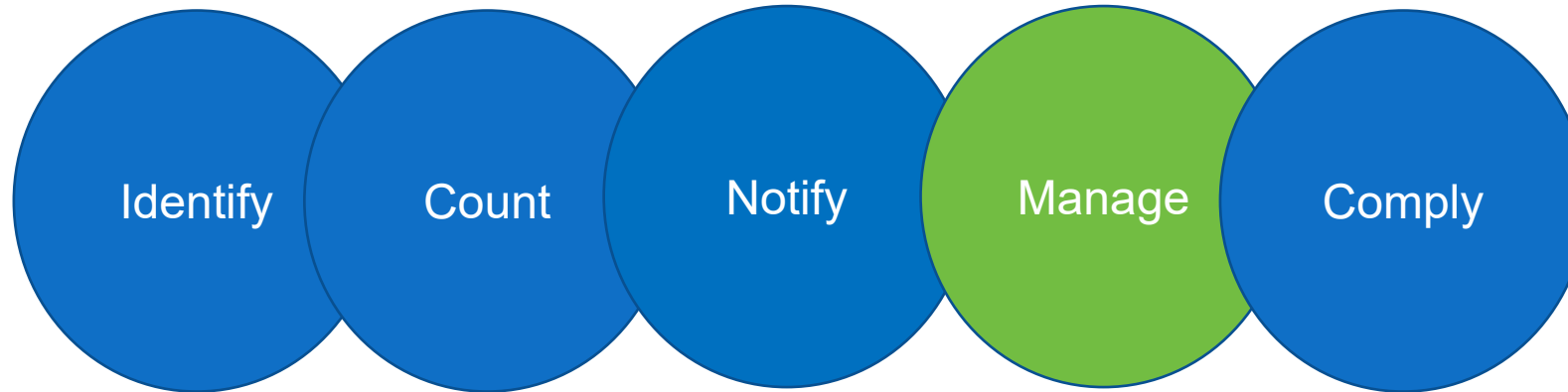
Satellite Containers for LQGs and SQGs

- Satellite containers must be managed as a hazardous waste container discussed in previous slides (i.e., closed lids, compatible wastes, appropriate labels, etc.)
- All Satellite accumulation areas operated by SQGs must meet the preparedness and prevention regulations [40 CFR Part 262.16\(b\)\(8\)](#) and emergency procedures at [§ 262.16\(b\)\(9\)](#)
- All satellite accumulation areas operated by LQGs must meet the Preparedness, Prevention and Emergency Procedures in [40 CFR Part 262 Subpart M](#)



Questions?

Step 4 (Part 2) - Recordkeeping



- LQG Recordkeeping Requirements, [40 CFR 262.40](#)
- Hazardous Waste Determinations, [40 CFR 262.11\(f\)](#)
- SQG Recordkeeping Requirements, [40 CFR 262.44](#)



Types of Records and Forms

- Manifests
- Biennial and Annual Reports
- Exemption Reports
- Hazardous Waste Determinations
- Inspection Records
- Training Records
- Emergency Responder Agreements
- Contingency Plans
- Land Disposal Restriction (LDR) Forms



Manifests

- The Hazardous Waste Manifest System is a set of forms, reports, and procedures designed to seamlessly track hazardous waste from the time it leaves the generator until it reaches the off-site waste management facility that will store, treat, or dispose of the hazardous waste. The system allows the waste generator to verify that its waste has been properly delivered and that no waste has been lost or unaccounted for in the process.
- The key component of this system is the Uniform Hazardous Waste Manifest, a multipart form prepared by most generators that transport hazardous waste for off-site treatment, recycling, storage, or disposal. The manifest is required by both the DOT and EPA. When completed, it contains information on the type and quantity of the waste being transported, instructions for handling the waste, and signatures of all parties involved in the off-site treatment, recycling, storage, or disposal of the waste. **Each party must keep a copy of the manifest.**
- This process ensures critical accountability throughout transportation and disposal. Once the waste reaches its destination, the receiving facility returns a signed copy of the manifest to the generator, confirming that the waste has been received. Record retention is three (3) years.



Please print or type

Form Approved OMB No. 2050-0039

UNIFORM HAZARDOUS WASTE MANIFEST 1 Generator ID Number 2 Page 1 of 3 3 Emergency Response Phone 4 Manifest Tracking Number **JJK**

5 Generator's Name and Mailing Address Generator's Site Address (if different than mailing address)

Generator's Phone

6 Transporter 1 Company Name U.S. EPA ID Number

7 Transporter 2 Company Name U.S. EPA ID Number

8 Designated Facility Name and Site Address U.S. EPA ID Number

Facility's Phone

No.	U.S. DOT Description (including Proper Shipping Name, Hazard Class, ID Number, and Packing Group (if any))	10 Containers		11 Total Quantity	12 Unit Weight	13 Waste Codes		
		No.	Type			1	2	3
1								
2								
3								
4								

14 Special Handling Instructions and Additional Information

15. GENERATOR/SUFFERER'S CERTIFICATION: I hereby declare that the contents of this assignment are fully and accurately described above by the proper shipping name, and are classified, packaged, marked and labeled/packaged, and are in all respects in proper condition for transport according to applicable international and national governmental regulations. If export shipment and/or on the Primary Exporter, I certify that the contents of this assignment conform to the terms of the attached EPA Acknowledgment of Consent. I certify that the waste minimization statement identified in 40 CFR 262.27(a) (1) am a large quantity generator) or (2) (I am a small quantity generator) is true.

Generator/Sufferer's Printed/Typed Name Signature Month Day Year

16 International Shipments Import to U.S. Export from U.S. Point of entry/exit Date leaving U.S.

17 Transporter Acknowledgment of Receipt of Materials

Transporter 1 Printed/Typed Name Signature Month Day Year

Transporter 2 Printed/Typed Name Signature Month Day Year

18 Discrepancy

18a Discrepancy Indication Space Quantity Type Residue Partial Rejection Full Rejection

18b Alternate Facility (or Generator) Manifest Reference Number U.S. EPA ID Number

Facility's Phone

18c Signature of Alternate Facility (or Generator) Month Day Year

19 Hazardous Waste Report Management Method Codes (i.e., codes for hazardous waste treatment, storage, and recycling systems)

1 2 3 4

20 Designated Facility Owner or Operator Certification of receipt of hazardous materials according to the manifest except as noted in item 18c

Designated Facility Name Signature Month Day Year

EPA Form 8700-02 (Rev. 12/13) Previous editions are obsolete. **DESIGNATED FACILITY TO EPA's e-MANIFEST SYSTEM**



e-Manifest

- e-Manifest launched nationwide on June 30, 2018, and is a component of RCRAInfo Online
- Generators have the option of creating and submitting their hazardous waste manifests electronically in e-Manifest
- Generators can continue to use a paper manifest, but it is cheaper and faster to submit the uniform manifest form electronically
- To use e-Manifest, generators must have an EPA identification number and register with e-Manifest



Exception Reports for LQG's

- Required if a LQG generator does not receive a signed return manifest from the owner and operator of the designated facility
- Submit exception report IDEM if generator has not received copy of manifest with signature after 45 days after transporter accepted waste
- Submit a legible copy of the manifest for that does not have confirmation
 - A cover letter signed by the generator explaining efforts made to locate the hazardous waste and results of efforts
- [40 CFR 262.42\(a\)](#)



Exception Report for SQG's

- Required if a SQG generator does not receive a signed return manifest from the owner and operator of the designated facility
- After 60 days, generator must submit legible copy of manifest and indication from generator that they have not received confirmation of delivery to IDEM
 - Submit a note on manifest or an attached sheet stating the return copy was not received
- [40 CFR 262.42\(b\)](#)



Land Disposal Restriction (LDR) Form

- Generators must determine if the waste has to be treated before it can be land disposed
- Generator must notify the treatment or storage facility of the initial shipment with a written notice and a signed certification statement by an authorized representative
- Record retention is three (3) years
- [40 CFR 268.7\(a\)\(3\)](#)



Profile #:

LAND DISPOSAL RESTRICTION FORM
(From Question G3)

Generator Information			
1. Generator:		2. EPA ID Number:	
3. Manifest Number:	4. Line Number:	5. Waste is a: <input type="radio"/> Wastewater (<1% TSS & TOC) <input type="radio"/> Non-wastewater <input type="radio"/> Debris	
6. Notification Frequency: <input type="radio"/> One Time <input type="radio"/> Required with Each Shipment			
7. Shipment EPA Waste Codes:			
8. UHC's: (Underlying Hazardous Constituents 40 CFR 268.48)? <input type="radio"/> Yes <input type="radio"/> No (If yes, list constituents):			
9. Does a subcategory apply per 40 CFR 268.40? <input type="radio"/> Yes <input type="radio"/> No (If yes, select subcategory):			
10. Constituents requiring treatment in F001-5, F039, debris, and alternate soils? <input type="radio"/> Yes <input type="radio"/> No (If yes, list):			
Requires Treatment			
<input type="checkbox"/> Waste Subject To Treatment (40 CFR 268.7(a) (2)) The restricted waste identified above must be treated to the applicable treatment standards in 40 CFR 268.40, or treated to comply with applicable Prohibitions set forth in Part 268.32 or RCRA Section 3004(d) and 268.49 (c). If applicable, under 268.49, this contaminated soil <input type="radio"/> does or <input type="radio"/> does not contain listed hazardous waste and <input type="radio"/> does or <input type="radio"/> does not exhibit a characteristic of hazardous waste and is subject to the soil treatment standards as provided by 268.49 (c) or the universal treatment standards.			
<input type="checkbox"/> Hazardous Debris Subject To Treatment (40 CFR 268.45) This hazardous debris identified above must be treated to the alternative treatment standards in 40 CFR 268.45.			
<input type="checkbox"/> Waste De-characterized But Requires Treatment For UHC (40 CFR 268.7 (b) (4) (iv)) I certify under penalty of law that the waste has been treated in accordance with the requirements of 40 CFR 268.40 or 268.49 to remove the hazardous characteristic. This de-characterized waste contains Underlying Hazardous Constituents that require further treatment to meet treatment standards. I am aware that there are significant penalties for submitting a false certification, including the possibility of a fine and imprisonment.			
Waste Meets Treatment Standards			
<input type="checkbox"/> Waste Meets Treatment Standards (40 CFR 268.7(a) (3)) The restricted waste identified above meets the treatment standards in 40 CFR 268.40 or Alternative LDR treatment standards for contaminated soil 40 CFR 268.49 and can be landfill disposed without further treatment. If applicable, under 268.49, this contaminated soil <input checked="" type="radio"/> does or <input type="radio"/> does not contain listed hazardous waste and <input checked="" type="radio"/> does or <input type="radio"/> does not exhibit a characteristic of hazardous waste and complies with the soil treatment standards as provided by 268.49 (c) or the universal treatment standards. I certify under penalty of law that I personally have examined and am familiar with the waste through analysis and testing or through knowledge of the waste to support this certification that the waste complies with the treatment standards specified in 40 CFR Part 268 Subpart D. I believe that the information I submitted is true, accurate and complete. I am aware that there are significant penalties for submitting a false certification, including the possibility of a fine and imprisonment.			
<input type="checkbox"/> Waste Treated To Treatment Standards (40 CFR 268.7(b) (1) & 268.7 (b) (2)) The treatment residue, or extract of such residue, or the restricted waste identified above has been tested to assure that the treatment residues or Extract meet all applicable treatment standards in 40 CFR 268.40 and/or performance standards in 40 CFR 268.45 I certify under penalty of law that I personally have examined and am familiar with the treatment technology and operation of the treatment process used to support this certification. Based on my inquiry of those individuals immediately responsible for obtaining this information, I believe that the treatment process has been operated and maintained properly so as to comply with the treatment standards specified in 40 CFR 268.40 without impermissible dilution of the prohibited waste. I am aware there are significant penalties for submitting a false certification, including the possibility of fine and imprisonment.			
<input type="checkbox"/> Waste Soil treated to alternative standards (40 CFR 268.7 (b) (4)) I certify under penalty of law that I have personally examined and am familiar with the treatment technology and operation of the treatment process used to support this certification and believe that it has been maintained and operated properly so as to comply with treatment standards specified in 40 CFR 268.49 without impermissible dilution of the prohibited wastes. I am aware that there are significant penalties for submitting a false certification, including the possibility of a fine and imprisonment.			
I certify and warrant that the information that appears on this form, and appended documents, is true and correct. I have correctly indicated how my waste is to be Managed in accordance with 40 CFR 268. My certification is based on personal examination of the information submitted, or is based on my inquiries of those individuals responsible for obtaining the information.			
Print Name:	Signature:	Title:	Date:





Waste Determinations Documentation?

- The hazardous waste determination for each solid waste must be made at the point of waste generation, before any dilution, mixing, or other alteration of the waste occurs, and at any time in the course of its management that it has, or may have, changed its properties as a result of exposure to the environment or other factors that may change the properties of the waste such that the RCRA classification of the waste may change
- An SQG or LQG must maintain records supporting its hazardous waste determinations, including records that identify whether a solid waste is a hazardous waste, as defined by [40 CFR 261.3](#)
- Records must be maintained for at least three (3) years from the date that the waste was last sent to on-site or off-site treatment, storage, or disposal [40 CFR 262.11](#)
- The records must include the following types of information: The results of any tests, sampling, waste analyses; records documenting the tests, sampling, and analytical methods used; records consulted in order to determine the process by which the waste was generated, the composition of the waste, and the properties of the waste; and records which explain the knowledge basis for the generator's determination



HAZARDOUS WASTE DETERMINATION FORM

Hazardous Waste Determination Form #:



A. WASTE DESCRIPTION:

Generation Process:

Generation Location: **Total Quantity and/or Estimated Generation Rate:**

B. WASTE PROPERTIES, CHARACTERISTICS, and CONSTITUENTS:

Physical State: Solid
 Solid w/freestanding or absorbed liquid
 Liquid (If liquid, indicate if the liquid is:
 Single-Layer
 Multi-Layer
 Gas

pH: ≤ 2
 > 2 but < 12.5
 N/A ≥ 12.5

Flashpoint: < 140 °F
 > 140°F but < 200 °F
 N/A > 200 °F

Characteristics:	PCB Content:	Metal Content:
<input type="checkbox"/> Corrosive <input type="checkbox"/> Ignitable <input type="checkbox"/> Reactive <input type="checkbox"/> Radioactive <input type="checkbox"/> Toxic <input type="checkbox"/> None	<input type="checkbox"/> > 5 ppm <input type="checkbox"/> < 5 ppm <input type="checkbox"/> None Listed: <input type="checkbox"/> P or U-list (DCC only**) <input type="checkbox"/> K-list <input type="checkbox"/> F-list <input type="checkbox"/> N/A <small>**DCC – discarded commercial chemical products</small>	<input type="checkbox"/> Antimony* <input type="checkbox"/> Chromium <input type="checkbox"/> Molybdenum* <input type="checkbox"/> Vanadium* <input type="checkbox"/> Arsenic <input type="checkbox"/> Cobalt* <input type="checkbox"/> Nickel* <input type="checkbox"/> Zinc* <input type="checkbox"/> Barium <input type="checkbox"/> Copper* <input type="checkbox"/> Selenium <input type="checkbox"/> None <input type="checkbox"/> Beryllium* <input type="checkbox"/> Lead <input type="checkbox"/> Silver <input type="checkbox"/> Cadmium <input type="checkbox"/> Mercury <input type="checkbox"/> Thallium* <small>*Check these metals (or metal compounds) only if they are in a friable, powdered, or finely divided state.</small>

Composition (list all hazardous constituents):

Constituent:	Volume % (range):	Constituent:	Volume % (range):

C. REMARKS (Attach all applicable documentation describing the waste (e.g. process knowledge statement, MSDS, sample analysis, etc.):

D. FINAL DETERMINATION:

Hazardous Non-hazardous Medical Waste Universal Waste Used Oil Prohibited by POTW

COMPLETED BY: **DEPARTMENT:** **CONTACT No.:** **DATE:**



Inspection Records

- Weekly inspections are required for both SQGs and LQGs of hazardous waste stored in a central accumulation area
- Weekly inspections are not required for satellite accumulation areas
- Generator must look for leaking containers and for deterioration of containers caused by corrosion or the factors
- [40 CFR 262.16\(b\)\(2\)\(iv\)](#) and [40 CFR 262.16\(a\)\(1\)\(v\)](#)



Example
Inspection
Records

Weekly Hazardous Waste Inspection Checklist			
Inspection Information			
Container or area being inspected (number/contents/location):			
Date and time:			
Date last inspected:			
Inspection completed by:			
Hazardous Waste	Y / N	Corrective Action	Employee Responsible
Are containers properly and clearly labeled ("Hazardous Waste," the specific contents, and the collection date)?			
Are containers tightly closed?			
Are wastes stored in compatible containers?			
Is there evidence of container deterioration?			
Are spaces between containers clear of debris?			
Are incompatible wastes properly segregated?			
Are there any signs of leaks or spills?			



Personnel Training Records

- Facility personnel must successfully complete a program of classroom instruction or on-the-job training that teaches them to perform their duties in a way that ensures the facility's compliance with the requirements of this part
- This program must be directed by a person trained in hazardous waste management procedures and must include instruction which teaches facility personnel hazardous waste management procedures (including contingency plan implementation) relevant to the positions in which they are employed.
- At a minimum, the training program must be 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:
 - i. Procedures for using, inspecting, repairing, and replacing facility emergency and monitoring equipment
 - ii. Key parameters for automatic waste feed cut-off systems
 - iii. Communications or alarm systems
 - iv. Response to fires or explosions
 - v. Response to ground-water contamination incidents
 - vi. Shutdown of operations
- [40 CFR 265.16](#)



Hazardous Waste Management Training Record

For (name)

Job title

Summary of hazardous waste generation, management & administration and emergency response duties:

LQGs: Check if complete position description has been prepared and is available for inspection, as required.

Training date

Training type Initial (Required for LQGs & SQGs; recommended for VSQGs)

Training instructor

Annual (Required for LQGs; recommended for SQGs)

Directions: Check the box *before* the topic to identify the hazardous waste-related training needed by this person. After training is completed, check the box *after* each topic to identify each area in which this person received training. Ensure the trainee signs the bottom of this record acknowledging receipt of this training.

LQGs: Check if complete training plan for this position has been prepared and is available for inspection, as required.



General management		Administration/records		Emergency response	
<input type="checkbox"/>	Waste identification	<input type="checkbox"/>	Waste management plans	<input type="checkbox"/>	Emergency equipment
<input type="checkbox"/>	Waste evaluation	<input type="checkbox"/>	License applications	<input type="checkbox"/>	Equipment use
<input type="checkbox"/>	Container selection	<input type="checkbox"/>	Other annual reporting	<input type="checkbox"/>	Equipment locations
<input type="checkbox"/>	Container/tank labeling	<input type="checkbox"/>	License posting	<input type="checkbox"/>	Equipment maintenance
<input type="checkbox"/>	Container closure	<input type="checkbox"/>	License applications	<input type="checkbox"/>	Alarm activation
<input type="checkbox"/>	Container/tank inspection	<input type="checkbox"/>	Manifest completion	<input type="checkbox"/>	Emergency contacts
<input type="checkbox"/>	Storage area aisle space	<input type="checkbox"/>	Manifest distribution	<input type="checkbox"/>	Spill response
<input type="checkbox"/>	Storage area security	<input type="checkbox"/>	Land Disposal Restrictions	<input type="checkbox"/>	Fire/explosion response
<input type="checkbox"/>	Waste minimization	<input type="checkbox"/>	Container/tank inspections	<input type="checkbox"/>	Evacuation routes
<input type="checkbox"/>		<input type="checkbox"/>	Personnel training	<input type="checkbox"/>	Assembling areas
<input type="checkbox"/>		<input type="checkbox"/>	Local agency arrangements	<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	

Acknowledgement: I acknowledge I have received training in the areas checked *after* the topic above.

Trainee signature _____ Date _____



Emergency Responder Agreements

- SQGs and LQGs must attempt to make arrangements with local police, fire department, and other emergency response teams (i.e. emergency response contractors, equipment suppliers and local hospitals)
- Maintain records documenting the arrangements local fire departments as well as any other organization necessary to respond to an emergency
- SQGs and LQGs coordinate with the local emergency plan committee, if appropriate
- [40 CFR 264.37](#) and [40 CFR 262.256](#)



Contingency Plans and Quick Reference Guides

- LQGs Only ([40 CFR 262.262](#))
- Must prepare and implement plan
- Purpose: To minimize hazards to human health or the environment from fires, explosions, or any unplanned sudden or non-sudden release of hazardous waste or hazardous waste constituents to air, soil, or surface water
- Quick Reference Guide add as a requirement under the Generator Improvements Rule 2014



SQG Emergency Information Sheet

- The SQG must post the following information next to telephones or in areas directly involved in the generation and accumulation of hazardous waste, :
 - A. The name and emergency telephone number of the emergency coordinator;
 - B. Location of fire extinguishers and spill control material, and, if present, fire alarm; and
 - C. The telephone number of the fire department, unless the facility has a direct alarm
- [40 CFR 262.16.9\(ii\)](#)



Emergency Information

For purposes of complying with 40 CFR 262.34 generators who generate between 100 kilograms (220 lbs) and 1000 kilograms (2200 lbs) of hazardous waste per month must post the following information next to the telephones used for emergency communication at hazardous waste accumulation areas:

Emergency Coordinator

Primary Coordinator Name: _____
Telephone Number: _____

Alternate Coordinator Name: _____
Telephone Number: _____

Fire Department Name: _____
Telephone Number: _____

Emergency Equipment
Fire Extinguishers have been placed at the following locations:

Spill Control Material	Location
1.	_____
2.	_____
3.	_____
4.	_____

Fire Alarms have been placed at the following locations

Report Environmental Emergencies

Company Env. Contact

IDEM

National Response Center

1-888-233-7745

1-800-424-8802

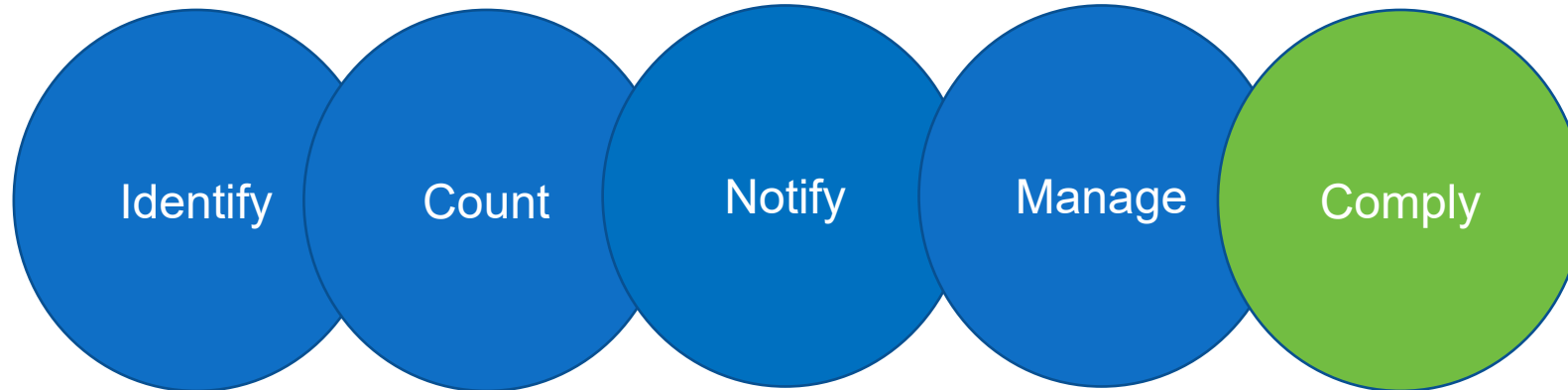




Questions?



Step 5 - Comply





Annual and Biennial Reports

- Indiana requires LQGs and SQGs to provide IDEM an annual or biennial report by March 1st each year
- Annual reports are completed for **even** years and biennial for **odd** years
- Extensions until March 30 may be granted if request sent to IDEM prior to the March 1 report deadline
- Annual and biennial reporting completed online through RCRAinfo report module
- For more detailed instructions on how use RCRAInfo please, utilize EPA's resources guide:

<https://rcrainfo.epa.gov/rcrainfo-help/application/industryHelp/assets/docs/RCRAInfoIndustryHelpAndGuidance.pdf>



Complying with Accumulation Time limits

Accumulation time limits are the amount of hazardous waste generators are allowed to "accumulate" on site without a permit.

Very Small Quantity Generator (VSQG)

- Accumulation time limit: **None**
- Cannot store more than 1,000 kg (2,200 lbs.) of hazardous waste or 1 kg (2.2 lbs.) of acute hazardous waste on site at any time.

*Reminder – you cannot generate **more than** 100 kg (220 lbs.) of hazardous waste, 1kg (2.2 lbs.) of acute hazardous waste, or 100 kg (220 lbs.) of acute spill residue in one (1) calendar month.

Small Quantity Generator (SQG)

- Accumulation time limit: **no more than 180 days or 270 days (if transporting greater than 200 miles)**
- Quantity on site never exceeds 6,000 kg (13,200 lbs.)

*Reminder – a generator cannot generate **more than** 1,000 kg (2,200 lbs.) of hazardous waste in one (1) calendar month.

Large Quantity Generator (LQG)

- Accumulation time limit: **No more than 90 days**
- No limit on the amount of hazardous waste accumulated on-site



Requirement Recap

Requirement	VSQG	SQG	LQG
EPA Identification Number	Not Required	Required	Required
On-Site Accumulation Quantity	≤1,000 kg (2,200 lbs.) or ≤1 kg (2.2 lbs.) acute hazardous waste or ≤100 kg (220 lbs.) of acute spill residue or soil	≤6,000 kg (13,200 lbs.)	No Limit
Accumulation Time Limits	No Limit	≤180 days or ≤270 days (if transporting greater than 200 miles)	≤90 days
Manifest	Not Required	Required	Required
Biennial Report	Not Required	Not Required	Required
Recordkeeping (records of waste testing, manifests, biennial reports and exception reports)	Not required	Required	Required

A full summary of requirements for each class of hazardous waste generator can be found at: <https://www.epa.gov/hwgenerators/hazardous-waste-generator-regulatory-summary>



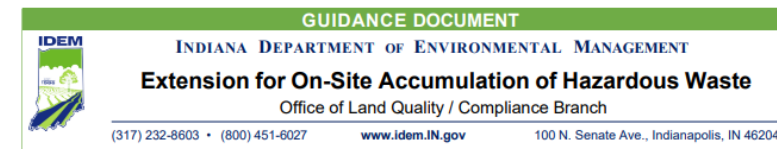
Accumulation of Hazardous Waste Extension

In accordance with [40 CFR 262.16\(d\)](#) for SQGs, and [40 CFR 262.17\(b\)](#) for LQGs, a generator may request a **one-time 30-day accumulation time limit extension** for hazardous waste that may be stored on site longer than the applicable 90/180/270-day time frame due to unforeseen, temporary, and uncontrollable circumstances. The reason for an extension request must be valid and thoroughly explained in order to be granted approval. Generators must submit the extension request with the required information **before** their accumulation time limit has been exceeded. Extensions are granted on a case-by case basis after review of the information provided by the generator. The extension is to be requested for exceeding the storage time for singular events and is not to be used as a regular operations practice.

- IDEM offers an Extension for On-Site Accumulation of Hazardous Waste guidance document for generators on how to request an extension:

https://www.in.gov/idem/waste/files/hw_info_onsite_extension.pdf

- If the generator is not granted an extension, after the 90-day period is exceeded, the generator will be considered an **operator** of a storage facility and become subject to the requirements of Parts [264](#), [265](#), and [270](#).



This guidance document:

- Explains the procedure for a small quantity generator (SQG) to obtain a 30-day extension to their 180 or 270-day accumulation, and a large quantity generator (LQG) to obtain a 30-day time limit extension to their 90-day accumulation limit.
- Does not apply to very small quantity generators (VSQG), as there is no time limit for on-site accumulation.
- Does not apply to episodic generators, as the rules do not allow for an extension.

In accordance with 40 CFR 262.16(d) for SQGs, and 40 CFR 262.17(b) for LQGs, a generator may request a one-time 30-day accumulation time limit extension for hazardous waste that may be stored on site longer than the 90/180/270 day time frame. IDEM may grant a 30-day extension to qualifying generators that surpass their time limits due to unforeseen, temporary, and uncontrollable circumstances. The reason for an extension request must be valid and thoroughly explained in order to be granted approval. **Generators must submit the extension request with the required information before their accumulation time limit has been exceeded.** Extensions are granted on a case-by case basis after review of the information provided by the generator.

In order to determine if an extension can be granted, generators must submit their request in writing to Hazwastereferrals@idem.IN.gov. Please include the following information:

- (1) Facility name
- (2) Facility address and mailing address
- (3) Facility EPA ID number
- (4) Facility generator status
- (5) Hazardous waste contact information
 - (a) Name
 - (b) Job Title
 - (c) Email
 - (d) Telephone Number
- (6) Hazardous waste information (for waste in question)
 - (a) Waste codes
 - (b) Waste description
 - (c) Quantity
 - (d) How it is managed (e.g., containers, tanks)
 - (e) Accumulation start date
- (7) Reason for extension

If the generator's hazardous waste accumulation time extension is granted, IDEM will issue an approval letter to the requesting facility.

In the event the generator exceeds the allotted accumulation storage time limit, an extension request cannot be granted. If the accumulation time limit is exceeded or if an extension cannot be granted, the generator is considered a storage facility, subject to Parts 264, 265, and 270. In the event the 30-day extension expires, the facility must comply with interim status requirements or have a permit for continued storage. If the generator has exceeded their allowed timeframe for on-site accumulation, they should consider self-disclosing their



Accumulation Time Limit - Exceeded

If the waste cannot be shipped off-site before the extension expires or if the waste has already exceeded the time limit, the generator should **self-disclose** that they are in violation of the on-site accumulation standard for hazardous waste generators.

- The IDEM's self-disclosure and environmental audit policy documents can be found at <https://www.in.gov/idem/ctap/self-disclosure-and-environmental-audit-policy/>



SELF-DISCLOSURE AND ENVIRONMENTAL AUDIT

State Form 55075 (8-12)

INDIANA DEPARTMENT OF ENVIRONMENTAL MANAGEMENT (IDEM)

INSTRUCTIONS: A copy of IDEM's Self-Disclosure and Environmental Audit Policy can be obtained by visiting IDEM's website at http://www.in.gov/idem/files/npd_mp_004_r2.pdf. For questions on how to complete a self disclosure, please contact IDEM's Compliance and Technical Assistance Program: toll-free (within Indiana) at 1-800-451-6027, press 0 and ask for extension 2-8172 or 317/232-8172 or by email at ctap@idem.IN.gov. Completed Self-Disclosures should be sent via certified U.S. Mail to:

Self-Disclosure and Environmental Audit Administrator
Indiana Department of Environmental Management
Mail Code 60-02P
100 North Senate Avenue, IGCN 1301
Indianapolis, Indiana 46204-2251

FACILITY INFORMATION				
Name				Is the regulatory entity a new owner? <input type="checkbox"/> Yes <input type="checkbox"/> No
Physical Street Address (number and street)				Is the facility a small regulated entity? <input type="checkbox"/> Yes <input type="checkbox"/> No
City	State	ZIP Code	NAICS Code	SIC Code
IDEM Program ID(s) (i.e., Plant ID, NPDES, RCRA, FID, CAFO/Farm ID, PWSID, Source ID)				
Mailing Street Address (if different from physical address)				
City	State	ZIP Code	Website	
AUTHORIZED CONTACT				



Why Should an Entity Identify and Voluntarily Disclose Violations to IDEM?

The policy provides a number of incentives to regulated entities for closely examining their operations and facilities. These incentives include:

- A reduction of up to 100% of a gravity-based penalty if all conditions are satisfied
- A reduction of up to 75% of a gravity-based penalty if conditions 2 through 9 are satisfied (conditions listed on next slides)
- IDEM will not recommend prosecution of the regulated entity to an Indiana Prosecuting Attorney or other prosecuting authority where IDEM determines that conditions 2 through 9 have been met and regulated entity managers did not conceal or condone the violation(s) or have a conscious involvement in or willful blindness toward the violation(s)
- IDEM's assurance that the agency will not request a copy of the audit report for purposes of civil or criminal investigation if the findings of the audit are disclosed under the Audit Policy.
- The Fact Sheet for Self-Disclosure and Environmental Audit Policy can be downloaded at: https://www.in.gov/idem/files/factsheet_ops_outreach_ctap_self-disclosure.zip



What are the Conditions an Entity Must Meet to Take Advantage of These Incentives?

Condition 1 - The violation was discovered by the regulated entity through either an environmental audit or implementation of a Compliance Management System. Regulated entities receiving assistance from IDEM's Compliance and Technical Assistance Program (CTAP), or other comparable programs, would likewise meet this condition

Condition 2 - The violation was discovered by the regulated entity voluntarily but was not something that was required to be monitored or sampled as a condition of a permit or other legal requirements

Condition 3 - The regulated entity promptly disclosed the violation to IDEM within a maximum of 45 calendar days after it became aware that the violation had occurred or may have occurred. IDEM encourages a regulated entity to notify the agency as soon as it becomes aware that a violation has occurred or may have occurred



What are the Conditions an Entity Must Meet to Take Advantage of These Incentives? – *Continued*

Condition 4 - The regulated entity identified and disclosed the violation

- a) Before a federal, state, or local agency conducted an inspection or investigation of the entity, or the agency requested information about the found violations
- b) Before the entity received notice of a citizen suit
- c) Before a third party filed a complaint in a court of law
- d) Before IDEM received a report of the violation(s) from a “whistle-blower” or other individual not authorized to speak on behalf of the regulated entity, or
- e) Before the imminent discovery of the violation by a federal, state, or local agency



What are the Conditions an Entity Must Meet to Take Advantage of These Incentives? – *Continued*

Condition 5 - The regulated entity must correct the violation within 60 days after it notified IDEM of the violation. The regulated entity must also certify in writing that the violation has been corrected and take appropriate measures to address any environmental or human harm that occurred due to the violation. Small regulated entities must correct the violation within 90 days but are encouraged to address the violation in the shortest possible time. These timeframes may be extended if approval from IDEM is granted and documented.

Condition 6 - The regulated entity must agree, in writing, to take steps to prevent the violation from happening again, for example, conducting an environmental audit, instituting an environmental management system, or putting in place other formalized approaches intended to identify and correct areas of noncompliance and prevent their future reoccurrence.

Condition 7 - The specific violation(s), or similar ones, cannot have occurred at the facility within the past three years (if the ownership of the facility has remained the same during that period of time). In addition, there cannot be a history of this same type of violation (or similar ones) occurring at facilities owned by the parent company (if one exists) within the past three years.



What are the Conditions an Entity Must Meet to Take Advantage of These Incentives? – *Continued*

Condition 8 - The violation cannot be one that resulted in serious actual harm or may have presented an imminent and substantial endangerment to human health or the environment. In addition, the violation could not be one which violated the terms of any legal agreement with a regulatory agency

Condition 9 - The facility cooperates with IDEM in its efforts to determine if the Audit Policy applies to the violations disclosed

Note: For a regulated entity with a new owner, self-disclosures that satisfy Conditions 3 through 9 may be considered voluntary under the Audit Policy when they are made prior to the first required instance of monitoring, sampling, auditing, or reporting that should have identified the disclosed violations.



Questions?



CTAP help is a mouse click away





Compliance and Technical
Assistance Program

Empowering Indiana businesses with environmental compliance assistance that is:

- Free and confidential
- Non-regulatory
- Multimedia



CTAP Services

CTAP Hotline
and Online
Portal

Site
Assessments

Training

Online
Resources

Contact CTAP to:

- Receive timely assistance with interpreting a rule or permit requirement.
- Determine what steps are needed to obtain a permit to operate or modify processes.
- Ask general environmental regulatory or compliance questions
- Request a site assessment.

Submit a confidential request via CTAP's online portal:

portal.idem.IN.gov.

Or call our hotline: 317-232-8172 or 800-988-7901



CTAP Online Portal

IDEM has a Compliance and Technical Assistance Program online portal through Access Indiana. This portal is a secure online system that makes it easier for businesses and organizations to request confidential assistance regarding environmental regulations, compliance, and permitting.

In the CTAP portal, businesses, companies, organizations, and individuals can:

- Create a secure account and submit confidential requests directly.
- Request confidential site assessments for your business or specific equipment/processes.
- Communicate and track interactions with CTAP staff.
- Invite collaborators within the company or designated consultants to access and view the CTAP request and recommendations.
- Provide feedback to the CTAP team through surveys.



**To submit a confidential request using the CTAP portal,
visit portal.idem.IN.gov.**



Available Services



[IN.gov/access](https://www.in.gov/access)

 Indiana Unclaimed Property Attorney General	 Quick Quote Bureau of Motor Vehicles	 BMV Online Scheduler Bureau of Motor Vehicles	 Indiana Public Safety Portal Department of Homeland Security	 IURC Online Services Portal Utility Regulatory Commission	 Search for a License Professional Licensing Agency
 Travel Advisory Department of Homeland Security	 Campground Reservations Department of Natural Resources	 Ginseng Dealers Department of Natural Resources	 Fish & Wildlife Department of Natural Resources	 First Steps Make a First Steps Payment Family and Social Services Administration	 IDEM Compliance and Technical Assistance Program (CTAP) Indiana Department of Environmental Management
 Check Refund Status Department of Revenue	 DORpay Department of Revenue	 INtaxpay Department of Revenue	 Job Seeker Portal Department of Workforce Development	 Birth and Death Records Indiana Department of Health	 DRIVE Indiana Department of Health
 Child Care Finder Family and Social Services Administration	 INconnect Alliance Family and Social Services Administration	 INconnect Family and Social Services Administration	 Indiana Addiction Treatment Family and Social Services Administration	 Register to Vote Secretary of State	



Check the Available Services to see a list of all online services utilizing the Access Indiana login ([IN.gov/access/available-services](https://www.in.gov/access/available-services)).



A SINGLE LOGIN & PASSWORD FOR YOUR INDIANA SERVICES



CTAP Online Portal



CTAP online portal can also be accessed through IDEM's electronic resources.

<https://portal.idem.in.gov/>



Upcoming Virtual Training

Wednesday, Jan 31, 2024, 9:30 - 11:30 ET

Potential to Emit

- Legal Definitions from Air Regulations
 - Potential to Emit (PTE)
 - Determining Permit Levels
 - PTE Calculations / Exercises

For More Information or to Register Visit: on.in.gov/e101-Jan312024



Michele Murday Pariso

219-250-0119 | mmurday@idem.IN.gov
www.idem.IN.gov/ctap



Alan Minne

317-691-6532 | aminne@idem.IN.gov
www.idem.IN.gov/ctap

