

Inspection Checklist

Universal Waste Handlers of Electronic Devices, CRTs & CRT Glass

Facility Name: _____

Identification Number: _____

Facility Address: _____

Date Inspected: _____

Inspected By: _____

Type of Inspection: Annual: Re-inspection: Complaint:

Consent given by: _____ Title: _____ Time: _____

DISCLAIMER

This checklist is intended to provide guidance only. This checklist does not replace or supersede relevant statutes and regulations. The information contained in this checklist is based upon the statutes and regulations in effect as of the date the checklist was signed. Interested parties are advised to keep apprised of subsequent changes to relevant statutes and regulations.

Note: Citations that start with the number "66" are to the California Code of Regulations (CCR), title 22, division 4.5. Citations that start with the number "42" are to the Public Resources Code, division 30, part 3, chapter 8.5.

If CRT Recycler is a permitted HW Facility and the CRT activities are covered under the permit, apply standards applicable to a HW Facility and do not use this checklist.

Check box below as appropriate (v = violation)

HAZARDOUS WASTE (HW) DETERMINATION	
<input type="checkbox"/>	66262.11 - Failed to determine if a waste was a HW, applying knowledge of the hazard characteristics, or excluded from regulation
<input checked="" type="checkbox"/>	PROHIBITIONS
<input type="checkbox"/>	66273.31(a) -- Disposed of universal waste.
<input type="checkbox"/>	66273.31(b) - Diluted or treated a UW unless requirements of this section are met.
<input checked="" type="checkbox"/>	NOTIFICATION
<input type="checkbox"/>	66273.32(a)(1) – Failed to send a written notification of universal waste management to the Regional Administrator, and receive a federal ID Number, before accumulating 5,000 kilograms of universal waste.
<input type="checkbox"/>	66273.32(b) – Failed to obtain a California ID Number pursuant to 66260.10 prior to accumulating more than 5,000 kg of non-RCRA UW.
<input type="checkbox"/>	66273.32(c)(1) – Failed to notify the Department 30 calendar days prior to accepting and accumulating any electronic device, CRT, and/or CRT glass from any offsite source.
<input type="checkbox"/>	66273.32(c)(2) – Submitted an incomplete notification.
<input type="checkbox"/>	66273.32(c)(3) – Failed to notify the Department 30 calendar days prior to accepting any electronic device, CRT, and/or CRT glass from any offsite source for each location at which the universal waste handler accepts or accumulates electronic devices, CRTs and/or CRT glass.
<input type="checkbox"/>	66273.32(d)(1) – A UW handler of > 100 kg (220 lbs.) of electronic devices, CRTs and CRT glass failed to submit an electronic or written Annual Report, by February 1 of the following year covering the previous year's activity.

<input type="checkbox"/>	66273.32(d)(2) – A generator of >5,000 kg UW electronic devices, CRTs, and/or CRT glass failed to submit an electronic or written annual report by February 1 of the following year.
<input type="checkbox"/>	66273.32(d)(3) -- Submitted an incomplete Annual Report.
<input checked="" type="checkbox"/>	MANAGEMENT REQUIREMENTS FOR EDs, CRTs and CRT GLASS ELECTRONIC DEVICES (ED)
<input type="checkbox"/>	66273.33.5(a)(1)(B)1. – Failed to contain any electronic device in a manner that prevents breakage and release of components to the environment.
<input type="checkbox"/>	66273.33.5(a)(1)(B)2. – Failed to immediately clean up and place in a structurally sound container any ED that is accidentally or unintentionally broken and may be expected to cause a release of hazardous constituents to the environment under reasonably foreseeable conditions.
<input checked="" type="checkbox"/>	CRTs
<input type="checkbox"/>	66273.33.5(b)(1)(B)1. – Failed to contain any CRT in a container or package that is structurally sound, adequate to prevent breakage of the CRT, and compatible with the contents of the CRT.
<input type="checkbox"/>	66273.33.5(b)(1)(B)2 – Failed to immediately clean up and place in a structurally sound container any CRT that is broken or any CRT that shows evidence of breakage, leakage, or damage that could cause the release of CRT glass or other hazardous constituents to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.33.5(b)(1)(B)3 – Failed to place CRTs in a container with packing material, if such material is necessary to prevent breakage during handling, storage and transportation.

CRT GLASS	
<input type="checkbox"/>	66273.33.5(c)(1)(B)1 – Failed to contain any CRT glass in a container or package that is structurally sound and compatible with the contents of the CRT glass to prevent releases to the environment.
<input type="checkbox"/>	66273.33.5(c)(1)(B)2 – Failed to immediately clean up and place in a structurally sound container any CRT glass that is released from a broken CRT or that is spilled.
<input type="checkbox"/>	66273.33.5(c)(1)(B)2 – Failed to immediately clean up and place in another container any CRT glass that is released as a result of breakage, leakage, or damage to a container of CRT glass and failed to place any unreleased CRT glass remaining in the broken, leaking, or damaged container in a structurally sound container.
v	
LABELING /MARKING	
<input type="checkbox"/>	66273.34(d) – Failed to label or mark each electronic device, or a container or pallet in or on which the electronic devices are contained, with the phrase: "Universal Waste – Electronic Device".
<input type="checkbox"/>	66273.34(e) – Failed to label or mark clearly each CRT, or container or pallet with the phrase: "Universal Waste – CRT(s)".
<input type="checkbox"/>	66273.34(f) – Failed to label or mark clearly a container of CRT glass with the phrase: "Universal Waste – CRT glass".
or	
<input type="checkbox"/>	66273.34(g) – Failed to demarcate a designated universal waste accumulation area and label the area with the applicable portion(s) of the phrase: "Universal Waste – Electronic Device(s)/Universal Waste – CRT(s)/Universal Waste – CRT Glass".
v	
ACCUMULATION TIME LIMITS	
<input type="checkbox"/>	66273.35(a) -- Accumulated universal waste for greater than one year.
<input type="checkbox"/>	66273.35(b) -- Failed to demonstrate the length of time the universal waste has been accumulated from the date it became a waste or was received by any of the methods specified in subsection (1)-(6) below:
<input type="checkbox"/>	66273.35(b)(1) 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;
<input type="checkbox"/>	Or , 66273.35(b)(2) – Marking or labeling the individual item of universal waste with the date it became a waste or was received;
<input type="checkbox"/>	Or , 66273.35(b)(3) – Maintaining an inventory system onsite that identifies the date the universal waste being accumulated became a waste or was received;
<input type="checkbox"/>	Or , 66273.35(b)(4) – Maintaining an inventory system onsite that identifies the earliest date that any universal waste in a group of items of universal waste or a group of containers of universal waste became a waste or was received;

<input type="checkbox"/>	Or , 66273.35(b)(5) – Placing the universal waste in a specific accumulation area and marking or labeling the area to identify the earliest date that any universal waste in the area became a waste or was received;
<input type="checkbox"/>	Or , 66273.35(b)(6) – Any other method which clearly demonstrates the length of time that the universal waste has been accumulated from the date it became a waste or was received.
PERSONNEL TRAINING	
<input type="checkbox"/>	66273.36(a) – Failed to ensure that all personnel who manage universal waste from offsite sources at the universal waste handler's facility are thoroughly familiar with proper universal waste management and emergency response procedures, relative to those persons' responsibilities as specified below.
<input type="checkbox"/>	66273.36(b) – Failed to initially train all personnel who manage or who supervise those who manage universal waste from offsite sources.
<input type="checkbox"/>	66273.36(b) – Failed to provide annual training to all personnel who manage or who supervise those who manage universal wastes from offsite sources.
<input type="checkbox"/>	66273.36(b)(1) – Failed to include in the initial training materials the types and hazards associated with the universal waste that personnel may manage at the facility (e.g., hazards due to leaded glass in CRT devices or CRTs);
<input type="checkbox"/>	66273.36(b)(2) – Failed to include in the initial training materials the proper disposition of universal waste managed at the facility (e.g., the locations of universal waste container(s), or the location of a centralized universal waste accumulation area);
<input type="checkbox"/>	66273.36(b)(3) – Initial training materials failed to include the proper procedures for responding to releases of universal wastes (e.g., spilled CRT glass) including the position titles and the means of contacting those personnel at the facility who are designated to respond to reports of releases (e.g. spilled CRT glass) and/or to respond to questions received from other personnel at the facility.
<input type="checkbox"/>	66273.36(b)(4) – Failed to include initial training materials the applicable requirements in CCR title 22, Div. 4.5 Chapter 23.
<input type="checkbox"/>	66273.36(c) – Failed to maintain a written record by date indicating the names of personnel who received the information specified in 66273.36(b).
<input type="checkbox"/>	66273.36(d) – Failed to maintain training records specified in 66273.36(c) for at least three years from the date the person last managed any universal waste at the facility.
v	
RESPONSE TO RELEASES	
<input type="checkbox"/>	66273.37(a) – Failed to immediately contain all releases of universal waste and residues from universal waste to the environment.

<input type="checkbox"/>	66273.37(b) – Failed to determine whether any universal waste or residues from universal waste released to the environment is a hazardous waste.
<input type="checkbox"/>	66273.37(c) – Failed to repackage residues of leaking, broken, or otherwise damaged universal waste according to the standards of section 66273.33 or 66273.33.5.
V	OFFSITE SHIPMENTS
<input type="checkbox"/>	66273.38(a) - Sent or took UW to a place other than another UW handler, a destination facility, or a foreign destination.
<input type="checkbox"/>	66273.38(b) - A UW handler that transports UW off-site failed to comply with the UW transporter requirements.
<input type="checkbox"/>	6627338(c) - A UW handler that offers UW that meets the definition of a hazardous material for off-site transportation failed to package, label, mark and placard the shipment according to applicable U.S DOT regulations.
<input type="checkbox"/>	66273.38(d) -The originating UW handler failed to obtain an agreement from the receiving UW handler or destination facility prior to sending a shipment of UW.
<input type="checkbox"/>	66273.38(e)(1) – When the UW shipment is rejected by another UW handler or destination facility, the originating UW handler failed to receive back the UW. or 66273.38(e)(2) – Send the UW to another UW destination facility or handler.
<input type="checkbox"/>	66273.38(f)(1) - The receiving UW handler that rejects a shipment of UW failed to notify the originating UW handler of the rejected load and/or 66273.38(f)(2) – Failed to return the UW to the originating UW handler, or not agreeing with the originating UW handler to send the UW to another UW destination facility.
<input type="checkbox"/>	66273.38(g) - A UW handler that receives a shipment of UW containing hazardous waste failed to notify DTSC of the shipment.
<input type="checkbox"/>	66273.38(h) - A UW handler that receives a shipment of non-hazardous, non-UW, failed to manage the waste in compliance with applicable federal, state, and local solid waste regulations.
V	TRACKING UNIVERSAL WASTE SHIPMENTS
<input type="checkbox"/>	66273.39(a) – Failed to keep a record of each shipment of UW received at the UW handler's facility.
	Except as specified in 66273.39(b), a UW handler failed to record for each shipment of UW received the information required in subsection (1) – (3) below:
<input type="checkbox"/>	66273.39(a)(1) The name and address of the originating UW handler from which the UW was sent;
<input type="checkbox"/>	66273.39(a)(2) The quantity of each type of UW received.
<input type="checkbox"/>	66273.39(a)(3) The date of receipt of the shipment of UW.
	66273.39(b) For purposes of compliance with (a) of this section, a UW handler who receives UW from household generator and conditionally exempt small quantity UW generators, failed to do the following:

<input type="checkbox"/>	66273.39(b)(1) in lieu of the originating UW handler's name and address, record "household generator" and/or CESQUWG;
<input type="checkbox"/>	66273.39(b)(2) record the total quantity of each type of UW as an aggregate from households and/or CESQUWGs.
<input type="checkbox"/>	66273.39(c) Failed to keep a record of each shipment of UW sent from the UW handler's facility to another facility.
<input type="checkbox"/>	66273.39(c)(1) – Failed to record the name and address of the UW handler or destination facility to which the UW was sent.
<input type="checkbox"/>	66273.39(c)(2) – Failed to record the quantity of each type of UW sent.
<input type="checkbox"/>	66273.39(c)(3) – Failed to record the date the shipment was sent.
<input type="checkbox"/>	66273.39(d)(1) – Failed to retain each record described in (a) of this section for 3 years from the date of receipt of the corresponding shipment of UW.
<input type="checkbox"/>	66273.39(d)(2) – Failed to retain each record described in (b) of this section for 3 years from the date of departure of the corresponding shipment of UW.
V	EXPORTS
<input type="checkbox"/>	66273.40(a)(3)(A) – Exported used CRTs for reclamation and failed to comply with the federal notification and EPA Acknowledgment of Consent requirements of 40 Code of Federal Regulations section 261.39(a)(5), if applicable.
<input type="checkbox"/>	66273.40(a)(3)(B) – Exported intact used CRTs for reuse, and failed to comply with federal notification and recordkeeping requirements of 40 Code of Federal Regulations section 261.41, if applicable
<input type="checkbox"/>	66273.40(a)(3)(C) – Failed to notify the Department, in accordance with subsection (a)(4) of this section, of an intended export 60 days before any EDs, CRTs, and/or CRT glass are scheduled to leave the US. The notification covers a 12 month or lesser period.
<input type="checkbox"/>	66273.40(a)(3)(D) – Failed to concurrently send a copy of the notification required in (a)(3)(C) of this section to the CUPA having jurisdiction over the UW handler's facility, or if there is no such CUPA, to the agency authorized pursuant to subdivision (f) of H&SC section 25404.3.
<input type="checkbox"/>	66273.40(a)(4)(A) – Failed to include in the 66273.40(a)(3)(C) notification the name, mailing address, telephone number, and ID Number (if applicable) of the UW handler.
	66273.40(a)(4)(B) -- Failed to include in the 66273.40(a)(3)(C) notification the information required in subsections 1-9 below:
<input type="checkbox"/>	66273(a)(4)(B)1 – The quantity (by count or by weight) and volume of the electronic devices, the CRTs, and/or the CRT glass, respectively, to be exported to the foreign destination;
<input type="checkbox"/>	66273.40(a)(4)(B)2 – The estimated frequency or rate at which the electronic devices, the CRTs, and/or the CRT glass, respectively, are to be exported to that destination;
<input type="checkbox"/>	66273.40(a)(4)(B)3 – All points of entry to and departure from each foreign country through which the electronic devices, the CRTs, and/or the CRT glass, respectively, will pass en route to the foreign destination;
<input type="checkbox"/>	66273.40(a)(4)(B)4 – A description of the

		means by which each shipment of the electronic device, the CRTs, and/or the CRT glass, respectively, will be transported (e.g., mode of transportation vehicle, types(s) of containers).
<input type="checkbox"/>		66273.40(a)(4)(B)5 – If the foreign destination is a destination facility that recycles the electronic devices, CRTs, and/or CRT glass, a description of the means by which the electronic devices, the CRTs, and/or the CRT glass, respectively, will be recycled at the destination facility;
<input type="checkbox"/>		66273.40(a)(4)(B)6 – The name and site address of the foreign destination or any alternate foreign destination.
<input type="checkbox"/>		66273.40(a)(4)(B)7 – For used CRTs to be exported for reclamation, a copy of the notification forwarded by the exporter to USEPA pursuant to 40 Code of Federal Regulations section 271.39(a)(5)(i).
<input type="checkbox"/>		66273.40(a)(4)(B)8 – For used, intact CRTs to be exported for reuse, a copy of the one time notification submitted by the export to the USEPA pursuant to 40 Code of Federal Regulations section 261.41.
<input type="checkbox"/>		66273.40(a)(4)(B)9 – For CRT glass to be exported, the name and location of the lead smelter or CRT glass furnace that will recycle the CRT glass.
<input type="checkbox"/>		66273.40(b) A person who exports used CRTs for reclamation failed to forward a copy of the EPA Acknowledgment of Consent to the Department within 30 calendar days of receipt.
<input type="checkbox"/>		66273.40(c) – Failed to keep copies of notification and all applicable records which demonstrate compliance pursuant to subsections (a)(4)(B)7 through (a)(4)(B)9 and subsection (b) of this section for a period of three years from the date of shipment.
	V	IMPORTS
<input type="checkbox"/>		66273.41(a) A person who manages a UW that is imported into the United States from a country, other than an OECD country specified in section 66262.58, subsection (a)(1), failed to comply with the applicable requirements of this chapter, beginning immediately after the universal waste enters the United States, as indicated in subsections (a)(1) through (a)(3) of this section: (1) A UW transporter failed to comply with the universal waste transporter requirements of article 5 of this chapter.
<input type="checkbox"/>		Or, (2) Failed to comply with the UW handler requirements of article 3 of this chapter, as applicable.
<input type="checkbox"/>		Or, (3) An owner or operator of a destination facility failed to comply with destination facility requirements of article 6 of this chapter.
	V	TRANSPORTERS -- PROHIBITIONS
<input type="checkbox"/>		66273.51(a) – Disposed of universal waste.
<input type="checkbox"/>		66273.51(b) – Diluted or treated a UW, except as a consequence of responding to a release as provided in section 66273.54.
<input type="checkbox"/>		66273.51(c) – Transported more than 5 CRTs at any one time which were not contained as described in 66273.33.5(b)(1)(B).
<input type="checkbox"/>		66273.51(d) – Transported more than 100 kilograms or 220 pounds of electronic devices at any one time and not contained as

		described in 66273.33.5(a)(1)(B).
	V	TRANSPORTERS -- WASTE MANAGEMENT
<input type="checkbox"/>		66273.52(a) – Failed to comply with all applicable DOT regulations in 49 CFR parts 171 – 180 for transport of any UW that meets the definition of a hazardous material in 49 CFR 171.8.
	V	TRANSPORTERS – STORAGE TIME LIMITS
<input type="checkbox"/>		66273.53 – Stored UW at a UW transfer Facility in an area zoned “industrial” for more than 10 days or in any other area for more than 6 days, without complying with article 3 of this chapter.
		TRANSPORTERS – RESPONSE TO RELEASES
<input type="checkbox"/>		66273.54(a) – Failed to immediately contain all releases of UW and of residues from UW to the environment.
<input type="checkbox"/>		66273.54(b) – Failed to determine whether any material resulting from a UW release to the environment is a hazardous waste and, if so, failed to manage the hazardous waste in compliance with all applicable requirements of this division.
<input type="checkbox"/>		66273.54(c) – Failed to repackage according to the standards of section 66273.33 or 66273.33.5 any residues of leaking, broken, or otherwise damaged UW.
	V	TRANSPORTERS – OFFSITE SHIPMENTS
<input type="checkbox"/>		66273.55(a) – Transported UW to a place other than a UW handler, a destination facility, or a foreign destination.
<input type="checkbox"/>		66273.55(b) – Shipped a UW that meets the DOT definition of a hazardous material and failed to use a proper shipping name on the shipping papers.
		TRANSPORTERS -- EXPORTS
<input type="checkbox"/>		66273.56(a)(1) – A UW transporter transported UW to an OECD country specified in 66262.58(a)(1) and failed to comply with the requirements of article 8 of chapter 12.
<input type="checkbox"/>		66273.56(a)(2) – A UW transporter accepted UW for shipment to a country other than an OECD country knowing the shipment does not conform to the EPA Acknowledgment of Consent.
<input type="checkbox"/>		66273.56(a)(2)(A) – Failed to ensure that a copy of the EPA Acknowledgment of Consent accompanies the UW export shipment.
<input type="checkbox"/>		66273.56(a)(2)(B) – Failed to ensure the shipment is delivered to the facility designated by the person who initiated the shipment.
	V	DESTINATION FACILITIES
<input type="checkbox"/>		66273.60(c) – A permitted hazardous waste facility stored non-RCRA UW according to the reduced requirements of this chapter without modifying its permit to designate a UW storage area.
<input type="checkbox"/>		66273.61(a) – Sent UW to a place other than a UW handler, another destination facility, or a foreign destination.
<input type="checkbox"/>		66273.61(b) - A destination facility that rejects a shipment containing UW failed to contact the shipper to notify him of the rejection and to discuss reshipment of the load.
<input type="checkbox"/>		66273.61(b)(1) and (2) – Rejected a load of

		UW and failed to either return the shipment back to the original shipper or agreed with the original shipper to send the shipment to another destination facility.
<input type="checkbox"/>		66273.61(c) - A destination facility that receives a shipment as UW which contains HW that is not UW failed to immediately notify DTSC of the illegal shipment.
<input type="checkbox"/>		66273.61(d) - A destination facility that received a shipment of non-hazardous, non-UW failed to manage the waste in compliance with applicable federal or state solid waste regulations.
v		ADDITIONAL EXPORT REQUIREMENTS FOR COVERED ELECTRONIC DEVICES
<input type="checkbox"/>		42476.5(a) – Failed to notify the Department, at least 60 days prior to Export, of the destination, contents, and volume of covered e-waste to be exported to any foreign destination.
<input type="checkbox"/>		42476.5(b) – Failed to demonstrate that the waste or device is being exported for the purposes of recycling or disposal.
<input type="checkbox"/>		42476.5(c) – Failed to demonstrate that the importation of the waste or device is not prohibited by an applicable law in the state or country of destination and that any import will be conducted in accordance with all applicable laws.
<input type="checkbox"/>		42476.5(c) – Failed to forward required import and operating licenses to the Department.
<input type="checkbox"/>		42476.5(d) – Failed to demonstrate that the exportation of covered e-waste is conducted only in accordance with applicable international law.
<input type="checkbox"/>		42476.5(e)(1) – Failed to demonstrate that the management of the exported covered e-waste will be handled within the country of destination in accordance with applicable rules, standards, and requirements adopted by the OECD for the environmentally sound management of electronic waste.
v		DESTINATION FACILITY RECORDKEEPING
<input type="checkbox"/>		66273.62(a) - Failed to keep a record of each shipment of UW received at the facility.
<input type="checkbox"/>		66273.62(a)(1) -- Failed to record the name and address of the UW handler, destination, or foreign shipper from which the UW was sent.
<input type="checkbox"/>		66273.62(a)(2) -- Failed to record the quantity of each type of UW received (e.g. batteries, thermostats, lamps, electronic devices, CRTs, CRT glass).
<input type="checkbox"/>		66273.62(a)(3) – Failed to record the date of receipt of the shipment of UW.
<input type="checkbox"/>		66273.62(b) - Failed to retain shipment records for at least three years from the date of receipt of the corresponding shipment of UW.
v		RECYCLERS
<input type="checkbox"/>		66273.70(a) – Treated EDs, CRTs and/or CRT glass without recycling and failed to comply with chapters 14, 15, 16, 18, 20, and/or 22 of 22 CCR div 6.5.
<input type="checkbox"/>		66273.71(d)(1) – A handler who removes user-replaceable components failed to make a HW determination on residuals that are HW.

<input type="checkbox"/>		66273.71(d)(1)(A) – A handler who removes user-replaceable components failed to manage HW residuals in compliance with applicable HW requirements.
<input type="checkbox"/>		66273.71(f)(1) –Failed to manage residual printed circuit boards in a manner that prevents a release to the environment.
<input type="checkbox"/>		66273.71(f)(1)(A) – Failed to place residual printed circuit boards in a structurally sound container.
<input type="checkbox"/>		66273.71(f)(1)(B) – Failed to label a residual printed circuit board container with the phrase: “Residual Printed Circuit Boards”.
<input type="checkbox"/>		66273.71(f)(1)(C) – Failed to clean up and place in a container spilled residual printed circuit boards or those that might reasonably be expected to cause a release to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>		66273.71(g) – Treated hazardous waste generated by activities authorized by 66273.71 in a way not provided for under subsections (e) or (f) and failed to obtain a hazardous waste facility permit or other form of authorization from the Department.
v		DISASSEMBLING/DRAINING ACTIVITIES
<input type="checkbox"/>		66273.72(a)(1) – Used water, chemicals, and/or external heat to disassemble EDs, CRTs and/or CRT glass.
<input type="checkbox"/>		66273.72(a)(2) – Failed to perform a HW determination for all residuals resulting from activities performed pursuant to 66273.72(c).
<input type="checkbox"/>		66273.72(a)(2)(B) – Generated HW residuals and failed to comply with all applicable requirements of chapters 12, 14, 15, 16, 18, 20, 22, and 23, and HSC 25153.6.
		66273.72(a)(4) – Prior to conducting any subsequent treatment activity authorized by section 66273.73 on any residual printed circuit board resulting from removal activities conducted under this section, a UW handler failed to manage the residual printed circuit board in a manner that prevents a release to the environment by:
<input type="checkbox"/>		66273.72(a)(4)(A) – Failed to contain the residual printed circuit board in a container that is structurally sound and compatible with the residual printed circuit board.
<input type="checkbox"/>		66273.72(a)(4)(B) – Failed to label the container with the phrase, “Residual Printed Circuit Boards”.
<input type="checkbox"/>		66273.72(a)(4)(C)– Failed to clean up a spilled residual printed circuit board or one that might reasonably be expected to cause a release to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>		66273.72(a)(5) – Conducted further treatment of residual printed circuit boards, CRT residual, and/or CRT glass-residual <u>and</u> failed to comply with section 66273.73.
<input type="checkbox"/>		66273.72(a)(6) – A UW handler who conducts no further treatment of residual printed circuit boards failed to comply with 66273.75(c).
<input type="checkbox"/>		66273.72(a)(7) – Treated residuals that are HW in a manner not authorized in 66273.72 <u>and</u> failed to obtain a hazardous waste facility permit or other form of authorization from the Department.

v	REMOVING CRTS FROM CRT DEVICES
<input type="checkbox"/>	66273.72(b)(1) – Removed CRTs from electronic devices in a manner that failed to prevent breakage of the CRTs.
<input type="checkbox"/>	66273.72(b)(2)(A) – Removed CRTs and failed to use a containment device (e.g., a tray, a box, a workbench, a table, or an enclosed machine) sufficient in size and construction to contain any CRT glass that may be released to the environment.
<input type="checkbox"/>	66273.72(b)(2)(B) – Failed to ensure that persons removing CRTs are thoroughly familiar with the techniques and safety precautions required to remove CRTs safely (e.g. releasing the vacuum from each CRT and discharging the CRT).
<input type="checkbox"/>	66273.72(b)(2)(C) – Failed to place the removed CRTs in a container with packing materials, if such materials are necessary to prevent breakage of the CRTs during handling, storage and transportation.
<input type="checkbox"/>	66273.72(b)(2)(D) – Failed to manage the packaged CRTs in accordance with the requirements of 66273.33.5(b).
	ED DISMANTLING AND CRT YOKE REMOVAL
v	66273.72(c) ED handlers who manually dismantle or otherwise segregate ED components (e.g. circuit boards, integrated circuits, metals, plastic, wiring, batteries, lamps, etc.) from EDs or manually removes yokes without breaking the CRT glass
<input type="checkbox"/>	66273.72(c)(1)(B) – Failed to remove yokes from CRTs without breaking the CRT glass.
<input type="checkbox"/>	66273.72(c)(2)(A) – Failed to comply with the notification, annual reporting, and recordkeeping requirements specified in 66273.74, subsections (a) through (c)(1).
<input type="checkbox"/>	66273.72(c)(2)(B) – Failed to ensure that all activity residuals meeting either the definition of scrap metal in 66260.10 or the definition of CRT glass in 66273.9 are recycled.
<input type="checkbox"/>	66273.72(c)(2)(C)1. – Failed to dismantle electronic devices and/or remove yokes from CRTs over, on, or in a containment device (e.g., a tray, a box, a workbench, a table, or an enclosed machine) sufficient in size and construction to contain any universal waste and/or component of such waste that may be released to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.72(c)(2)(C)2. – Failed to contain any hazardous residuals produced from dismantling electronic devices and/or removing yokes from CRTs in a manner that prevents releases of the residual to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.72(c)(2)(C)3. – Failed to immediately clean up and place in a container any electronic device and/or CRT that is accidentally or unintentionally broken and that my reasonably be expected cause a release to the environment under reasonably foreseeable conditions, and/or the container was not structurally sound, or compatible with the contents of the electronic device and/or CRT, and/or the container could not prevent releases to the environment under reasonably foreseeable conditions.

<input type="checkbox"/>	66273.72(c)(2)(C)4. – Failed to place CRTs in a container with packing materials, if such materials are necessary to prevent breakage during handling, storage and transportation.
<input type="checkbox"/>	66273.72(c)(2)(C)5. – Failed to ensure that persons performing the activities are thoroughly familiar with the hazards associated with such treatment, have access to the proper procedures and protective equipment necessary to conduct the treatment safely, use such protective equipment if required by any applicable health and safety requirements, and comply with the requirements of this section.
<input type="checkbox"/>	66273.72(c)(2)(C)6. – Failed to ensure that the facility is operated in compliance with all applicable health and safety laws and regulations (e.g., Cal. Code Regs. Title 8 ch. 4 (Division of Industrial Safety) subch. 7 (General Industry Safety Orders), group 16 (Control of Hazardous Substances), art. 107 (Dusts, Fumes Vapors and Mists), and art. 109 (Hazardous Substances and Processes, and sec. 5198 (Lead)).
<input type="checkbox"/>	66273.72(c)(2)(C)7. – Failed to ensure that the facility maintains aisle spacing in compliance with applicable fire safety code standards in California.
v	AUTHORIZATION FOR TREATMENT (PROCESSING) ACTIVITIES
	TREATING ELECTRONIC DEVICES
<input type="checkbox"/>	66273.73(a)(1)(C) – UW handler treated electronic devices and/or residual printed circuit boards under 66273.73(a)(1)(B) (i.e. producing scrap metal and UW under this chapter) and failed to:
<input type="checkbox"/>	66273.73(a)(1)(C)1. – Follow the notification, annual reporting and recordkeeping requirements of 66273.74.
<input type="checkbox"/>	66273.73(a)(1)(C)2. – Comply with 66273.75.
<input type="checkbox"/>	66273.73(a)(2)(C) – UW handler treated electronic devices and/or residual printed circuit boards which produced any residual which exhibits a hazardous waste characteristic, does not meet the definition of scrap metal in 66273.9 and does not qualify for management as universal waste pursuant to this chapter failed to follow the requirements of section 66273.33.5, subsection (a)(1) and to do the following:
<input type="checkbox"/>	66273.73(a)(2)(C)1. – Follow the notification, annual reporting, and/or recordkeeping requirements specified in 66273.74.
<input type="checkbox"/>	66273.73(a)(2)(C)2. – Comply with the 66273.75 standards.
<input type="checkbox"/>	66273.73(a)(2)(C)3. – Comply with the closure standards in 66273.76.
<input type="checkbox"/>	66273.73(a)(2)(C)4. – Comply with the closure standards in 66273.77, if applicable.
v	TREATING CRTS AND/OR CRT GLASS
<input type="checkbox"/>	66273.73(b) A UW handler breaks CRT glass and whose other UW activities are authorized elsewhere failed to do the following:
<input type="checkbox"/>	66273.73(b)(3)(A) The notification, annual reporting, and recordkeeping requirements specified in 66273.74.
<input type="checkbox"/>	66273.73(b)(3)(B) The standards specified in 66273.75.
<input type="checkbox"/>	66273.73(b)(3)(C) The closure plan and financial requirements specified in 66273.76.

<input type="checkbox"/>	66273.73(b)(3)(D) The applicable closure requirements specified in 66273.77.
v	PRINTED CIRCUIT BOARD RECYCLING
<input type="checkbox"/>	66273.73(d)(2)(A) Treated printed circuit boards derived from processes not authorized under this article.
<input type="checkbox"/>	66273.73(d)(2)(B) Failed to containerize and label the printed circuit board pursuant to 66273.75(b).
<input type="checkbox"/>	66273.73(d)(2)(C) – Subsequent to performing authorized treatment and before recycling, failed to determine that the printed circuit board is exempt or excluded scrap metal.
	NOTIFICATION, ANNUAL REPORTING, AND RECORDKEEPING
v	NOTIFICATION
<input type="checkbox"/>	66273.74(a)(1) Failed to notify the Department, either in writing or electronically, 30 calendar days prior to treating any electronic device and/or CRT.
<input type="checkbox"/>	66273.74(a)(1)(A-J) Submitted an incomplete notification.
v	ANNUAL REPORTING
	66273.74(b)(1) Failed to submit to the Department, either in writing or electronically, an annual report by February 1 of the following year.
<input type="checkbox"/>	66273.74(b)(1)(A-K) Submitted an incomplete annual report.
v	RECORDKEEPING
<input type="checkbox"/>	66273.74(c)(1)(A)1. Failed to maintain on file a copy of the initial notification required in 66273.74(a).
<input type="checkbox"/>	66273.74(c)(1)(A)2. Failed to maintain on file a copy of the annual report required in 66273.74(b).
<input type="checkbox"/>	66273.74(c)(1)(A)3. Failed to maintain on file a copy of any local air district permit and/or other relevant permit required for the facility.
v	TREATMENT (PROCESSING) STANDARDS
<input type="checkbox"/>	66273.75(a)(1) A UW handler used a treatment standard not authorized in 66273.73(c).
<input type="checkbox"/>	66273.75(a)(2) Failed to ensure that all mercury-containing lamps, PCB capacitors, and other components containing fluids (i.e., liquids or gases) that would be identified as hazardous wastes, are removed prior to treatment methods that may release the fluids such as cutting, sawing, breaking, shredding, crushing, grinding, screening, sieving, acceleration or compacting.
<input type="checkbox"/>	66273.75(a)(3) Failed to conduct treatment activities over, or in, a containment device (e.g., a tray, a box, a workbench, a table, or an enclosed machine) sufficient in size and construction to contain any materials that might be released to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.75(a)(4) Failed to ensure that all hazardous wastes generated from treatment activities and sent offsite for disposal are managed (i.e., manifested) in accordance with the applicable requirements of article 2 of ch. 12 of this division.

<input type="checkbox"/>	66273.75(a)(5) Failed to comply with 66265.18 and 66265.25 to the extent that those requirements apply to facility location and design standards.
<input type="checkbox"/>	66273.75(a)(6) Failed to ensure that all treatment is conducted in compliance with all applicable state and local air pollution control laws and regulations.
<input type="checkbox"/>	66273.75(a)(7) Failed to treat electronic devices and/or residual printed circuit boards only for the purpose of recycling one or more of their components and ensure that all treatment residuals meeting the definition of scrap metal in 66273.9 are recycled and that all treatment residuals meeting the definition of CRT glass in 66273.9 are recycled.
<input type="checkbox"/>	66273.75(a)(8) Failed to treat CRTs only for the purpose of recycling one or more types of CRT glass and ensure that all the CRT glass is reclaimed at a CRT glass manufacturer or at a primary or secondary lead smelter.
<input type="checkbox"/>	66273.75(a)(9) Accepted for treatment, any electronic devices or CRTs that are managed, or that are required to be managed, as hazardous wastes pursuant to ch. 10-16, 18, 20, and 22 of this division, without being authorized to do so pursuant to a HW facility permit or other authorization granted by the Department pursuant to those chapters.
<input type="checkbox"/>	66273.75(b)(1) Failed to manage all residuals produced from treating electronic devices, residual printed circuit boards, and/or CRTs, in a manner that prevents a release to the environment of any universal waste or any component.
<input type="checkbox"/>	66273.75(b)(2) Failed to contain any residuals that are produced from treating electronic devices, residual printed circuit boards, and/or CRTs, in a manner that prevents releases of hazardous residuals to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.75(b)(3) Failed to clean up and immediately place in a container any electronic device, residual printed circuit board, and/or CRT that is accidentally or unintentionally broken and that might reasonably be expected to cause a release to the environment under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.75(b)(3) Failed to use containers that are structurally sound, compatible with the contents of the electronic devices, residual printed circuit boards, and/or CRTs, and prevent releases under reasonably foreseeable conditions.
<input type="checkbox"/>	66273.75(b)(4) Failed to manage residual printed circuit boards in containers labeled "Residual Printed Circuit Boards".
<input type="checkbox"/>	66273.75(c)(1) Failed to perform a hazardous waste determination pursuant to 66262.11 for all residuals resulting from the activities authorized by subsection (a) of this section.
<input type="checkbox"/>	66273.75(c)(1)(B) For residuals that are HW, failed to comply with all the applicable requirements of ch 12, 14, 15, 16, 18, 20, 22 and 23 of this division, except as provided in subsection (c)(1)(C) of this section.
<input type="checkbox"/>	66273.75(c)(1)(D) Failed to obtain a HW facility permit to conduct further treatment of residual that are hazardous waste, except as provided in subsection (c)(1)(C) of this section.

