

## LIST OF DOCUMENTS TO BE REVIEWED DURING INSPECTION OF AN E-WASTE FACILITY

To demonstrate compliance with California Code of Regulations, title 22, chapter 23, a handler must rely on many different documents. Some of these are required to be submitted to DTSC, and some are required to be maintained onsite. Other documents are not specifically required to be submitted or maintained onsite, but demonstrate compliance with a chapter 23 management standard. The documents listed below include some of each of these types of documents.

(Note: All sections cited below are from California Code of Regulations, title 22, unless otherwise noted.)

- 1) **Notification** as an e-waste handler [66273.32(c)(1)] or treater [66273.74(a)]: see <http://www.dtsc.ca.gov/database/UWED/index.cfm> and for all e-waste collection events
- 2) Copies of **Annual Reports** (submission deadline February 1 of each year) [66273.32(d)(1) or 66273.74(b)]: see <http://www.dtsc.ca.gov/database/UWED/index.cfm>
- 3) **Log or shipping documents** that show **incoming and outgoing** shipments of e-waste [66273.38, 66273.39]
- 4) Written records, as necessary, to demonstrate compliance with the one-year **accumulation time limit** [66273.35], particularly if an inventory tracking database is used to identify accumulation times
- 5) Documentation indicating agreements reached with facilities that will receive outgoing e-waste. This may be in the form of a contract (with prices blacked out, if desired). [66273.38(d)]
- 6) Documentation regarding procedures taken for **rejected loads** [66273.38(e-f)]
- 7) Copy of **export notifications** to DTSC and CUPA (for export of any electronic devices, CRTs, or CRT glass); copy of U.S. EPA Acknowledgement of Consent document (for CRT or CRT glass export); and documents showing compliance with Public Resources Code section 42476.5 (for export of Covered Electronic Waste). See 66273.40(c) and [http://www.dtsc.ca.gov/HazardousWaste/EWaste/upload/FAQ\\_Elec\\_Devices\\_Export.pdf](http://www.dtsc.ca.gov/HazardousWaste/EWaste/upload/FAQ_Elec_Devices_Export.pdf)
- 8) Documentation showing compliance with **import requirements** referenced in 66273.41(a)
- 9) Personnel **training records** (such as written training materials, hand-outs, and training rosters) for both initial and annual training, for the last three years [66273.36]
- 10) Proof that treatment is consistent with **local zoning requirements** and land use patterns [66273.75(e)(1)]
- 11) A copy of any local **air district permit** and/or other permit required [66273.74(c)(1)(A)3.]

***The following requirement applies only to those handlers who shred electronic devices or break CRT glass [i.e., are authorized under 66273.73(a)(2) or 66273.73(b)]:***

- 12) A **closure plan** [66273.76(a)(1)] and **Closure Cost Estimate (CCE)** [66273.76(b)(1)]; see <http://www.dtsc.ca.gov/HazardousWaste/EWaste/upload/Closure-and-Financial-Requirements-for-Recyclers.pdf>