

Inspection Checklist Universal Waste Battery Handlers

Facility Name: _____

Identification Number: _____

Facility Address: _____

Date Inspected: _____

Inspected By: _____

Type of Inspection: Annual Re-inspection Complaint

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: Refer to Title 22 of the California Code of Regulations for citations that start with the number 6. Refer to the Health and Safety Code for citations that start with the number 2.

Note: This checklist is an addendum to the "Inspection Checklist Universal Waste Handlers of Electronic Devices, CRTs & CRT Glass". This checklist is intended to cover those requirements specific to universal waste batteries.

Note: Lead-acid batteries from vehicles are not universal waste. They are regulated under Title 22, California Code of Regulations, Chapter 16. Small, sealed lead-acid storage ("gel pack") batteries that are generated from the dismantling of some electronic devices are UW batteries.

REGULATED FACILITIES AND WASTE DEFINITIONS (66273.9):

Universal Waste Handler: a generator of universal waste, or the owner or operator of a facility.

Generator: any person, by site, whose act or process produces a hazardous waste (or universal waste), or whose act first causes a hazardous waste (or universal waste) to become subject to regulation.

Household: a private residence.

Conditionally Exempt Small Quantity Universal Waste Generator (CESQUWG): a generator of no more than 100 kilograms of RCRA hazardous waste (includes all universal waste except CRT materials) and no more than 1 kilogram of acutely hazardous waste in any calendar month, and remains in compliance with 40 CFR 261.5.

	Identification Number
<input type="checkbox"/>	66273.32(a)(1) -- Failed to obtain a federal EPA Identification number before meeting or exceeding the 5,000 kilogram storage limit.
	Unauthorized Disposal and Statements
<input type="checkbox"/>	66273.31(a) -- The universal waste battery handler disposed of UW batteries at an unauthorized point.
<input type="checkbox"/>	25189.2(a) -- Made false statement(s) in an application, label, manifest, record, report, permit or other document.
	Labeling of Universal Waste Batteries
<input type="checkbox"/>	66273.34(a) -- Failed to properly label or mark universal waste batteries or container or package in which batteries are contained with the following phrase: "Universal Waste – Batteries".
	Accumulation Time
<input type="checkbox"/>	66273.35(a) -- Accumulated universal waste batteries for longer than one year from the date the UW batteries were generated or received from another universal waste handler.
<input type="checkbox"/>	66273.35(b) -- Failed to demonstrate the length of time that the UW batteries have been accumulated from the time they became a waste or were received.

	Use and Management of Containers
<input type="checkbox"/>	66273.33(a) -- Failed to manage UW batteries in a way that prevents release to the environment.
<input type="checkbox"/>	66273.33(a)(1) -- Failed to contain UW batteries that show evidence of leakage, spillage, or damage in a closed, structurally sound, compatible container that does not show evidence of leakage or damage.
	Treatment/Drainage of Universal Waste Batteries
<input type="checkbox"/>	25201(a) -- Performed unauthorized treatment of UW batteries.
<input type="checkbox"/>	66273.31(b) -- Performed unauthorized treatment of UW batteries by dilution or treatment that was not in response to a release.
<input type="checkbox"/>	66273.33(a)(2) -- Breached the casing of UW batteries while conducting any of the following activities: sorting batteries by type; mixing battery types in one container; discharging batteries so as to remove the electric charge; regenerating used batteries; disassembling batteries or battery packs into individual batteries or cells; removing batteries from consumer products; or removing electrolyte from batteries.
<input type="checkbox"/>	66273.33(a)(3) -- Removed electrolyte from batteries, or generated other waste (e.g., battery pack materials or discarded consumer products) as a result of treatment in 66273.33(a)(2), but failed to determine whether the electrolyte and/or other waste exhibit a characteristic of hazardous waste identified in article 3 of chapter 11.
<input type="checkbox"/>	66273.33(a)(3)A -- Failed to manage hazardous waste residuals generated from the treatment of UW batteries according to chapter 12 and any other applicable chapters of Title 22 of the California Code of Regulations.
	Response to Releases
<input type="checkbox"/>	66273.37(a) -- Failed to immediately contain all releases of UW batteries and other residuals from universal waste.
<input type="checkbox"/>	66273.37(b) -- Failed to manage leaking electrolyte from broken/damaged UW batteries as a hazardous waste, subject to the requirements of chapter 12 of Title 22 of the California Code of Regulations.
	Personnel Training
<input type="checkbox"/>	66273.36(a) -- Failed to ensure that all personnel who manage UW batteries 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.
<input type="checkbox"/>	66273.36(b) -- Failed to initially train all personnel who manage or who supervise those who manage UW batteries 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 UW batteries 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 UW batteries (e.g., hazards due to leaking electrolyte);
<input type="checkbox"/>	66273.36(b)(2) -- Failed to include in the initial training materials the proper disposition of UW 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 including the position titles and the means of contacting those personnel at the facility who are designated to respond to reports of releases and/or to respond to questions received from other personnel at the facility.
<input type="checkbox"/>	66273.36(b)(4) -- Failed to include in the initial training materials the applicable requirements of CCR title 22, Div. 4.5 Chapter 23 (including prohibition on the disposal of UW).
<input type="checkbox"/>	66273.36(c) -- Failed to maintain a written record by date indicating the names of personnel who received the training 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.
	Offsite Shipments
<input type="checkbox"/>	66273.38(a) -- Sent or took UW batteries 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 batteries offsite failed to comply with the UW transporter requirements.
<input type="checkbox"/>	66273.38(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

<input type="checkbox"/>	66273.38(e)(2) -- When the UW shipment is rejected by another UW handler or destination facility, the originating UW handler failed to 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 return the UW to the originating UW handler, or
<input type="checkbox"/>	66273.38(f)(2) -- Failed to agree 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 batteries 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.
	Tracking of UW Batteries
<input type="checkbox"/>	66273.39(a) -- Failed to keep a record of each shipment of UW batteries received at the handler's facility.
<input type="checkbox"/>	66273.39(a)(1) -- Failed to record the name and address of the originating UW handler from which the UW was sent.
<input type="checkbox"/>	66273.39(a)(2) -- Failed to record the quantity of each type of UW received.
<input type="checkbox"/>	66273.39(a)(3) -- Failed to record the date of receipt of the shipment of UW batteries.
<input type="checkbox"/>	66273.39(b) -- Received UW batteries from household generator and conditionally exempt small quantity UW generators, but 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 batteries as an aggregate from households and/or CESQUWGs.
<input type="checkbox"/>	66273.39(c) -- Failed to keep a record of each shipment of UW batteries 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 battery 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.
	Export of UW Batteries
<input type="checkbox"/>	66273.40(a)(2)(A) and 66262.53(a) -- Exported UW batteries to a non-OECD country without filing a Notification of Intent to Export at least 60 days prior to export. .
<input type="checkbox"/>	66273.40(a)(1)--Exported to an OECD country without complying with article 8 of chapter 12.
<input type="checkbox"/>	66262.53(a)(1) -- Filed a Notification of Intent to Export lacking the name, mailing address, telephone number, and/or ID number of the primary exporter.
<input type="checkbox"/>	66262.53(a)(2)A -- Filed a Notification of Intent to Export lacking the waste numbers, Hazardous Waste Code Number, shipping name, hazard class, and UN/NA ID number, as applicable.
<input type="checkbox"/>	66262.53(a)(2)B -- Filed a Notification of Intent to Export lacking information on the estimated frequency or rate at which the UW batteries are to be exported, and the period of time over which the UW batteries are to be exported.
<input type="checkbox"/>	66262.53(a)(2)C -- Filed a Notification of Intent to Export lacking the estimated total quantity of UW, in units as specified on the Uniform Hazardous Waste Manifest.
<input type="checkbox"/>	66262.53(a)(2)D -- Filed a Notification of Intent to Export lacking information on all points of entry to and departure from each foreign country through which the UW batteries will pass.
<input type="checkbox"/>	66262.53(a)(2)E -- Filed a Notification of Intent to Export lacking a description of the means by which each shipment of UW batteries will be transported, and by what types of container.
<input type="checkbox"/>	66262.53(a)(2)F -- Filed a Notification of Intent to Export lacking a description of the manner in which the UW batteries will be treated, stored, or disposed of in the receiving country.
<input type="checkbox"/>	66262.53(a)(2)G -- Filed a Notification of Intent to Export lacking the name and site address of the consignee and any alternate consignee.
<input type="checkbox"/>	66262.53(a)(2)H -- Filed a Notification of Intent to Export lacking the name of any transit countries through which the UW batteries will be sent, and a description of the approximate length of time the batteries will remain in

	the country and the nature of their handling while there.
<input type="checkbox"/>	66262.56 -- Exported UW batteries but failed to file an annual export report with U.S. EPA and DTSC by March 1 of each year.
<input type="checkbox"/>	66262.57 -- Exported UW batteries but failed to keep records of export notifications, or provide copies of export notifications as required.
<input type="checkbox"/>	66273.40(a)(2)(B) – Exported UW batteries but failed to received consent and the EPA Acknowledgment of Consent.
<input type="checkbox"/>	66273.40(a)(2)(C) – Exported UW batteries but failed to provide the transporter a copy of the EPA Acknowledgment of Consent.

COMMENTS:

This checklist (inspection report) will become a public document; you may request that any trade secret or facility security information be withheld from public disclosure. (See Health and Safety Code section 25173.) If you wish to assert the trade secret privilege, please provide DTSC specific written answers to each of the following questions, within 10 days of receipt of this inspection report:

- To what extent is there knowledge of the information conveyed by the photograph/document outside of your business?
- To what extent is there knowledge of the information conveyed by the photograph/document, by employees and others in your business?
- To what extent have measures been taken to guard the secrecy of the information?
- Is the information valuable to competitors? If so, why?
- Has there been substantial monetary expenditure in the development of the information?
- Could the information be easily and properly acquired or duplicated by others?

If applicable, DTSC will review your response to these questions to determine if the information should be treated as trade secret and will notify you of its decision.