



What to Expect During a Compliance Inspection

FDEP – South District Office

January 9, 2019



Phases of a Compliance Inspection

- **Entrance Conference**
- **Operations Tour**
- **Compliance Document Review**
- **Exit Conference**



Entrance Conference

- Introductions and Statement of Purpose for Visit
- Outline of Inspection Expectations
- Documentation Review Regarding Operations and Processes
- Review of Facility Safety Protocols and Procedures





Tour of Facility Processes

- Logistics of the facility tour is dependent on the type of inspection (solid/hazardous waste, air, storm water, wastewater, etc.)
- All processes relating to the media being evaluated should be inspected during the tour
- Usually follow “flow”

Incoming ➡ Process ➡ Waste
Generation ➡ Waste Management/Storage





Record / Document Review

Review of Required Records

- Inspection / Monitoring
- Required Training
- Emergency / Contingency Plans

Hazardous Waste Storage Facility
Weekly Inspection Log

Date	Time	Inspector	No. of Drums	Status		Comments
				OK	Needs Attn	
1/4/93	8:00 AM	J. Smith	10	✓		
1/11/93	8:00 AM	J. Smith	12	✓		
1/19/93	8:00	L. Jones	12	X		
1/25/93	8:00	L. Jones	12	X		
2/1/93	8 AM	C. Moore	11	e		
2/5/93	8:15	L. Jones	12	X		
2/12/93	8:15	L. Jones	12	X		
2/19/93	8:20	L. Jones	12	X		
2/29/93	8:00 AM	J. Smith	13	✓		
3/5/93	8:00 AM	J. Smith	21		✓	Acid waste drum leaking pumped into a new drum on 7/8
3/15/93	8:00 AM	J. Smith	21	✓		
3/22/93	8 AM	L. Jones	20	e		
3/30/93	8:00	L. Jones	21	✓		
4/5/93	8:00 AM	J. Smith	21		✓	Wall between acid waste and cyanide waste areas damaged by forklifts



Exit Conference

Each environmentally related inspection should have an exit conference, regardless of media. Every exit conference should include a summary of the following items:

- A summary and discussion of any / all potential violations observed
- A summary / discussion of concerns which may lead to potential violations
- A summary / discussion of management practices / processes being conducted in compliance with regulations and permit conditions

** The inspector reviews all observations with management and then finalizes written report*



Exit Conference

** The inspector should provide an estimated time frame the facility can expect the final report to be issued*

** The inspector should avoid any discussions of “possible” actions or requirements to potential violations outlined*

HAZARDOUS WASTE GENERATOR COMPLIANCE INSPECTION REPORT

GENERAL REQUIREMENTS (GGR)		YES	NO	NA/NP
1.	Has the generator evaluated each potentially hazardous waste to determine if it is hazardous? 40 CFR 262.11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a.	If waste was tested, was the analysis conducted by a laboratory certified by RCHE? RCAR 28-011-262(c)(2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.	If waste was not tested, did the generator use knowledge of the hazardous characteristics of the waste in light of the materials or processes used? 40 CFR 262.11(c)(2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.	Is documentation of the waste determination kept for five years from the date the waste was sent to on-site or off-site treatment, storage or disposal? 40 CFR 262.40(c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	If hazardous waste is disposed of via the sanitary sewer to a Publicly Owned Treatment Works (POTW), has the generator received written approval from the City - POTW?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Has the facility obtained a Special Waste Disposal Authorization (SWDA) for each special waste? RCAR 28-02-100(a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	If the generator treats or recycles hazardous waste on-site (such as in a still), do they count waste correctly? 40 CFR 261.84(c)(2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
a.	If the waste is not counted, is it exempt because of a closed-loop system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Has the KSOG, SOG, or LOG notified RCHE and obtained an EPA Identification Number? 40 CFR 262.12(a) (Mark NA only for QESOG)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Is current notification accurate? (Updates must be made within 60 days of the change) RCAR 28-31-1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
UNIVERSAL WASTE				
7.	Does the facility choose to manage some of its waste as universal waste? If no, skip this section. If yes, check each type of universal waste that applies:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> batteries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> pesticides	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> mercury-containing equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> lamps	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Is the facility a small quantity handler of universal waste (accumulates $45,000$ lbs or $5,000$ kgs)? If the facility is a large quantity handler of universal waste, explain under "additional information" and skip the remaining questions in this section. These questions are designed only for small quantity handlers of universal waste.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	If the facility manages mercury-containing equipment, do they remove mercury-containing ampoules from equipment? If yes, are the requirements of 40 CFR 273.13(c)(2) met? (These include using secondary containment during the removal, having a mercury spill kit available, training employees, and other requirements.) 40 CFR 273.13(c)(2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Inspector Preparation

Facility File Review:

- Previous Inspection and / or Enforcement History
- Permit Review (if applicable)
- Permit Required Reports (Monitoring Reports, Reports of Non-compliance, etc.)



Summary of Inspection Process

- ✓ Pre-inspection File Review (Inspection Preparation)
- ✓ Entrance Conference
- ✓ Facility Tour
- ✓ Document Review
- ✓ Exit Conference / Inspection Findings Summary
- ✓ Draft Report / Management Review / Report Issuance to Facility (Inspection Completion)



Additional Resources

- <https://precast.org/2012/11/how-to-prepare-for-and-survive-environmental-inspections/>
- <https://www.epa.gov/enforcement/federal-facilities-inspections-guide-epas-access-and-inspection-authorities>
- <https://floridadep.gov/waste/petroleum-restoration/content/sop-12-site-visits-and-inspections>



Rick Roudebush, Environmental Specialist

FDEP – South District Office

2295 Victoria Avenue

Fort Myers, FL 33902

239-344-5653

Rick.Roudebush@FloridaDEP.gov