

Unified Program Performance Standards
Evaluation Checklist
Comment/Observation Sheet
California Environmental Protection Agency (Cal/EPA)
-Evaluation of General Unified Program Standards -

Agency Name: _____

Agency Representative: _____

Agency Phone: _____

Evaluation Date: _____

Evaluator's Name: _____

Evaluator's Phone: _____

THESE FINDINGS ARE PRELIMINARY. ADDITIONAL DEFICIENCIES MAY BE IDENTIFIED IN THE DRAFT EVALUATION REPORT

ITEMS TO NOTE IN READING THIS CHECKLIST:

ITALICS THESE QUESTIONS ARE NOT TIED DIRECTLY TO A PERFORMANCE STANDARD AND ARE INTENDED TO BE USED TO GATHER INFORMATION REGARDING THE PROGRAM BEING EVALUATED AND TO PROVIDE FOR FEEDBACK FOR CHANGES TO THE UNIFIED PROGRAM

TEXT TEXT APPEARING IN THIS FONT IS DESIGNED TO ACT AS A REMINDER OF RULES, REGULATORY REQUIREMENTS, QUESTIONS OR OTHER FORMS OF GUIDANCE TO THE REVIEWER AND ARE NOT NECESSARILY TIED TO AN ESTABLISHED PERFORMANCE STANDARD

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
Administrative Standards		
Objective: Ensure that the CUPA has an administrative structure which can support running the CUPA program and the individual program elements		
Self-Audit- Pre-Evaluation Review of Documents		
Objective: Ensure that the CUPA continues to improve through self examination		
<u>Line 1000</u> T27 15280(a) 15280(a)(1) 15280(a)(9) <u>Line 1002</u> T27 15280(b)(1)(A)	<p style="text-align: center;">-REVIEW DOCUMENTS SUBMITTED PRIOR TO THE EVALUATION AND ATTEMPT TO ANSWER THESE QUESTIONS-</p> <p>1. Did the CUPA conduct a self-audit in the past fiscal year?</p> <p style="padding-left: 40px;">If yes:</p> <p style="padding-left: 40px;">a) Did they finish the self-audit by September 30?</p> <p style="padding-left: 40px;">b) If there are PAs, did it include the performance of the Participating Agencies?</p> <p style="text-align: center;">-DOCUMENTS FOR THE FISCAL YEAR WERE REVIEWED-</p>	
<u>Line 1005</u> T27 15280(b)(1)(B) <u>Line 1006</u> T27 15280(b)(2) <u>Line 1007</u> T27 15280(b)(3) <u>Line 1015</u> T27 15200(f)(3)(B) <u>Line 1008</u> T27 15280(a)(4) <u>Line 1009</u> T27 15280(b)(5) <u>Line 1010</u> T27 15280(b)(6) <u>Line 1011</u> T27 15280(b)(7)	<p>2. Did the self-audit include the following elements in sufficient detail to be useful in evaluating the CUPA's program?</p> <p style="padding-left: 40px;">a) Summary of effectiveness and efficiency of permitting activities?</p> <p style="padding-left: 40px;">b) Summary of effectiveness and efficiency of inspection activities (e.g. are you meeting your inspection frequencies)?</p> <p style="padding-left: 40px;">c) Summary of effectiveness and efficiency of enforcement activities (e.g. are cases being handled in appropriate time frames)?</p> <p style="padding-left: 40px;">d) Summary of the single fee system activities?</p> <p style="padding-left: 40px;">e) Summary of the annual review of the fee accountability program?</p> <p style="padding-left: 40px;">f) Progress made toward consolidating, coordinating, and making consistent the Unified Program?</p> <p style="padding-left: 40px;">g) Changes in local ordinances, resolutions and agreements?</p> <p style="padding-left: 40px;">h) New programs included in the Unified Program?</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Line 1002.1</u> T27 15280(b)(1)(B)</p>	<p>3. Does the self-audit contain a summary of findings, report of deficiencies and plan of correction?</p> <p>If yes:</p> <p>a) Are there any deficiencies noted in the self-audit that are not addressed by the summary of findings/plan of correction?</p> <p>• <i>What is the status of the corrections of the identified deficiencies?</i></p>	
<p style="text-align: center;">Self Audit- To be asked during the evaluation Objective: Ensure that the CUPA continues to improve through self examination</p>		
<p><u>Line 1000</u> T27 15280(a) 15280(a)(1) 15280(a)(9)</p>	<p>ASK THE CUPA HOW THEY FEEL ABOUT THE SELF AUDIT PROCESS AND IF THEY COULD CHANGE THE AUDIT HOW THEY WOULD CHANGE IT TO BETTER MEET THEIR NEEDS</p> <p>4. Have you done a self-audit every year?</p> <p>• <i>What types of things have you changed because of them?</i> • <i>Do you find them to be effective tools?</i> • <i>Have you made any changes to the way you audit yourself?</i> • <i>Do you feel that its program has improved as a result of the self-audits?</i></p>	
<p><u>Line 1013</u> T27 15200(f)(3)</p> <p><u>Line 1131</u> T27 15200(f)(4)</p>	<p>5. Have you reviewed your inspection and enforcement plan this year (annually)?</p> <p>If yes:</p> <p>a) Did you make any changes to your plan as a result?</p> <p>b) Are the results of the review included in the self-audit, summary of findings, or review of effectiveness and efficiency of the inspection and enforcement programs?</p>	
<p><u>Line 1014</u> T27 15200(f)(3)(A)</p>	<p>IF THE CUPA HAS PAs, ASK THEM HOW THEY EVALUATEDTHE PA'S PERFORMANCE</p> <p>6. To what level were the PAs involved in the self-audit process?</p> <p>• <i>Did you actively audit them, or did they self-audit and report the findings to you?</i></p> <p>a) Did you consult and reach consensus with them for changes which would affect their implementation?</p> <p>• <i>Are the results of these changes reflected in the PA agreement?</i></p> <p>ASK FOR ANY HARD COPY DOCUMENTATION SUCH AS CHECKLISTS, SUBMITTALS,MEETING MINUTES</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
Policies and Procedures		
Objective: Establish an infrastructure which allows for the consistent application of the Unified Program		
<u>Line 1036</u> T27 15180(a)(6) <u>Line 1078</u> T27 15190(b)(8)(A) <u>Line 1080</u> T27 15190(b)(8)(B) <u>Line 1174</u> T27 15220(a)(1)	ASK THE CUPA HOW "FORMAL" AND "INFORMAL" PUBLIC INPUT HAVE AFFECTED THEIR PROGRAM 7. What tool(s) do you use to ensure public input into the Unified Program? <ul style="list-style-type: none"> · <i>Outside of setting/reviewing fees, have you used the public notice process?</i> · <i>How often do you formally reach your businesses?</i> a) Do you solicit input regarding overall Unified Program performance? b) Does this include evaluation of the permitting process? c) Does it include input into the single fee implementation plan? <ul style="list-style-type: none"> · <i>Is this process a City/County set procedure or have you created one especially for the Unified Program?</i> · <i>Have any changes occurred as a result of public input suggestions? Why/why not?</i> "INFORMAL" INPUT WOULD BE DIRECT COMPLAINT TO COUNCELMEMBERS WHO THEN ASK FOR CHANGES	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Lines 1020-1025</u> T27 15180(a)(2)(A)</p> <p><u>Lines 1052</u> T27 15180(a)(1)</p> <p><u>Line 1053</u> T27 1188(a)(2)</p> <p><u>Line 1294</u> T27</p> <p><u>Line 1055</u> T27 15188(a)(2)(B)</p> <p><u>Line 1183</u> T27 15250(a)(5)</p> <p><u>Line 1001</u> T27 15280(a)(2)</p>	<p>WHILE REVIEWING THE WRITTEN P&P, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES</p> <p>8. Do you have a procedure for record maintenance?</p> <p>If yes, does it include:</p> <p>a) The types of records to be maintained?</p> <p>b) Retention times?</p> <p>1) Including inspection reports, enforcement files, and TP notifications for 5+ years?</p> <p>2) Including HW enforcement actions for 3+ years?</p> <p>3) Including surcharge billing and collection data for 5+ years from the end of a billing period?</p> <p>4) Including data (electronic or hard copy) used to generate Reports 2-6 for 5+ years?</p> <p>5) The Self-Audit for 5 years?</p> <p>c) Archive procedures?</p> <p>d) Disposal methods?</p>	
<p><u>Line 1026</u> T27 15180 (a)(2)(B)</p> <p><u>Line 1003</u> T27 15280(a)(3)</p> <p><u>Line 1199</u> T27 15250(e)</p> <p><u>Line 1184</u> T27 15250(a)(6)</p> <p><u>Lines 1228-1230</u> T27 15290 (h-j)</p>	<p>WHILE REVIEWING THE WRITTEN P&P, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES</p> <p>9. Do you have a procedure for how to respond to requests for information from the public? From government agencies with a right of access? From emergency responders?</p> <p>a) Do these procedures include responding to requests for Unified Program information from the Secretary?</p> <p>· <i>(30 days for training records, 60 days for surcharge, self audit, program reports)</i></p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Line 1034</u> T27 15180(a)(4)</p> <p><u>Line 1035</u> T27 15180(a)(5)</p> <p><u>Line 1153</u> T27 15210(a)(9)</p> <p><u>Lines 1197-1198</u> T27 15250(d)(3)</p>	<p>WHILE REVIEWING THE WRITTEN P&P, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES</p> <p>10. Do you have a procedure/procedures for dispute resolution?</p> <p>a) Does it include fee disputes?</p> <p>1) Between the CUPA and regulated business?</p> <p>2) Between regulated business and the State regarding the surcharge?</p> <p>b) Does it include waiver of the surcharge using the same criteria used to waive other fees?</p> <p>Are all of the other UP fees waived in these cases?</p> <p>c) Are appeals included?</p> <p>1) Do they include written referral to the Secretary for surcharge issues?</p> <p>d) Does it include disputes with PAs?</p>	
<p>Data Collection and Management Objective: Provide for the sharing of information between the CUPA, the public, other government agencies and other interested parties.</p>		
<p><u>Line 1043</u> T27 15185(a)</p> <p><u>Line 1045</u> T27 15185(c)</p>	<p>AS TIME PERMITS AND IF POSSIBLE ASK THE CUPA TO SHOW YOU HOW THEIR DATA MANAGEMENT SYSTEM IS SET UP AND MAINTAINED</p> <p>11. <i>What type of data management system are you using?</i></p> <p>a) Is it set up to collect all UP Data Dictionary information?</p> <p>b) Are you using the UPCF to collect the data?</p> <p>• <i>What other State mandated information do you collect using this system?</i></p>	
<p><u>Line 1047</u> T27 15185(e)</p> <p><u>Lines 1048-1049</u> T27 15187 (a-b)</p> <p><u>Line 1050</u> T27 15187(c)</p>	<p>12. Are you accepting electronic submission of data?</p> <p>If yes:</p> <p>a) Is it in the UP Data Dictionary format?</p> <p>1) Any case-by-case waivers of this requirement?</p> <p>b) Are you using an electronic version of the UPCF?</p> <p>If no: what format are you using (ANSIX12, ASCII, other)</p> <p>c) Are you collecting any locally required information in addition to the info above?</p> <p>ASK TO SEE GUIDLINES, MAILERS, OTHER DOCUMENTATION PROVIDED TO BUSINESSES</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<u>Line 1056</u> T27 15188(a)(2)(C)	13. Do you maintain collected data in enough detail to reproduce any of the required summary reports for at least 5 years?	
<p style="text-align: center;">Coordination and Coordinating Agency Agreements Objective: Ensure that coordination and consistency exists between and among CUPAs, especially within multi-CUPA counties.</p>		
<u>Line 1017</u> T27 15180(a)	14. What procedures do you have, other than those already discussed, that help coordinate and make consistent the Unified Program?	
<u>Line 1037</u> T27 15180(a)(7)	<p>15. What meetings do you regularly attend in order to coordinate and make consistent the UP?</p> <ul style="list-style-type: none"> · <i>With what frequency do you meet?</i> <p>Do these meetings include discussions of integrated and multi-media inspections and enforcement?</p> <p>ASK TO REVIEW MINUTES OR OTHER RECORDS DEMONSTRATING ATTENDANCE</p>	
<u>Lines 1038-1039</u> T27 15180(a)(8) <u>Line 1046</u> T27 15185(d)	<p>16. Do you have any Participating Agency Agreements?</p> <p>If yes: Does it include:</p> <ul style="list-style-type: none"> a) Procedures for withdrawal or revocation? b) Provisions and coordination if the PA is acting as a repository for Unified Program information? <p>ASK IF ANY CHANGES HAVE BEEN MADE- IF SO, ARE THEY IN THE AGREEMENT, AND ASK FOR A COPY TO BE PROVIDED</p>	
	<p>17. <i>Are you part of a Coordinating Agencies Agreement?</i></p> <ul style="list-style-type: none"> · <i>How often do you meet in an effort to maintain consistency within the County?</i> · <i>Has your agreement been reviewed and approved by the Secretary?</i> · <i>How are you currently using the CAA implementation elements below:</i> <ul style="list-style-type: none"> · <i>Consistent forms and data collection</i> · <i>Equivalent levels of technical training for staff</i> · <i>Coordination of Inspection and Enforcement activities</i> · <i>Technical policy development, interpretation, and application</i> · <i>Dispute resolution</i> · <i>Solicit and consider input for regulated businesses</i> <p>ASK THE CUPA TO PROVIDE ANY EXAMPLES OF HOW THIS HAS AFFECTED BUSINESSES</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

<u>Compendium Line Citation</u>	Standard	Meets Standards? (Y/N)
<u>Line 1030</u> 15180(a)(2)(D)	18. How do you ensure that you forward business plan information to the local authorities, fire departments and other applicable agencies within 15 days of its receipt? CONFIRM THIS INFORMATION WITH THE OSFM REPRESENTATIVE	
Permitting Standards		
Objective: Provide businesses with one packet containing all non-repetitive, relevant information, and to collect and process that information in a timely manner in order to issue one permit.		
Consolidated Permit Program Plan		
Objective: Establish a plan for the delivery, collection, review and issuance of a permit.		
<u>Line 1057</u> HSC 25404.2(a)(1) <u>Line 1060</u> T27 15190(a) <u>Line 1063</u> T27 15190(b)(2)(A) <u>Line 1068</u> T2715190(b)(4) <u>Line 1082</u> T27 15190(c)(1) <u>Line 1091</u> T27 15190(c)(5)	19. Do you have a consolidated permit program plan? a) Does the consolidated permit replace all of the Unified Program element permits? Are there any additional permits or authorizations? b) Is there a single point of contact for the program? 1) Does this include a point of contact for the PAs? c) Does the plan have a system to define which elements require permits for specific activities? d) Does the plan note the permit cycle? IF ADDITIONAL FORMS ARE USED, REVIEW THOSE FORMS TO ENSURE THAT DONT ASK FOR REPETITIVE INFORMATION	
Consolidated Permit Application Packet		
Objective: Present one packet to businesses that contains all relevant information.		
<u>Lines 1064-1067</u> T27 15190(b)(3) <u>Line 1093</u> T27 15400.3(a) <u>Line 1103</u> T27 15400.3(e)	20. Do you have a consolidated permit application packet? a) Is the packet: 1) Single form OR 2) Multi-form in a single packet b) Are you using the UPCF? (See 13. B, page 3)	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Line 1094</u> T27 15400.3(b)</p> <p><u>Lines 1095-1102</u> T27 15400.3(c)</p> <p><u>Line 1103</u> T27 15400.3(e)</p> <p><u>Line 1106</u> T27 15400.4(c)</p> <p><u>Line 1111</u> T27 15160(c)</p>	<p>21. Have you designed your own form or modified the UPCF?</p> <p>If yes:</p> <p>a) Does the modified, redesigned or additional form:</p> <ol style="list-style-type: none"> 1) Collect any duplicate information? 2) Collect all of the original UPCF information? 3) Have approval of all PAs, fire agencies, and other emergency responders who will use the information? 4) Have the appropriate disclaimer in 8 point or greater font? 5) Collect additional local information only on supplemental pages or in the boxes provided on the Business Information or Inventory pages? <p>b) Do you accept the UPCF “as is”, even though you have modified it?</p> <p>c) Do you accept facsimiles of the UPCF or you alternate version?</p> <p>ASK FOR A COPY OF THE MODIFIED FORM AND COMPARE TO A “CLEAN” FORM</p>	
<p><u>Lines 1072-1076</u> T27 15190(b)(6)</p> <p><u>Line 1077</u> T27 15190(b)(7)</p> <p><u>Line 1083</u> T27 15190(c)(2)</p>	<p>WHILE REVIEWING THE WRITTEN PLAN, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES</p> <p>22. Do you have a decision tree for evaluating permit applications once received?</p> <p>If yes, does it include:</p> <ol style="list-style-type: none"> a) Preliminary check for completeness? b) Technical review? c) Follow-up? d) Expedited review? e) Tracking? f) Transmittal of the permit? g) Coordination with PAs where applicable? 	
<p>Consolidated Permit Objective: Issue one permit that clearly states the operating requirements for all applicable Unified Program elements.</p>		
<p><u>Line 1057</u> HSC 25404.2(a)(1)(A)</p> <p><u>Lines 1085-1089</u> T27 15190(c)(3)</p>	<p>23. Are the following items included on the permit or permit cover sheet?</p> <ol style="list-style-type: none"> a) Program elements for which the permit covers b) Permit status c) Business Name and address d) Issuance date e) Effective term 	
<p><u>Line 1057</u> HSC 25404.2(a)(1)</p> <p><u>Line 1090</u> T27 15190(c)(4)</p>	<p>24. Does the permit have an addenda which documents the applicable program element permit conditions?</p> <p>CONFIRM WITH SWRCB- TO ENSURE UST REQUIREMENTS ARE MET (i.e. PLOT PLANS)</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p>Inspection and Enforcement Standards</p> <p>Objective: Ensure that each business is inspected and enforced against in an even, fair and consistent manner, and at a level commiserate with State and Federal expectations.</p>		
<p><u>Line 1113</u> HSC 254004.2(a)(3)</p>	<p>25. Have you developed an Inspection and Enforcement Plan?</p> <p style="padding-left: 40px;">· <i>Is your Plan based on the “Guidance for the Preparation of Inspection and Enforcement Program Plans (02/2000), developed by the CalCUPA Forum?</i></p> <p style="padding-left: 40px;">· <i>How have you modified the above listed plan to meet your needs?</i></p> <p>ASK TO SEE A COPY OF THE PLAN. ENSURE THAT IT IS FILLED IN FOR THIS AGENCY</p>	
<p><u>Line 1123-1130</u> T27 15200(f)(1)</p>	<p>26. Does the inspection portion of your Inspection and Enforcement Plan include:</p> <p style="padding-left: 40px;">a) The number of regulated business in each program element?</p> <p style="padding-left: 40px;">b) The mandated inspection frequency for each program element?</p> <p style="padding-left: 40px;">c) Schedule for the inspection frequency performed by your agency?</p> <p style="padding-left: 40px;">d) Provisions to promote integrated joint, combined & multi-media inspections?</p> <p style="padding-left: 40px;">e) Mechanisms to ensure training standards are met?</p> <p style="padding-left: 40px;">f) Methods to cross train staff?</p>	
<p><u>Lines 1132-1139</u> T27 15200(f)(2)</p>	<p>WHILE REVIEWING THE WRITTEN P&Ps, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES</p> <p>27. Does the enforcement portion of your Inspection and Enforcement Plan include:</p> <p style="padding-left: 40px;">a) Enforcement notification procedures that ensure confidentiality?</p> <p style="padding-left: 40px;">b) Enforcement notification procedures that ensure coordination and timely notification?</p> <p style="padding-left: 40px;">c) Penalties that are predictable for similar violations and no less stringent than State statute or regulation?</p> <p style="padding-left: 40px;">d) Enforcement actions that are predictable for similar violations and no less stringent than State statute or regulation?</p> <p style="padding-left: 40px;">e) Graduated series of actions, based on violation severity?</p> <p style="padding-left: 40px;">f) Provisions to encourage integrated, joint, combined and multi-media enforcement?</p> <p>UNTIL DTSC ADOPTS PENALTY REGULATIONS, C) ABOVE MAY NOT BE APPLICABLE</p>	
<p>Single Fee System</p> <p>Objective: Provide a system by which businesses can pay all Unified Program related fees at one time, while providing assurance that the fees charged are reasonable and necessary.</p>		

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
Fee Accountability Objective: Provide assurance that fees charged are reasonable and necessary.		
<u>Lines 1157-1166</u> T27 15210(b)(1) <u>Line 1167</u> T27 15210(b)(2)	ASK THE CUPA TO EXPLAIN HOW THEY SET FEES 28. In calculating fees, has the CUPA considered the following: <ul style="list-style-type: none"> a) The amount billed and the amount collected? b) Discrete billable services (specific and general)? c) Staff work hours to implement the program? d) Direct expenses including durable and disposable goods? e) Indirect expenses including overhead? f) Number of regulated businesses? g) Total number of businesses? h) Quantity and range of services offered, including frequency of inspection? Do you review these fees and factors annually? ASK TO SEE A WORKSHEET, BUDGET DETERMINATION PROPOSAL OR OTHER DOCUMENTATION OF THIS CALCULATION	
<u>Line 1151</u> T27 15210(a)(7) <u>Line 1152</u> T27 15210(a)(8)	29. Do you make your fee schedule available to the public? If you have PAs, does the fee schedule include their fees? ASK FOR A COPY OF THE NEWEST FEE SCHEDULE	
Single Fee Implementation Plan Objective: Account for the issuance, collection and processing of billings and payments.		
<u>Line 1173</u> T27 15220(a) <u>Line 1175</u> T27 15220(a)(2)	30. Do you have a single fee implementation plan? If Yes: <ul style="list-style-type: none"> a) Does it have a transition period of less than 5 years? b) Does it allow for a single billing statement to be sent? c) How often do you bill? 	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<u>Line 1177</u> T27 15220 (a)(4) <u>Line 1178</u> T27 15220(a)(5)	WHILE REVIEWING THE WRITTEN PLAN, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES 31. Does the billing portion of the plan address: a) Fee payment with a single payment? b) How to handle non-payment?	
Billing Objective: Ensure that businesses are assessed fees and that these monies and the State surcharge are collected.		
<u>Line 1149</u> T27 15210(a)(5)	32. Does your billing statement itemize fees by individual program element? If yes: a) Does this include the surcharge? b) Does this include non-recurring fees?	
Surcharge Objective: Assessment and collection of monies used by the State for the development and oversight of the Unified Program and its individual program elements.		
<u>Line 1168</u> T27 15210(c) <u>Line 1179</u> T27 15250(a)(1)	WHILE REVIEWING THE WRITTEN P&P, ASK THE CUPA TO DESCRIBE HOW THEY DO IT- NOTE ANY DISCREPANCIES 33. Do you have procedures that ensure collection of the surcharge, including suspension of permits for non- or late-payment?	
<u>Line 1185</u> T27 15250(a)(7)	34. When did you first assess the surcharge? a) Have you assessed and collected the surcharge annually? <i>· How often do you do billing/assess the surcharge? (each month, quarterly, annually)</i>	
<u>Line 1186</u> T27 15250(a)(8)	35. Do you ever waive the surcharge? If yes: Do you also waive all other UP fees at these businesses? ASK TO SEE THE WRITTEN GUIDELINES FOR FEE WAIVER	
<u>Line 1187</u> T27 15250(b)(1)	36. Are you transmitting the collected surcharge within 30 days of the end of each quarter? Are you using Report 1 as a cover to that transmittal? Can you produce copies of the past year's submittals and cover reports? REVIEW PAST YEARS REPORT 1, ARE NUMBERS AND \$ AMOUNTS CONSISTENT?	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p>Reporting Objective: Ensure that the CUPA has the infrastructure to collect routine information and can process that information to meet both routine and unique inquiries.</p>		
<p>Report Receipt from businesses Objective: Ensure that necessary information is received from businesses</p>		
<p><u>Line 1201</u> T27 15100(c)(3)(A)</p> <p><u>Line 7057-7058</u> T27 15100(c)(3)</p> <p><u>Line 1204</u> T27 15100(f)(4)</p> <p><u>Line 1205</u> T27 15100(f)(5)</p>	<p>37. How do you handle the following business submittals:</p> <ul style="list-style-type: none"> a) Contingency Plan Activation Reports from fully permitted hazardous waste facilities? b) Reportable quantity release reports from tank systems? c) Reportable quantity release reports from secondary containment? d) Tiered Permitting Closure reports? e) Business Plans? f) CalARP registrations? g) Release of a hazardous material that posed a significant hazard? <p>ENSURE THAT THESE PROCEDURES ARE IN WRITING</p>	
<p><u>Line 1206</u> T27 15100(f)(6)</p>	<p>38. Are you integrating business plan information into your Area Plan?</p> <ul style="list-style-type: none"> · <i>If yes, provide examples of how/where.</i> 	
<p>Reporting to the State Objective: Ensure that necessary information is transmitted from the CUPA to the State.</p>		
<p><u>Lines 1209, 1295-1296</u> T27 15290(a)</p> <p><u>Line 1218</u> T27 15290(b)</p> <p><u>Line 1220</u> T27 15290(d)</p> <p><u>Line 1223</u> T27 15290(e)</p> <p><u>Lines 1224-1227</u> T27 15290(f)(1-3)</p>	<p>39. Are you submitting reports (# 3-6) to the State in hard copy or electronically?</p> <p>If electronically:</p> <ul style="list-style-type: none"> a) Has Cal/EPA approved the submittal format? b) What format are they in (ASCII flat file, ANSI X12, etc)? c) Can you show that the reports are structured in accordance with Appendix D of the data dictionary? <ul style="list-style-type: none"> · <i>Can you print an example report (do they have a printable form/format)?</i> <p>ASK THE CUPA TO PROVIDE AN EXAMPLE OF A REPORT IF POSSIBLE</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Line 1209</u> T27 15290(a)(1)</p>	<p>40. Did you submit a completed Report 2 (Annual Single Fee Summary Report) by September 30 of this past year?</p> <p>a) Has the number of regulated businesses changed significantly, and if so is this reflected in a cover letter with this report?</p> <p>b) Have you submitted a complete Report 2 by its due date every year since your last evaluation?</p> <p>· <i>Are there any unaccounted for (outstanding) surcharge funds indicated on the report?</i></p> <p><i>If yes: Can you explain why?</i></p> <p>OBTAIN THE PAST 3 YEARS OF REPORTS FROM HQ PRIOR TO THE EVALUATION. CONFIRM THE CUPAS RESPONSES AGAINST THESE REPORTS</p>	
<p><u>Line 1231</u> T27 15290(j)</p> <p><u>Line 1295</u> T27 15290(a)(2)</p>	<p>41. Did you submit a completed Report 3 (Annual Inspection Summary Report) by September 30 of this past year?</p> <p>If no: a) Was the information incomplete only for FY 1989/99?</p> <p>If no: · <i>Is there anything in particular that prevents you from reporting complete information?</i></p> <p>OBTAIN THE PAST 3 YEARS OF REPORTS FROM HQ PRIOR TO THE EVALUATION. CONFIRM THE CUPAS RESPONSES AGAINST THESE REPORTS</p>	
<p><u>Line 1231</u> T27 15290(j)</p> <p><u>Line 1296</u> T27 15290(a)(3)</p>	<p>42. Did you submit a completed Report 4 (Annual Enforcement Summary Report) by September 30 of this past year?</p> <p>If no: a) Was the information incomplete only for FY 1989/99?</p> <p>If no: · <i>Is there anything in particular that prevents you from reporting complete information?</i></p> <p>OBTAIN THE PAST 3 YEARS OF REPORTS FROM HQ PRIOR TO THE EVALUATION. CONFIRM THE CUPAS RESPONSES AGAINST THESE REPORTS</p>	
<p><u>Line 1218</u> T27 15290(b)</p>	<p>43. Did you submit a completed Report 5 (Biennial Tiered Permitting Release Report) by August 30 of the past even numbered year?</p> <p>If no: · <i>Is there anything in particular that prevents you from reporting complete information?</i></p> <p>OBTAIN THE PAST REPORT FROM HQ PRIOR TO THE EVALUATION. CONFIRM THE CUPAS RESPONSES AGAINST THIS REPORT</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<u>Line 1220</u> T27 15290(d) <u>Line 1222</u> T27 15290(d)(2)	44. Did you send your UST program information to the State Water Resources Control Board using Report 6? a) Was the report submitted to the SWRCB within 60 days of the end of each quarter? CONFIRM SUBMITTAL AND COMPLETENESS WITH SWRCB	
<u>Line 1229</u> T27 15290(h) <u>Line 1230</u> T27 15290(i)	45. Has the State made any additional requests for information from you? a) We you able to provide the requested data within 60 days of the request? If no: · <i>Why not?</i>	
Training Objective: Ensure that CUPA staff have the appropriate level of expertise and continuing training to implement the unified Program elements in a level consistent with State standards.		
Documentation Objective: Provide a objective method of determining is training is being received by staff.		
<u>Line 1237</u> T27 15260(a)(3) (A)(i) <u>Line 1249</u> T27 15260(a)(3) (A)(ii) <u>Line 1250</u> T27 15260(a)(3) (A)(iii)	46. Can you demonstrate that each of your staff has 30 semester units from an accredited college or institution in the applicable disciplines ¹ ? If no: Do they have a degree from an accredited university or college in the applicable disciplines? If no: Do they have 15 semester units from an accredited college or university or institution in the applicable disciplines AND one (1) year of experience in hazardous materials management, environmental management or resource recovery?	
REVIEW STAFF RECORDS- ALL IF A SMALL AGENCY, ½ TO ¾ IF LARGE AGENCY		
<u>Line 1251</u> T27 15260(a)(3)(B) <u>Line 1258</u> T27 15260(b)	47. Do you have one supervisor or technical staff who has 100 hours of training in : a) Regulatory overview b) Classification, identification and chemistry of hazardous materials and wastes c) Health and environmental effects, including chemical exposure and route of entry d) Sampling methods and use of instrumentation for detection of hazardous substances e) Conducting inspections and enforcement actions, and writing inspection reports and Notice of Violations f) Interviewing, case development and evidence preservation	
COMPARE THE NAME AND CONTENT OF CLASSES WITH THE REQUIRED ELEMENTS- DO THEY MATCH? IS THERE ANY DOCUMENTATION (AGENDA/TABLE OF CONTENTS) IN SUPPORT		

Unified Program Performance Standards
Evaluation Checklist (Continued)

Compendium Line Citation	Standard	Meets Standards? (Y/N)
<p><u>Line 1265</u> T27 15260(d)(1)</p>	<p>48. Do you have one supervisor or technical staff who has an equivalent to graduation form college with a degree of major course work in applicable disciplines²?</p> <p>If no: Are they registered as an Environmental Health Specialist?</p> <p>ENSURE THAT THIS PERSON IS INVOLVED WITH THE DAILY IMPLEMENTATION OF THE HW PROGRAM</p>	
<p>Ongoing Training Objective: Provide a plan by which the continuing development of staff will occur.</p>		
<p><u>Line 1289</u> T27 15260(d)(3)(D)</p>	<p>49. Do you have a plan for providing ongoing training to your staff?</p> <p>If yes: · <i>How do you designate which courses are to be taken?</i></p> <p>a) Do you document all of your staff's training?</p> <p>COMPARE THE NAME AND CONTENT OF CLASSES WITH THE REQUIRED ELEMENTS- DO THEY MATCH? IS THERE ANY DOCUMENTATION (AGENDA/TABLE OF CONTENTS) IN SUPPORT</p>	
<p><u>Line 1259</u> T27 15260(c)</p>	<p>50. Does your staff receive training in:</p> <p>a) Hazardous materials and waste permitting, inspection and enforcement duties and responsibilities?</p> <p>b) Inspection techniques and scheduling including evidence collection, chain of custody, sample preservation, and interviewing?</p> <p>c) Administrative practices within hazardous materials and wastes programs?</p> <p>d) Monitoring equipment, data evaluation, and interpretation of hazardous materials and waste analysis?</p> <p>e) Field health and safety training including inspection planning, safety equipment, on-site procedures, decontamination, and hazard recognition and avoidance?</p> <p>COMPARE THE NAME AND CONTENT OF CLASSES WITH THE REQUIRED ELEMENTS- DO THEY MATCH? IS THERE ANY DOCUMENTATION (AGENDA/TABLE OF CONTENTS) IN SUPPORT</p>	

Unified Program Performance Standards
Evaluation Checklist (Continued)

¹ Applicable disciplines to be used to determine technical expertise include:

- a) biology or microbiology
- b) chemistry, chemical engineering
- c) physics, physical science
- d) environmental science
- e) geology or soil science
- f) environmental health
- g) environmental or sanitary engineering
- h) toxicology
- i) industrial hygiene
- j) hazardous materials management
- k) fire science, fire technology

² Applicable disciplines to be used to determine educational requirements include:

- a) Biological science
- b) Chemical science
- c) Physical science
- d) Environmental science
- e) Soil science
- f) Environmental health
- g) Environmental or sanitary engineering
- h) Toxicology
- i) Industrial hygiene

