

Division 3. Electronic Submittal of Information
Subdivision 1. Data Dictionary for Regulated Activities

CHAPTER 5 COMPLIANCE, MONITORING AND ENFORCEMENT (CME)
INFORMATION

1. Compliance Activity Information

ID	ELEMENT	CODES/CRITERIA	LENGTH	TYPE	INFORMATION DESCRIPTION	CERS MINIMALLY REQUIRED FIELDS
1	Facility ID Number		13	AN	A facility identifier assigned by the local regulator supporting cross-linking of CERS and local data system records. Because CUPAs do not consistently apply the original regulatory definition of this field (2 AN county 3 AN jurisdiction 6 AN facility number), CERS accepts any alphanumeric string up to 13 characters. The original regulator goals of this field are fulfilled through the CERS ID and CERS System Field "FacilityRegulatorKey" (20.0084).	False
1a	CERS ID	Cal/EPA assigned, 8- or 9- digit ID assigned to a specific facility that never has leading zeroes (begins at 10000001). Cal/EPA does not anticipate using 9-digit CERS IDs until the year 2020 or beyond.	9	N		False
2	EPA ID Number	12 digit identifier beginning with CA	12	AN	EPA Identification number for businesses that generate, recycle, or treat hazardous waste. For facilities in California, the number usually starts with the letters 'CA'. The number can be obtained from the Telephone Information Center at (916) 255-1136, (800) 61-TOXIC or (800) 618-6942.	False
3	Business Name		70	AN	Full legal name of business.	True
900	RCRA Large Quantity Generator (LQG) of Hazardous Waste	Y = Yes N = No	1	AN	Indicates if facility generates >1000 kg of RCRA hazardous waste in a calendar month. Identification is based on the business' notification of LQG activity to U.S. EPA. If the designation is incorrect, the CUPA cannot change the designation unless the business notifies U.S. EPA.	False

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901	Generator of Solely California Hazardous Waste	Y = Yes N = No	1	AN	Indicates if facility generates solely California hazardous waste and does not generate any RCRA waste.	False
902	CalARP Program: Stationary Source	Y = Yes N = No	1	AN	Indicates if facility is a stationary source as defined by the CalARP program.	False
903	CalARP Program: Multiple Stationary Sources	Y = Yes N = No	1	AN	Indicates if business operates multiple locations in this CUPA jurisdiction that are stationary sources as defined by the CalARP program.	False
904	CalARP Program: RMP Waiver Determination	Y = Yes N = No	1	AN	Indicates if the CUPA has waived the requirement for a Risk Management Plan for this stationary source (a RMP waiver).	False

2. Inspection Information

ID	ELEMENT	CODES/CRITERIA	LENGTH	TYPE	INFORMATION DESCRIPTION	CERS MINIMALLY REQUIRED FIELDS
1	Facility ID Number		13	AN	A facility identifier assigned by the local regulator supporting cross-linking of CERS and local data system records. Because CUPAs do not consistently apply the original regulatory definition of this field (2 AN county 3 AN jurisdiction 6 AN facility number), CERS accepts any alphanumeric string up to 13 characters. The original regulator goals of this field are fulfilled through the CERS ID and CERS System Field "FacilityRegulatorKey" (20.0084).	False
1a	CERS ID	Cal/EPA assigned, 8- or 9- digit ID assigned to a specific facility that never has leading zeroes (begins at 10000001). Cal/EPA does not anticipate using 9-digit CERS IDs until the year 2020 or beyond.	9	N	A CERS ID is a Cal/EPA-assigned, 8- or 9- digit ID to uniquely identify a facility in CERS. The CERS ID should remain unchanged across different owners/operators of a facility.	False
3	Business Name		70	AN	Full legal name of business.	True
905	Program Element	a = Hazardous Materials Release Response Plans (HMRRP) b = California Accidental Release Prevention	1	AN	Program elements inspected. Enter one program element only. For example, a facility inspected for compliance with UST, hazardous waste and hazardous materials storage	True

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		(CalARP) c = Underground Storage Tank (UST) d = Aboveground Petroleum Storage Act (APSA) e = Hazardous Waste Generator f = Hazardous Waste RCRA Large Quantity Generator (RCRA LQG) g = Hazardous Waste Recycler h = Permit by Rule (PBR) i = Conditionally Authorized (CA) j = Conditionally Exempt (CE) k = Household Hazardous Waste (HHW)			regulations would have three records, one for each program element. Each record would have a unique set of violations, even though all inspections took place on the same date. For Tiered Permitting options enter the highest tier. Hazardous Waste RCRA Large Quantity Generator (RCRA LQG) is a subset of Hazardous Waste Generator. Conditionally Authorized (CA) is only available if PBR is not used. Conditionally Exempt (CE) is only available if PBR and CA are not used.	
906	Inspection Date	YYYY-MM-DD	10	D	Date of completion of inspection.	True
907	Inspection Type	a = Routine b = Other	1	AN	Indicates if inspection is routine or other. A routine inspection is a regularly scheduled inspection to evaluate compliance. Does not include follow-up inspections. Other inspections include complaint investigations, closure, release investigations, tank installation and/or removal oversight, tank cleaning, and follow-up enforcement inspections, or other inspections that may be in addition to a regularly scheduled inspection. This includes verification inspections for owners/operators of aboveground storage tanks having to prepare a spill prevention control and countermeasure plan. It does not include regularly scheduled inspections, field or site visits whose principle purpose is informational or educational, pollution prevention education, or visits needed to verify administrative information or orient new owners or operators. A complaint inspection is a service request originating from any outside party, including the public, that initiates a site visit outside of the routine inspection cycle.	True

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910	Number of Class I Violations		2	N	<p>A Class I violation means a deviation that represents a significant threat to human health or safety or the environment because of the volume of the material, the relative hazardousness of the material, or the proximity of the population at risk. The deviation must be significant enough that it could result in releases of material to the environment, material failing to be delivered to an authorized facility, failure to detect releases of material, inadequate financial resources in the case of releases of material, or inadequate financial resources to pay for facility closure, perform emergency cleanup operations or other corrective actions. A Class I violation is also a deviation that is a chronic violation or committed by a recalcitrant violator. A Class I violation is typically one that is could be referred to the District Attorney or City Attorney for formal enforcement action. Sanctions are typically imposed for failure to correct the violation. Class I violations are defined in the Health and Safety Code (HSC) section 25110.8.5.</p>	True
911	Number of Class II Violations		2	N	<p>A Class II violation means a deviation that is not a Class I violation. This count includes violations which would be considered minor, but are knowing, willful, or intentional, or enable the violator to benefit economically from noncompliance, either by reduced costs or competitive advantage. Do not include minor violations in this count. Class II violations are defined in 22 California Code of Regulations (CCR) 66260.10.</p>	True

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912	Number of Minor Violations		2	N	A minor violation means a deviation from any regulation, standard, requirement, or permit condition, that is not a Class I violation. Exclude from this count all violations where the violation is knowing, willful, or intentional, or enables the violator to benefit economically from noncompliance, either by reduced costs or competitive advantage. These are counted as Class II violations. Also exclude any violation that is a chronic violation or that is committed by a recalcitrant violator, since these are counted as Class I violations.	True
913a	Significant Operational Compliance	a = With only Release Detection b = With only Release Prevention c =With both Release Detection and Release Prevention d = No Significant Operational Compliance	1	AN	Indicates if facility contains significant operational compliance criteria for release detection, release prevention, or both based on the inspection.	False
917	Date Returned to Compliance	YYYY-MM-DD	10	D	Date physical compliance was determined by the CUPA for all violations identified during the inspection. This may not be based on a site visit, but is the date compliance was verified. It may be based on correspondence received from the regulated business.	False
929	Inspection Comments		1000	AN	Additional details about this Inspection.	False

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3. Enforcement Information

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1a	CERS ID	Cal/EPA assigned, 8- or 9- digit ID assigned to a specific facility that never has leading zeroes (begins at 10000001). Cal/EPA does not anticipate using 9-digit CERS IDs until the year 2020 or beyond.	9	N	A CERS ID is a Cal/EPA-assigned, 8- or 9- digit ID to uniquely identify a facility in CERS. The CERS ID should remain unchanged across different owners/operators of a facility.	False
3	Business Name		70	AN	Full legal name of business.	True
913b	Red Tag Issued	Y = Yes N = No	1	AN	Indicates if a red tag was issued for a single UST or tank compartment.	False
913c	Red Tag Number	If the tag # is only four digits, insert a zero (0) before the first number: 0xxxx.	5	AN	Identification Number of the Red Tag affixed to the fill pipe for each single UST or tank compartment.	False
913d	Violations Causing Red Tag	1 = Violation threatening/causing liquid release 2 = Violation impairing ability of UST system to detect a leak 3 = Chronic violation or committed by recalcitrant violator	1	AN	Reason for affixing the red tag. Must be a significant violation.	False
913e	Date Red Tag Affixed	YYYY-MM-DD	10	D	Date Red Tag affixed to the fill pipe.	False
913f	Date Red Tag Removed	YYYY-MM-DD	10	D	Date Red Tag removed.	False

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914	Type of Enforcement Action	a = Notice of Violation (NOV) Only b = AEO - Local Ordinance c = AEO - UP d = Referral to State Attorney General e = Referral to District Attorney f = Referral to County Council or City Attorney g = Referral to US Attorney h = Referral to State Agency i = Referral to Federal Agency j = Referral to Other	1	AN	A notice of violation (NOV) is an informal enforcement action taken by a CUPA. A NOV is written documentation that informs a business of non-compliance and establishes a date by which the non-compliance is to be corrected. A CUPA takes formal enforcement action on non-compliant businesses by initiating administrative enforcement orders and/or referring the case to the State Attorney General, District Attorney, County Council or City Attorney, US Attorney, State Agency, Federal Agency, or other. A formal enforcement action mandates return to compliance by imposing punitive and criminal penalties to businesses that fail to comply. If more than one enforcement action is taken, the type and date of each action should be recorded.	True
915	Date of Enforcement Action	YYYY-MM-DD	10	D	Date the enforcement action is taken. The date of enforcement action is the date the order is sent to the business, a final referral is made to the Attorney General, District Attorney or County Attorney, the complaint is filed with the court, or the date the administrative order is issued. If more than one enforcement action is taken, the type and date of each action should be recorded.	True
916	Type of Formal Enforcement Action	a = Administrative b = Civil c = Criminal d = Civil/Criminal	1	AN	Type of formal enforcement action.	False
917a	Date a Referred Case Settled or Dropped	YYYY-MM-DD	10	D	Date a referred case is settled or dropped. No date means that the case is open.	False
918	Docket Number		20	AN	Number assigned by the court for civil and criminal actions.	False

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919	Final Fine or Penalty Assessed	Round to nearest whole number. Do not use decimal places.	8	N	Dollar amount of fine or penalty assessed. This is the final monetary penalty or fine assessed via court or administrative order, or the amount agreed upon in a formal legal settlement. It is based on the value of fines / penalties excluding costs. Does not include Supplemental Environmental Projects (SEPs).	False
920	Supplemental Environmental Projects Value	Round to nearest whole number. Do not use decimal places.	8	N	Dollar amount/value of SEPs.	False
925	Enforcement Comments		1000	AN	Additional details about this Enforcement.	False

4. Violation Information

ID	ELEMENT	CODES/CRITERIA	LENGTH	TYPE	INFORMATION DESCRIPTION	CERS MINIMALLY REQUIRED FIELDS
1	Facility ID Number		13	AN	A facility identifier assigned by the local regulator supporting cross-linking of CERS and local data system records. Because CUPAs do not consistently apply the original regulatory definition of this field (2 AN county 3 AN jurisdiction 6 AN facility number), CERS accepts any alphanumeric string up to 13 characters. The original regulator goals of this field are fulfilled through the CERS ID and CERS System Field "FacilityRegulatorKey" (20.0084).	False
1a	CERS ID	Cal/EPA assigned, 8- or 9- digit ID assigned to a specific facility that never has leading zeroes (begins at 10000001). Cal/EPA does not anticipate using 9-digit CERS IDs until the year 2020 or beyond.	9	N	A CERS ID is a Cal/EPA-assigned, 8- or 9- digit ID to uniquely identify a facility in CERS. The CERS ID should remain unchanged across different owners/operators of a facility.	False
3	Business Name		70	AN	Full legal name of business.	True
930	Violation Type ID		7	AN	4-digit or 7-digit number referencing a Violation Type in the Violation Dictionary. The Violation Dictionary defines the Program violated, the type of violation, and the Code/Regulations and Citation(s) violated.	True

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931	Violation Classification	1 = Class 1 2 = Class 2 9 = Minor	1	AN	Defines the Violation Classification for this Violation ('Class I', 'Class II', or 'Minor').	True
932	Violation Date	YYYY-MM-DD	10	D	Date the violation occurred.	True
933	Violation Scheduled Return to Compliance Date	YYYY-MM-DD	10	D	Scheduled Return-to-Compliance Date for this violation. Each violation must include either a Scheduled RTC Date (#933) or an Actual RTC Date (#934).	False
934	Violation Actual Return to Compliance Date	YYYY-MM-DD.	10	D	Actual Return-to-Compliance Date for this violation. Each violation must include either a Scheduled RTC Date (#933) or an Actual RTC Date (#934). The Actual RTC Date must be accompanied by a valid Violation Actual Return to Compliance Qualifier (#935).	False
935	Violation Actual Return to Compliance Qualifier	1 = Documented 2 = Observed 3 = Not Resolvable 4 = Unobserved	1	AN	Actual Return-to-Compliance Qualifier for this violation.	False
936	Violation Comment		1000	AN	Additional details about this violation (for example, a UST Tank #, location within a facility, etc.)	False