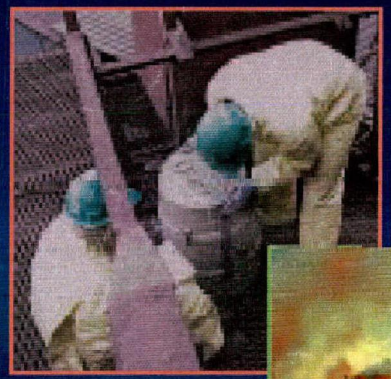

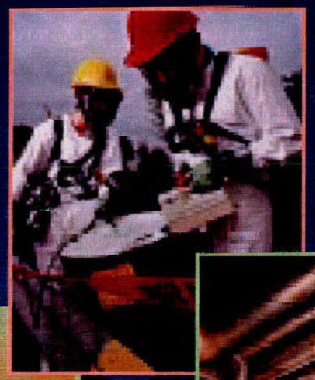

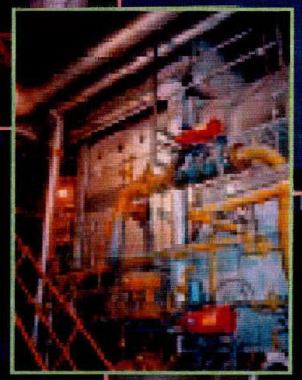

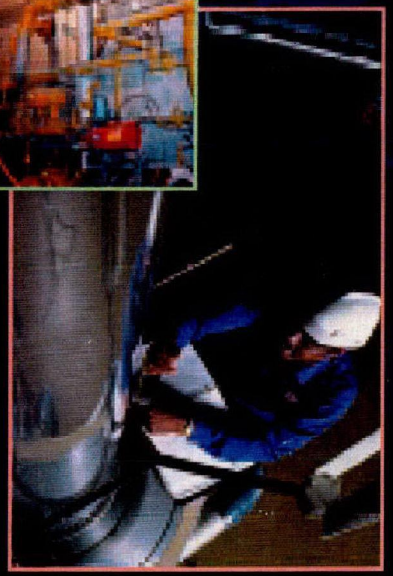

Inspectors Compliance Assistance Resources Guide

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Office of Enforcement and Compliance Assurance
National Compliance Monitoring Policy Branch (NCMPB)
(MC 2223A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460-0001

Note: Send any comments or contact name changes to NCMPB at address to left, ATTN: Inspectors Compliance Assistance Resource Guide or submit to the Inspector Website at: http://intranet.epa.gov/oeca/inspector/.

Introduction

What is the purpose of this guide?

This guide provides information to environmental inspectors on how to use the compliance assistance resources that have been developed by EPA's Office of Enforcement and Compliance Assurance (OECA) and other EPA program offices. Inspectors may use this guide to prepare for facility inspections, to refer to during facility inspections, to provide a list of compliance resources to the facility, and to prepare inspection reports. The guide may also be useful to others who do on-site work directly with the regulated community.

EPA developed these compliance assistance resources, which range from hard-copy documents to interactive on-line tools, to help both inspectors and the regulated community understand environmental compliance issues. This guide discusses these resources in detail and presents examples of how they can be used by inspectors. Within these resources, inspectors should be able to find:

- Compliance assistance tools developed by EPA, states, local agencies, and other groups;
- Regulatory requirement summaries;
- Industrial process and waste generation descriptions;
- Pollution prevention opportunity descriptions; and
- Analyses of current compliance status.

This guide is organized into the following sections:

- **Introduction;**
- **Section 1** – EPA Sector Notebooks;
- **Section 2** – EPA Compliance Assistance Centers;
- **Section 3** – National Environmental Compliance Assistance Clearinghouse;
- **Section 4** – EPA Audit Protocols;
- **Section 5** – EPA compliance Incentives and Auditing;
- **Section 6** – Other Tools;
- **Attachment 1** – Sector-Specific Tools Summary; and
- **Attachment 2** – List of EPA Regional Compliance Assistance Coordinators.

How can these compliance assistance tools help me?

Below is a brief description of the compliance assistance tools available. Sections 1 through 6 provide more details on these tools and examples of how you can use them.

- **Sector Notebooks:** The notebooks describe the operations performed at facilities within various industrial sectors. They describe the regulatory requirements and compliance status for the sectors. This information can be useful when you are unfamiliar with an industrial sector and can help target potential areas of noncompliance.
- **Compliance Assistance Centers:** The Centers provide compliance assistance for specific industry sectors heavily populated with small businesses and other entities facing federal environmental regulation. The Centers provide information through Web sites, hotlines, training sessions, and fax lines. This information can help you locate compliance information and inspection tools for certain industry sectors.
- **National Environmental Compliance Assistance Clearinghouse:** The Clearinghouse is an interactive tool that allows you to access compliance assistance resources quickly and interact with other assistance providers easily. You can find compliance information by topic (e.g., sector, geographic location, environmental concern), share your knowledge with others on the Web site, or find out what EPA and others are planning to do. You can also download relevant compliance information prior to an inspection.
- **Audit Protocols:** These protocols provide information on specific federal statutes or regulations. You can review the protocols to identify records and process areas to inspect and can use the audit checklist during inspections. Please note that inspections should be conducted in accordance with procedures in the compliance inspection manual.
- **Compliance Incentives and Auditing:** These include EPA's policies and programs that eliminate, reduce, or waive penalties under certain conditions for business, industry, and government facilities that voluntarily discover, promptly disclose, and expeditiously correct environmental noncompliance. You can use the incentives and auditing policies to encourage self-policing of environmental programs.
- **Other Tools:** These include the following: the OECA Web site, including other compliance assistance tools, the Online Tracking Information System (OTIS), and the Sector Facility Indexing Project; and other EPA program office Web sites, including EPA's Toxic Release Inventory program with guidance manuals for certain industries and the Pollution Prevention Resource Exchange Web site.

The following example demonstrates how you can use the compliance assistance tools prior to an inspection.

Example - How to Use Compliance Assistance Tools Prior to an Inspection

You are planning an inspection at a shipyard. You look through each of OECA Compliance Assistance Tools available for information prior to inspection.

1. **Sector Notebook (http://www.epa.gov/compliance/resources/publications/assistance/sectors/notebooks/)** - You can find the following information in the Sector Notebook, *Profile of the Shipbuilding and Repair Industry*:

   - A description of the industry (process, products, raw materials);
   - Pollutant outputs;
   - Chemical release and transfer quantities;
   - Applicable regulations;
   - Pollution prevention opportunities; and
   - Compliance assurance activities.

2. **Compliance Assistance Centers** - You browse the Paints and Coatings Resource Center (**http://www.paintcenter.org**) for information on regulations, pollution prevention activities, and typical emissions that occur during the coating of ship parts and materials.

3. **National Environmental Compliance Assistance Clearinghouse (http://www.epa.gov/clearinghouse/)** - The Clearinghouse provides links to regulations so that you can determine the requirements for the shipyard. You will also identify over 20 resources that may be useful to the site for future compliance assurance.

Example - How to Use Compliance Assistance Tools Prior to an Inspection *(continued)*

4. **Audit Protocols** - You know the shipyard is subject to Emergency Planning and Community Right-to-Know Act (EPCRA) reporting; therefore, you print a copy of the audit protocol for this regulation as a reference **(http://www.epa.gov/compliance/incentives/auditing/protocol.html)**. You can use the lists of records and areas to inspect and the checklist during the inspection.

5. **Compliance Incentives and Auditing** - You use the Compliance Incentives and Auditing Web Site **(http://www.epa.gov/compliance/incentives/index.html)** to identify any applicable compliance incentives, environmental management systems (EMS), and pollution prevention resources.

6. **Other Tools** - You use the OECA Web site and On-Line Tracking System (OTIS) **(http://www.epa.gov/idea/otis)** to generate reports on the facility to be inspected. You can identify any previous noncompliance issues or enforcement actions.

For an index of compliance assistance tools by industry sectors and corresponding resources Web sites, see Attachment 1.

EPA/OECA TOOLS

Section 1 Sector Notebooks

1.1 What are the Sector Notebooks? What is their purpose?

The Sector Notebooks (Notebooks) are a growing series of industry-specific documents developed by EPA to provide staff and managers with a consolidated source of compliance-related information for specific industry sectors. Each document contains a lay person's explanation of the major environmental challenges facing the industry. A wide range of users, including government agencies, facility managers, researchers, educators, and environmental professionals, refer to the Notebooks for sector environmental information. The Notebooks assist users to:

- Research an industry, its environmental problems, its compliance history, and environmental regulations that apply to it;
- Understand compliance issues;
- Design comprehensive, common-sense environmental protection measures for specific industries;
- Build a foundation for developing solutions to environmental problems;
- Create and improve pollution prevention programs; and
- Develop industry-specific training sessions and programs.

1.2 What information do the Notebooks contain?

Each Notebook contains the following sections:

- **Introduction to the industry** – Provides an overview of the industry (e.g., product types, industry size, geographic distribution, economic trends);
- **Description of industry processes** – Details specific industrial processes, raw materials, pollution outputs, and chemical and waste management practices;
- **Chemical release and transfer profile** – Provides information gathered as part of EPA's Toxic Release Inventory (TRI) program, discussions of specific chemicals released, other release information, and industry comparisons;
- **Pollution prevention opportunities** – Describes the pollution prevention opportunities that have been demonstrated in the sector;

- **Summary of applicable federal statutes and regulations** - Describes statutes and regulations, including pending or proposed regulations, and industry-specific requirements;
- **Compliance and enforcement history** - Describes the sector's compliance history, comparison of enforcement activity between selected industries, and review of major legal actions;
- **Compliance assurance activities and initiatives** - Describes government and industry initiatives for compliance assurance and technical assistance; and
- **Resource materials and contacts.**

1.3 For which sectors are Notebooks available?

Table 1 identifies the industrial sectors for which OECA has developed sector notebooks. EPA maintains a growing series of profiles of major U.S. industries. To download copies of the Notebooks or for information on obtaining printed copies, visit the Notebook Web site at: **http://www.epa.gov/compliance/resources/publications/assistance/sectors/notebooks/**. Printed copies are available free of charge to government personnel at (800) 490-9198; ask for Sector Notebooks or by title, *Profile of the XXXX Industry*.

Table 1
Industrial Sectors For Which OECA Has Developed Sector Notebooks

Industry Sector (Profile of the ...)	Sector Includes:
Aerospace Industry	Manufacture and assembly of aircraft, space vehicles, guided missiles, and associated parts.
Agricultural Chemical, Pesticide, and Fertilizer Industry	Manufacture and production of fertilizers, the formulation of pesticide chemicals (agricultural and nonagricultural) manufactured at separate facilities, and the production of other miscellaneous agricultural chemicals. This notebook does not include information on use, sale, distribution, or storage of such chemicals.

Table 1 *(continued)*	
Industry Sector (Profile of the ...)	**Sector Includes:**
Agricultural Crop Production Industry	Crop production, greenhouses and nurseries, and forestry and logging.
Agricultural Livestock Production Industry	A wide range of agricultural livestock facilities.
Air Transportation Industry	Establishments furnishing domestic and foreign air transportation, operating airports and flying fields, and furnishing terminal services.
Dry Cleaning Industry	Commercial, industrial, and coin-operated dry cleaning.
Electronics and Computer Industry	Manufacture of electrical distribution equipment, household appliances, communication equipment, electrical industrial apparatus, radio and television receiving equipment, electronic components and accessories, electrical wiring and lighting equipment, and other electrical equipment and supplies. The electronics/computer industry comprises five major sectors: telecommunications, computers, industrial electronics, consumer electronics, and semiconductors.
Fabricated Metal Productions Industry	Forming of metal shapes and performing metal finishing operations.

Table 1 *(continued)*	
Industry Sector (Profile of the ...)	**Sector Includes:**
Fossil Fuel Electric Power Generation Industry	Facilities that use coal, petroleum, or natural gas as fuel to generate electricity. This Notebook does not include information on facilities that use nuclear or renewable (e.g., wood or solar) energy sources exclusively.
Ground Transportation Industry	Rail transportation, trucking, and pipelines.
Inorganic Chemical Industry	Production of inorganic chemicals.
Iron and Steel Industry	Steel works, blast furnaces, and rolling and finishing mills.
Local Government Operations[a]	Activities managed or operated by local governments, including construction/ property management, pesticide/vector management, public safety, solid waste management; wastewater management, water resources management, water supply, and vehicle equipment maintenance.
Lumber and Wood Production Industry	Cutting timber and pulpwood and manufacturing finished articles made entirely or predominantly of wood or related materials; sawmills, lath mills, shingle mills, cooperage stock mills (wooden casks or tubs), planing mills, and plywood mills.

[a] Part of government series Notebooks; included with the Sector Notebooks for your convenience.

Table 1 *(continued)*	
Industry Sector (Profile of the ...)	**Sector Includes:**
Metal Casting Industry	Casting of ferrous and nonferrous products.
Metal Mining Industry	Exploration for metallic minerals, mine development, and mining of ores.
Motor Vehicle Assembly Industry	Manufacture and assembly of equipment for the transportation industry (by air, land, or water).
Nonferrous Metals Industry	Primary and secondary smelting and refining of nonferrous metals from ore or scrap.
Non-Fuel, Non-Metal Mining Industry	Mining and quarrying of nonmetallic minerals, except fuels.
Oil and Gas Extraction Industry	Exploration for petroleum deposits through transport of product from the production site.
Organic Chemical Industry	Production of organic chemicals.
Petroleum Refining Industry	Separation of crude oil into its major distillation fractions and processing of petroleum products.

Table 1 *(continued)*	
Industry Sector (Profile of the ...)	Sector Includes:
Pharmaceuticals Industry	Fabrication and processing of medicinal chemicals or pharmaceutical products.
Plastic Resin and Man-made Fiber Industry	Production and processing of plastic resin and man-made fibers.
Printing Industry	Printing operations, platemaking, book binding, and publishers.
Pulp and Paper Industry	Notebook focuses primarily on pulp processes; also contains a limited discussion on papermaking.
Rubber and Plastics Industry	Manufacture of products from plastic resins, natural and synthetic rubber, gutta percha, balata, and gutta siak.
Shipbuilding and Repair Industry	Building and repair of ships, barges, and other large vessels (self-propelled or towed).
Stone, Clay, Glass, and Concrete Industry	Manufacture of flat glass; pressed or blown glass and glassware; glass products; hydraulic cement; structural clay products; pottery and related products; concrete, gypsum, and plaster products; cut stone and stone products; and abrasives, asbestos, and miscellaneous nonmetallic mineral products.

Table 1 *(continued)*	
Industry Sector (Profile of the ...)	Sector Includes:
Textile Industry	Spinning of natural and man-made fibers into yarn or thread; weaving and knitting of fabrics; and dyeing and finishing of fabrics.
Transportation Equipment Cleaning Industry	Cleaning operations performed at a variety of facility types (e.g., petroleum refineries, marine cargo facility).
Water Transportation Industry	Freight and passenger transportation on the open seas or inland waters and incidental services (e.g., lighterage, towing, and canal operations).
Wood Furniture and Fixtures Industry	Manufacture of household, office, store, public building, and restaurant furniture and fixtures.

Refer to Web site (http://www.epa.gov/compliance/resources/publications/assistance/sectors/notebooks) for additional sectors that have been added.

1.4 How do I use the Notebooks?

For compliance inspections, you can use the Notebooks to:

1. **Learn about industry processes, raw materials, and pollution outputs.** The Notebooks discuss the major industry processes, chemicals and/or materials used, and common pollution outputs (including type of output and location).
2. **Identify chemical releases.** The Notebooks list the common chemicals released and the type of releases (i.e., air, water, or land disposal).
3. **Identify statutes and regulations applicable to the industry.** The Notebooks provide a starting point for identifying statutes and regulations that apply to the sector, along with industry requirements. To identify specific requirements under the statutes and regulations, you may need to do additional research.
4. **Locate common discharge locations and compliance and enforcement history.** The Notebooks can help identify major sources of environmental problems common at most sites. However, keep in mind that not all processes or process configurations may be present at a specific facility. The enforcement history for the industry can also provide a starting point to targeting potential noncompliance areas. Data in this section come from EPA's Integrated Compliance Information System (ICIS), formerly the Integrated Data for Enforcement Analysis (IDEA) system. You can search the ICIS system for a specific facility to determine past noncompliance and enforcement areas. See the discussion of EPA's Online Tracking Information System (OTIS) in Section 6.1.

The following example illustrates how you can use the Notebooks when planning a site visit.

Example - How to Use Sector Notebooks Prior to Inspections

You plan to inspect a steel facility that operates an electric arc furnace (to melt a scrap steel feed) and a caster (to form the molten steel), and forms carbon steel strip products. You review the Sector Notebook, *Profile of the Iron and Steel Industry* (EPA/310-R-95-005), to:

Example - How to Use Sector Notebooks Prior to Inspections *(continued)*

1. Familiarize yourself with the operations and pollution outputs;
2. Identify chemical releases;
3. Identify applicable statutes and regulations; and
4. Determine compliance status of industry and potential noncompliance areas.

1. Familiarize yourself with the operations and pollution outputs.

Sections II and III of the Notebook include an introduction to the iron and steel industry and industrial process descriptions. Exhibit 5 of the Notebook provides an overall flow diagram for the electric arc furnace, or EAF, steelmaking process. The facility performs EAF steelmaking, continuous casting, and hot forming.

In the text of Section III, you find that the EAF steelmaking process produces metal dusts, slag, and gaseous products. The facility uses a gas cleaning process to convey particulate matter and gases. The EAF dust is a listed hazardous waste (RCRA waste code K061) and is primarily composed of iron or iron oxides. Lead and cadmium are the primary hazardous materials in EAF dust. Depending on the scrap composition, lime and/or fluorspar (flux), zinc, and other metals may be present. Oils from the scrap may be burned off during the process. The melting process generates nitrogen oxides and ozone.

Continuous casting and hot forming operations use process contact water to cool the steel. The water becomes contaminated with oil, grease, and mill scale (usually settled from the process water). If the facility treats wastewater on site, it generates wastewater treatment sludge.

From Section III.B, you find that raw materials to the EAF include scrap metal, electric energy, graphite electrodes, and fluxes and alloys (e.g., fluorspar, dolomite, aluminum, manganese).

Example - How to Use Sector Notebooks Prior to Inspections *(continued)*

2. Identify chemical releases.

Section IV of the Notebook presents a chemical release and transfer profile of the industry. The data presented from TRI include all iron and steel facilities. Because the facility you are inspecting contains only a subset of all industry processes, the information may not be applicable to your site. Keeping this in mind, you note some of the highlights in the Notebook:

- Over half the releases are to on-site land disposal;
- Manganese, zinc, chromium, and lead account for over 90 percent of on-site land disposal (note: from Section II, you know that chromium is more common for specialty steel production, not carbon steel);
- One-quarter of the releases are either fugitive or point source air emissions;
- Particulates, carbon monoxide, nitrogen oxides, and sulfur compounds are released to the air due to combustion; and
- Eighty percent of off-site transfers are recycled (primarily metals).

3. Identify applicable statutes and regulations.

Notebook Section VI.B identifies environmental statutes and regulations applicable to the sector. You discover the following apply to the facility you plan to inspect:

- Clean Air Act (CAA)
  - Title I of the CAA requires attainment and maintenance of National Ambient Air Quality Standards. For your facility, nitrogen oxide, lead, and particulate matter are usually affected.
  - Maximum Achievable Control Technology (MACT) standards identify EAFs as possible sources of hazardous air pollutants.

Example - How to Use Sector Notebooks Prior to Inspections *(continued)*

- New Source Review (NSR) requirements apply to your facility if it has expanded or performed process modifications. The NSR may require a permit prior to construction or operation.
- New Source Performance Standards apply to EAFs.

- Clean Water Act (CWA) - 40 CFR 420 establishes limits on certain pollutants for continuous casting and hot forming operations.
- Resource Conservation and Recovery Act (RCRA) - EAF emission control dust and sludge is a hazardous waste (K061) and subject to RCRA requirements.
- Emergency Planning and Community Right-to-Know Act (EPCRA) - Sections 301-313 of EPCRA include requirements for release notification and inventory reporting.

4. Determine compliance status of the industry and potential noncompliance areas.

Section VII provides a compliance and enforcement history for the iron and steel industry. You learn that 115 of the 275 facilities (42 percent) inspected in the five-year period received one or more enforcement actions. However, the enforcement-actions-to-inspections ratio was only 0.14. Overall, most inspections were split between the CAA, the CWA, and RCRA, with recent emphasis on the CAA. The facility must comply with all three regulations; therefore, a multimedia inspection covering all three regulations may be prudent.

The Notebook does not list specific noncompliance areas; however, it does include a review of some enforcement actions. You can contact the Office of Civil Enforcement at (202) 564-2220 for additional information or summaries of actions taken. Other resources include the Online Tracking Information System (OTIS) and Enforcement and Compliance History Online (ECHO). For more information regarding OTIS or ECHO, please contact Rebecca Kane at (202) 564-5960.

1.5 Who should I contact about the Notebooks?

To download copies of the Notebooks or for information on obtaining printed copies, visit the Notebook Web site at: **http://www.epa.gov/compliance/resources/publications/assistance/sectors/notebooks/index.html**. Printed copies are available free of charge to government personnel at (800) 490-9198; ask for Sector Notebooks or by title, *Profile of the XXXX Industry*.

The EPA contact for the Sector Notebook project is:

Seth Heminway (MC 2224A)
Phone: (202) 564-7017
E-mail: heminway.seth@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Section 2 Compliance Assistance Centers

2.1 What are Compliance Assistance Centers? What is their purpose?

The Compliance Assistance Centers (Centers) are a partnership between EPA's Office of Compliance, industry, academic institutions, environmental groups, and other federal and state agencies. The purpose of the Centers is to provide compliance assistance to industry sectors heavily populated with small businesses and other entities facing federal environmental regulation. The Centers provide information through:

- Web sites (**http://www.assistancecenters.net** provides links);
- Hotlines;
- Publications;
- Training sessions; and
- Fax lines (including Web fax back).

2.2 What information do the Centers contain?

The Centers are designed to provide:

- Comprehensive, easy-to-understand compliance information by industry sector (primarily for small businesses and technical assistance providers);
- Links via the Internet between the small business community and their technical and regulatory assistance providers and between the providers themselves to share tools and knowledge and prevent duplication of efforts;
- Compliance assistance tools (e.g., guides, consolidated checklists, and fact sheets);
- Access to information and technical assistance on pollution prevention and compliance goals to help minimize waste production and maximize environmental performance;
- Ways to reduce the costs of compliance through technologies and best management practices that reduce pollution while saving money; and
- Communication between the sectors and EPA and the opportunity for small businesses to increase their understanding of EPA policies and programs and for EPA to increase its understanding of sector-related issues.

2.3 For which sectors are Centers available?

EPA has developed Centers for many sectors including:

- Agriculture;
- Automotive recyclers;
- Automotive services and repair;
- Chemical manufacturers;
- Colleges & universities;
- Construction;
- Federal facilities;
- Healthcare;
- Local governments;
- Metal finishing;
- Paints and coatings;
- Printed wiring boards;
- Printers;
- Transportation;
- Tribal; and
- U.S./Mexican Border.

Many of the Centers are described in the following subsection.

Agriculture-National Agriculture Compliance Assistance Center (Ag Center) (http://www.epa.gov/agriculture)

The Ag Center offers the following through its Web site and fax-back line, (913) 551-7270:

- Compliance news (e.g., fact sheets, manuals, links to *Federal Register notices*);
- Information on over 30 environmental topics;
- Laws, policies, and guidance;
- Environmental requirements by agricultural sector and pesticide industry; and
- Publications and resources.

The Ag Center also has a toll-free phone number for questions: (888) 663-2155. You may find the following sections of the Ag Center's Web site useful for inspections:

1. **Topics** – You can search for environmental requirements background information, compliance aids, and resources for information and assistance, as shown in Figure 1.

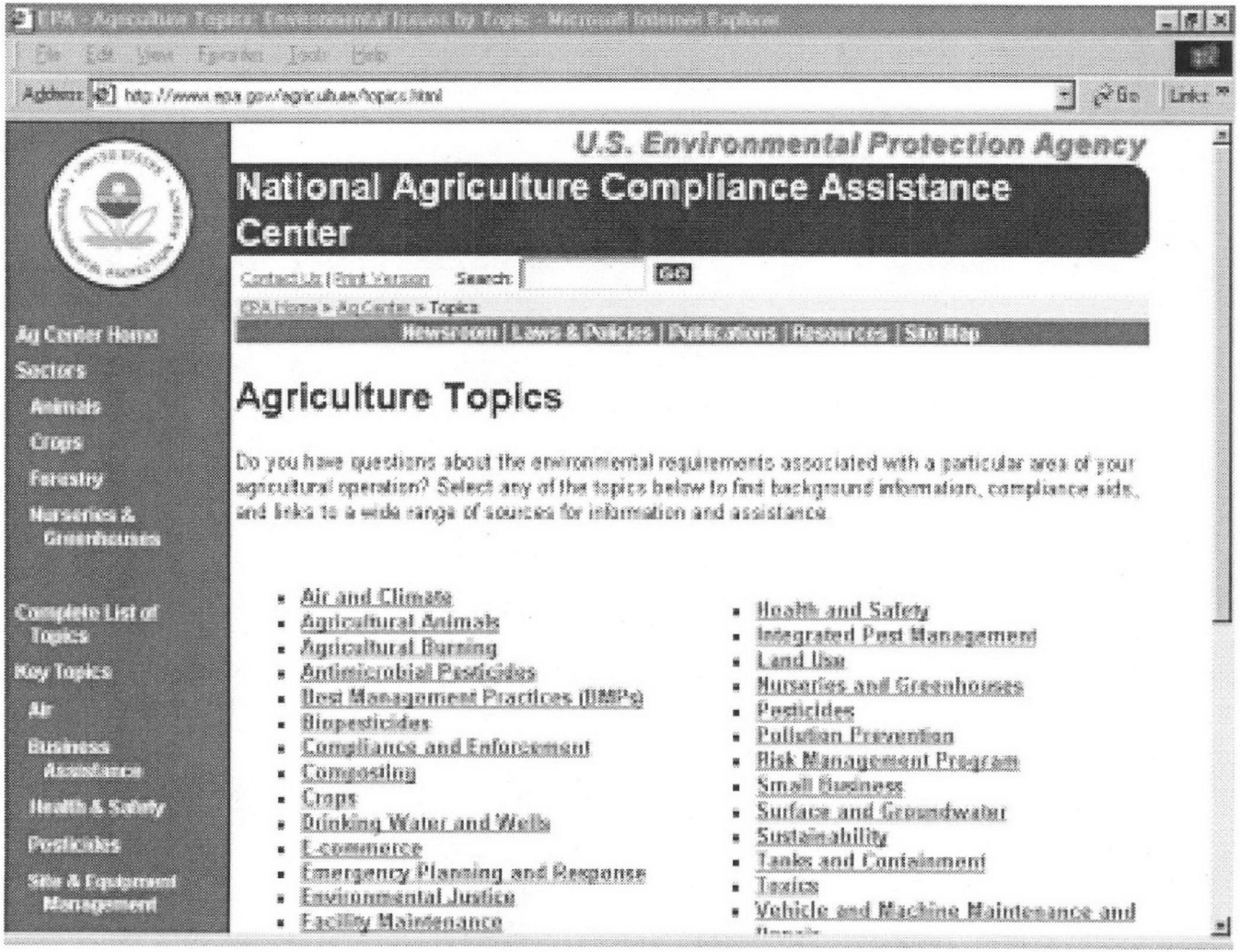


Figure 1. Ag Center Web Site Topics

One of the key topics includes "compliance and enforcement." Compliance and enforcement information available from the Center includes:

- Audit policy and related publications;
- Small business links;
- Statute-specific policies and guidance; and
- Links to further information.

Figure 2 shows the "compliance and enforcement" topic Web page.

2. **Publications** – You can find publications on a wide selection of industry topics, including "compliance and enforcement." These documents may highlight potential areas of noncompliance.

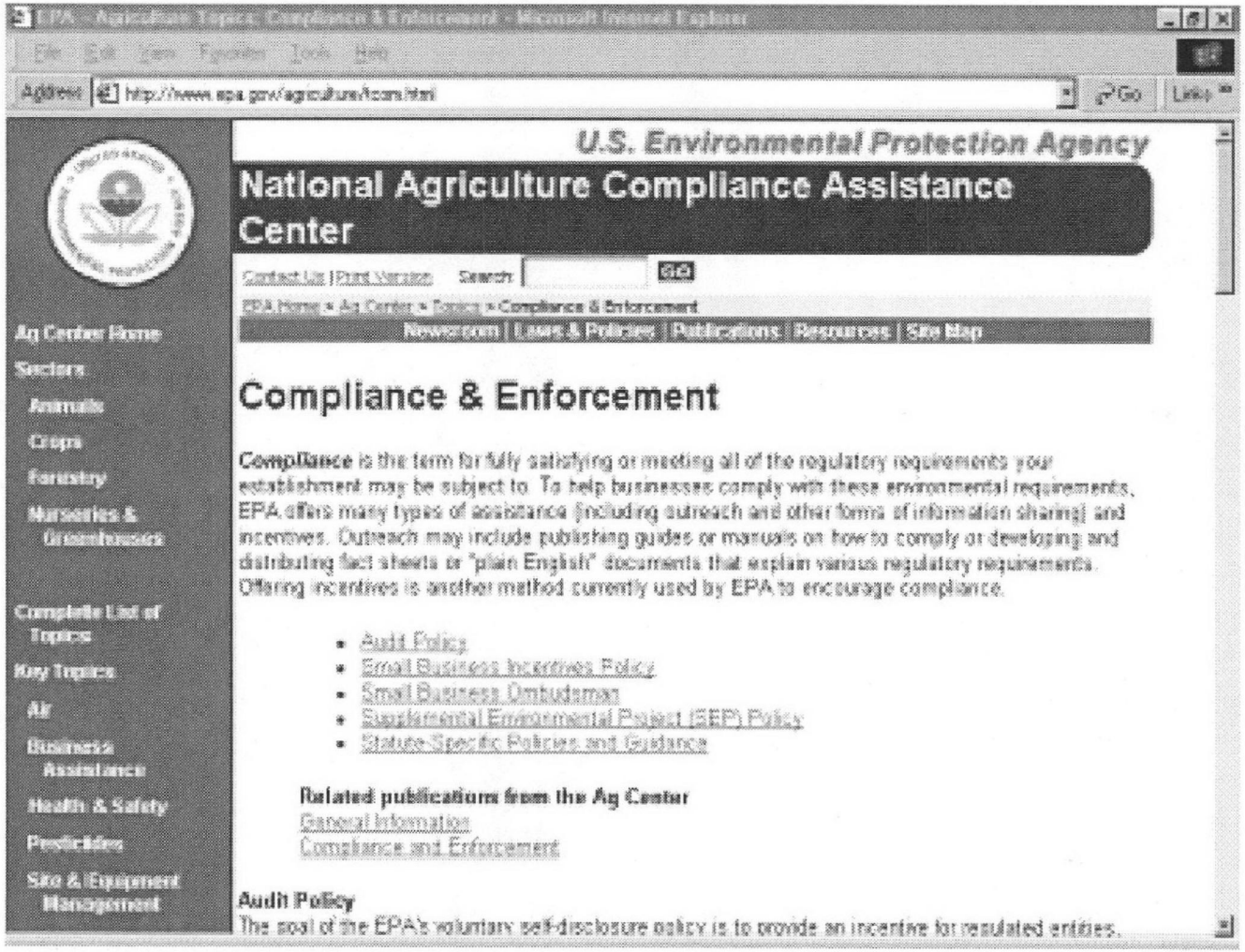


Figure 2. Ag Center Compliance and Enforcement Topic Web Page

Automotive Services and Repair–CCAR-GreenLink® (http://www.ccar-greenlink.org/)

CCAR-GreenLink® offers, through its Web site and phone line ((888)-GRN-LINK), compliance information on:

- Used oil and filter management
- Underground storage tanks
- Hazardous waste;
- Antifreeze;
- Motor vehicles;
- Batteries,
- Brake pads;
- Emissions;
- Stormwater (floor drains);
- Air conditioning;
- Paint thinners/solvents;
- Paint thinners/solvents;
- Emergency spill procedures; and
- Pollution prevention alternatives.

CCAR-GreenLink® provides graphic depictions of a virtual collision repair shop, a spray booth, a paint mixing booth, and an automotive repair shop. You can click on objects in the virtual shops and booths to obtain information on applicable requirements. For example, in the virtual automotive repair shop shown in Figure 3, clicking on the used oil drum in the picture links users to a guide book, fact sheet, and article about used oil.

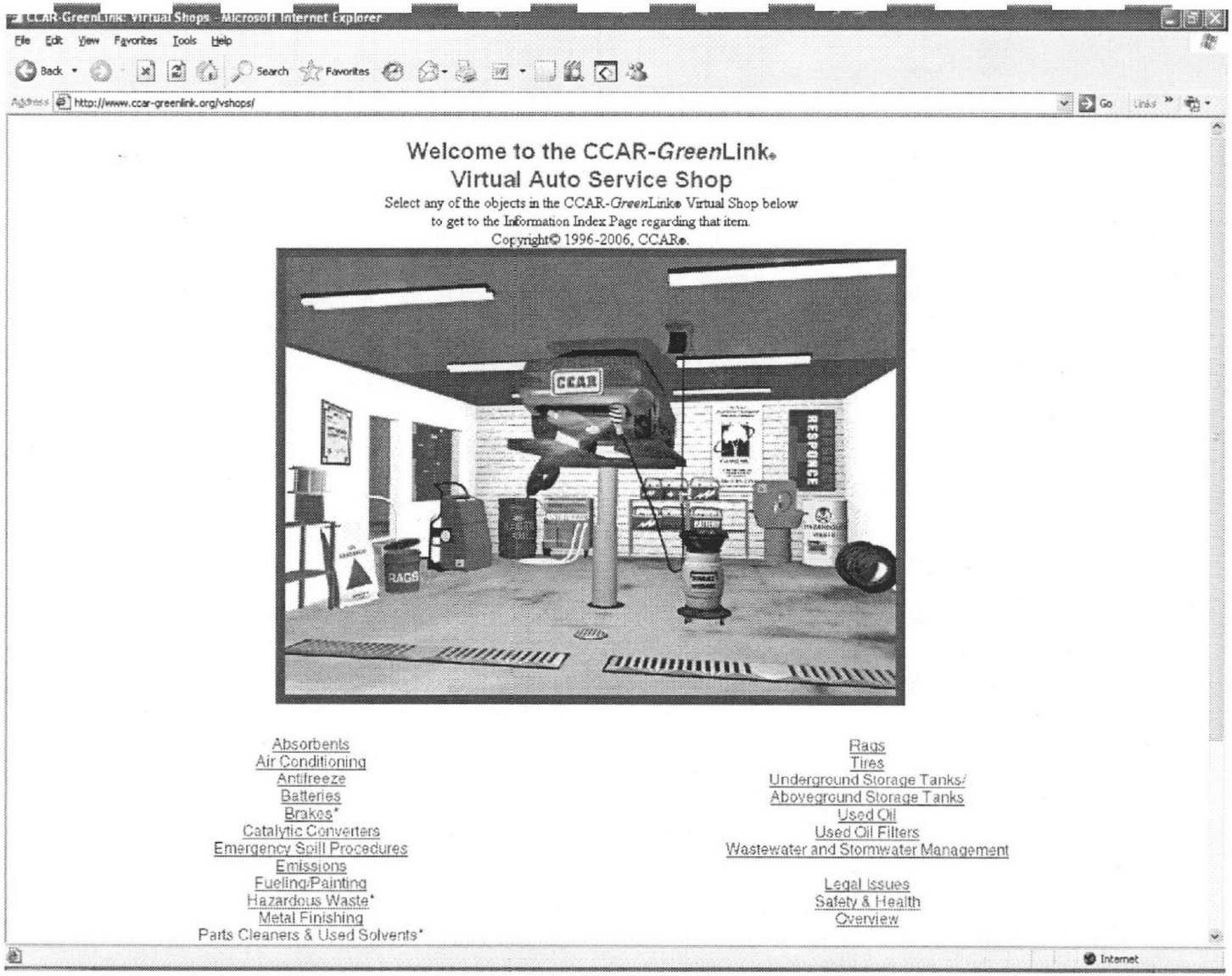


Figure 3. CCAR-GreenLink® Auto Repair Shop

Chemical Manufacturers - *ChemAlliance* (http://www.chemalliance.org/)

The *ChemAlliance* Web site directs chemical manufacturers to:

- Plain language regulatory requirements;
- Regulatory and industry news/events;
- Environmental articles;
- Pollution prevention alternatives;
- Best management practices; and
- Unit operation requirements and alternatives.

Figure 4 presents the *ChemAlliance* home page.

You may find the following sections of the ChemAlliance Center useful for inspections:

1. ***The ChemAlliance Regulatory Handbook* includes:**
   - Virtual plant tour - review of operations from a regulatory standpoint;
   - Regulatory tour - summary of regulations;
   - Background and history of environmental regulations;
   - Glossary of terms;
   - List of EPA hotline phone numbers; and
   - Links to laws and regulations.

Figure 5 presents the virtual plant tour screen.

Figure 4. ChemAlliance Home Page

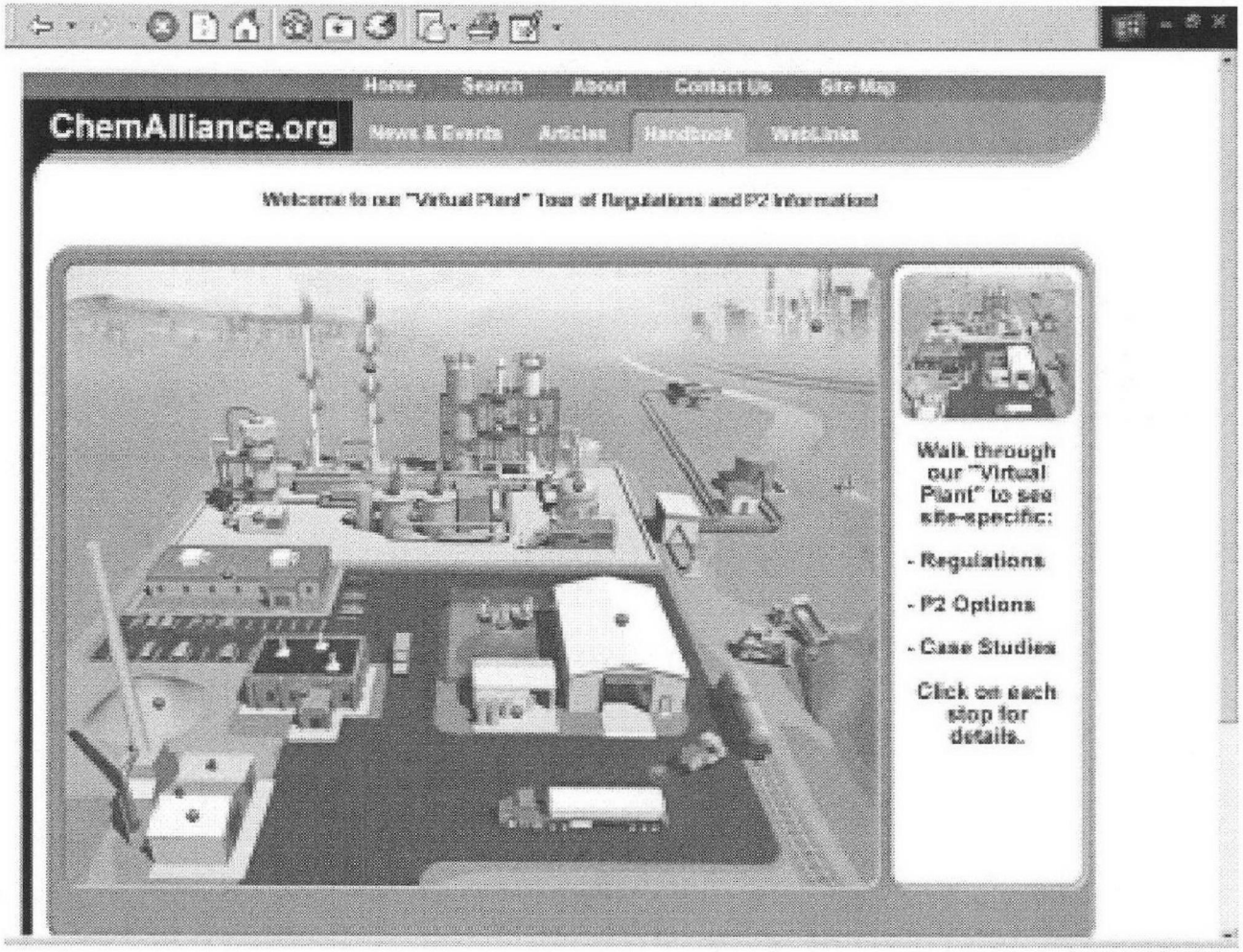


Figure 5. *ChemAlliance* Virtual Plant Tour

You can select the following areas of the plant for which you would like more information:

- Cooling towers;
- Boilers/furnaces;
- Vent/flare;
- Storage tanks;
- Piping;
- Distillation/separation;
- Reactors;
- Equipment cleaning;
- Wastewater treatment;
- Neighboring town;
- Construction;
- Loading station;
- Warehouse;
- Remediation;
- Hazardous waste shed;
- Laboratory;
- Incinerator;
- Landfill; and
- Office.

2. The Solutions and Supports Web page under the Handbook includes links to:

- EPA program offices and regional/state contacts;
- Compliance support Web sites including OECA, other EPA programs, and OSHA;
- Industry and trade association Web sites;
- Pollution prevention and voluntary program Web sites; and
- Environmental management system (EMS) Web sites.

3. The *Tools in Review* Web page under the *Handbook* includes links to tools for:

- Compliance self-assessment;
- Risk management assessment;
- Environmental management systems; and
- Pollution prevention opportunities.

Federal Facilities - *Federal Facilities Assistance Center (FedSite)* (http://www.fedcenter.gov)

FedSite provides information about environmental laws and regulations that affect federal departments and agencies, including the following:

- Virtual facility regulatory tour;
- Links to federal agencies and state compliance programs;
- Training resources; and
- Review of EPA demonstration and compliance assistance projects.

Inspectors may find the "Virtual Facility Regulatory Tour" helpful for inspections. This tour covers compliance issues and topics common to federal agencies. Figure 6 lists the 11 topics covered.

Tours of each topic area highlight environmental issues. For example, the virtual tour for construction sites lists six compliance issues: National Environmental Policy Act (NEPA), construction and demolition (C & D) debris, asbestos, stormwater, lead paint, and green construction.

Also included with the virtual facility tour are pollution prevention templates for:

- Building renovation;
- Electronics shop;
- Ground maintenance;
- Hazardous waste;
- Laundry and dry cleaning;
- Manufacturing shops;
- Medical clinics; and
- Vehicle maintenance.

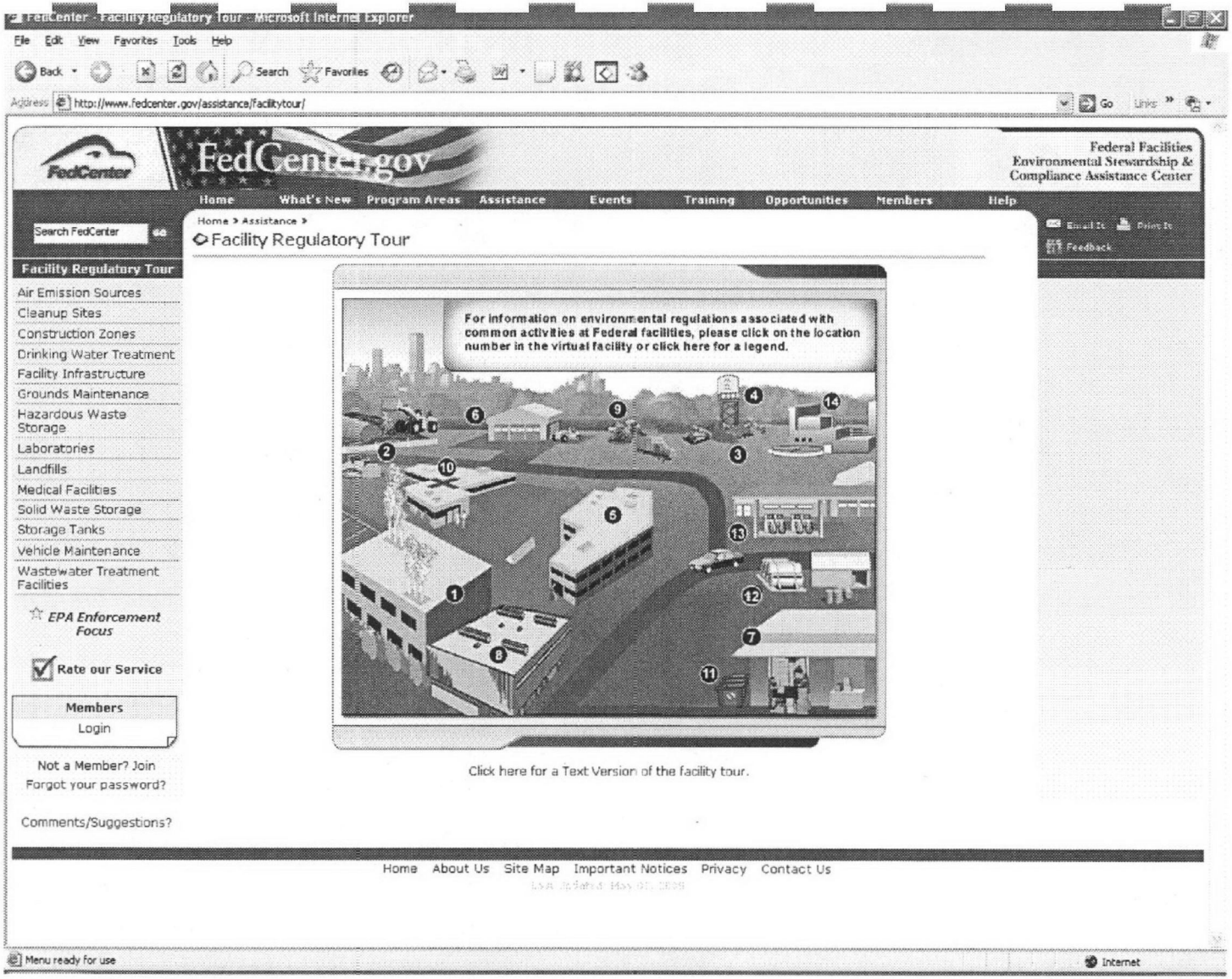


Figure 6. FedSite Virtual Facility Regulatory Tour

Local Governments - Local Government Environmental Assistance Network (LGEAN) (http://www.lgean.org/)

The LGEAN site provides environmental management, planning, and regulatory information for local government officials, managers, and staff, including the following:

- Environmental and regulatory news by topic (e.g., air, brownfields) and topic search;
- Regulatory information; and
- Consultant directory.

Inspectors may find the "Tools & Resources - Toolbox" useful for inspections. This feature is an interactive tool that guides users through reporting requirements. The topic areas include:

- Air
- Drinking water
- Energy
- Financing
- General
- Hazardous waste
- Pesticides
- Small communities
- Smart growth
- Solid waste
- Stormwater
- Urban forestry.

Figure 7 displays the home page for this Center.

Figure 7. LGEAN Home Page

Metal Finishing - *National Metal Finishing Resource Center (NMFRC)* (http://www.nmfrc.org/)

The NMFRC Web site provides comprehensive environmental compliance, technical assistance, and pollution prevention information to the public and subscribers. Public information includes:

- Environmental news;
- Center news articles;
- Information on current EPA regulations (including pending regulations);
- Vendor and shop databases;
- A member list; and
- Common Sense Initiative information (includes reports on pollution prevention, risk characterization, and other topics).

Figure 8 highlights the "Public Area" of the Web site.

The NMFRC provides links to state environmental agencies, contacts, and on-line regulations. Included on the links page for each state are links to various resources provided by the states, such as fact sheets, compliance assistance guidance, permit guidance, and permit and reporting forms. The resources are organized by industry sector and include sectors in addition to metal finishing.

The NMFRC also includes an area containing additional technical information regarding the metal finishing sector for which subscribers pay an annual fee.

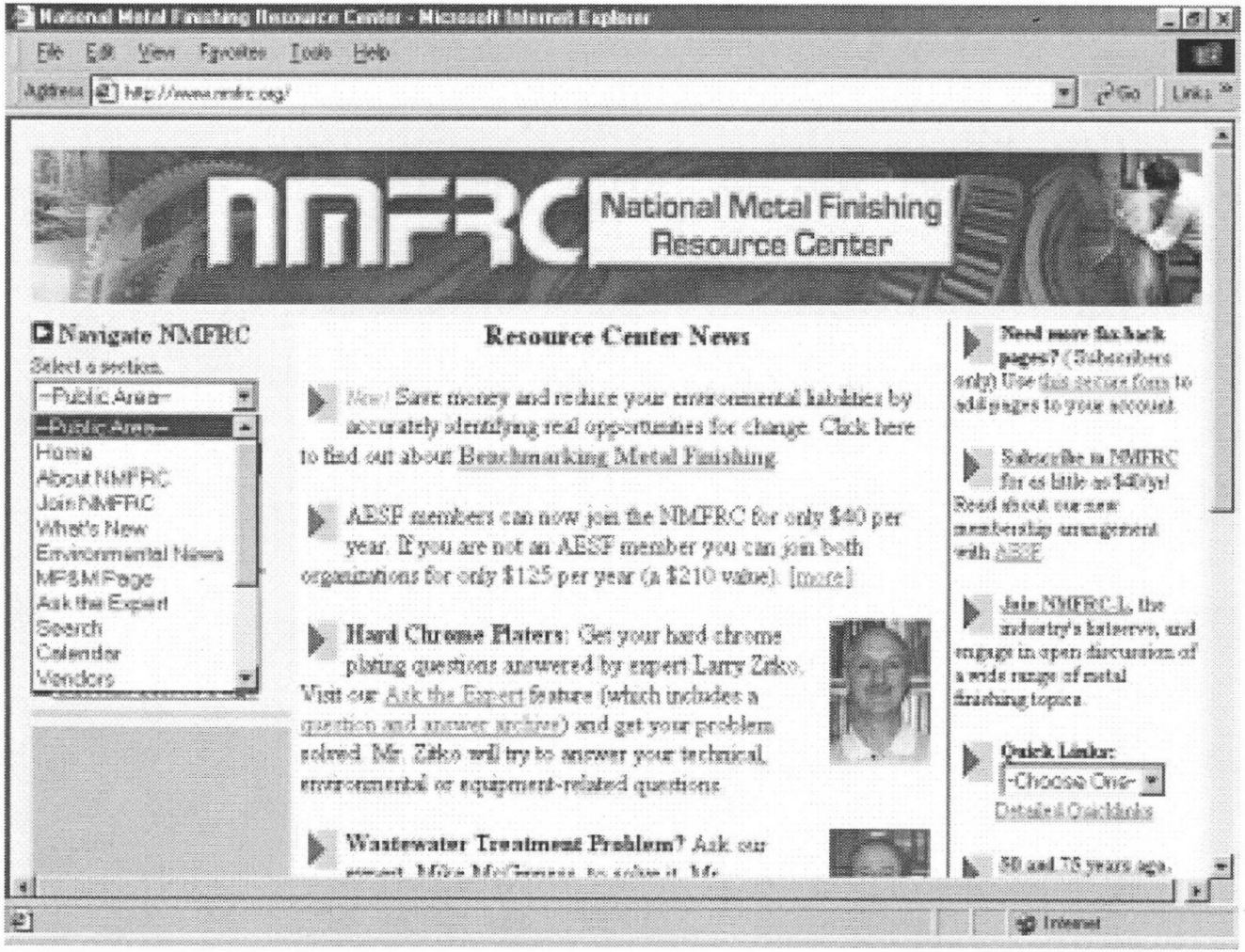


Figure 8. NMFRC Web Site - Public Area List

Paints and Coatings - *Paints and Coatings Resource Center* (http://www.paintcenter.org/)

The Paints and Coatings Resource Center provides regulatory compliance and pollution prevention information including:

- Regulatory and compliance assistance - plain language guides, state regulation locator, federal regulations, compliance incentives for small businesses, EPA self-audit and inspection guide for organic finishing of metals, and regulatory determinations;
- Technical information;
- Environmental news; and
- Vendor directories.

This Center also includes an "Ask the Expert" feature. Users can e-mail questions on paints and coatings to an industry expert and search the "Ask the Expert" archives (under Technical Info) for answers to previous questions. Other features of the Center are the "VOC Calculators" (under Regulations), which estimate VOC emissions based on user inputs. The Web site presents a variety of calculators so that VOC emissions can be estimated for different types of coatings and in various terms (for example, pounds per volume of solids or pounds per volume of coating).

Figure 9 shows an example of a VOC calculator.

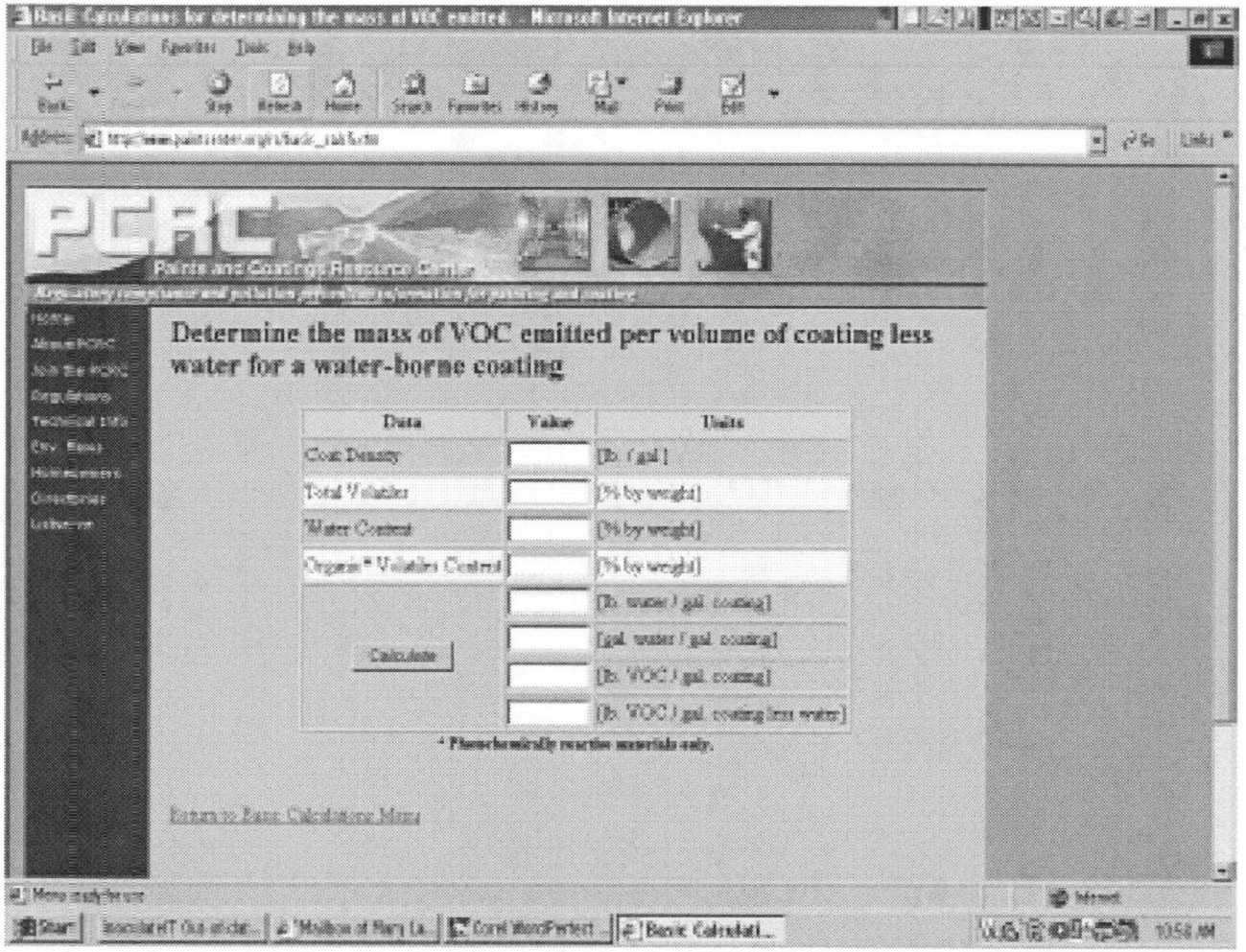


Figure 9. Paint Center VOC Calculator

Printed Wiring Boards - *Printed Wiring Board Resource Center* (PWBRC) (http://www.pwbrc.org)

The PWBRC provides public and member regulatory compliance and pollution prevention information including the public items listed below:

- Technical document database;
- Information on current EPA regulations (including pending regulations);
- Compliance assistance;
- State regulation information;
- Vendor, facility, and recycler databases;
- Pollution prevention tools; and
- Environmental news.

You may find the following sections of the PWBRC useful for inspections:

1. **Frequently Asked Questions** - The following questions are answered:
   - What is a printed wiring board (PWB)?
   - How are PWBs manufactured?
   - What is the regulatory status of PWB by-products?
   - What pollution prevention options are available?
   - Where can I recycle PWB waste?
2. **Public Resources** - Figure 10 displays the public resources available on the PWBRC, which include the following:
   - List of recent updates (What's New and Headlines);
   - Information on ongoing rulemakings (e.g., proposed rules);
   - Vendor database;
   - Facility directories; and
   - Compliance assistance resources including a plain language guide to the regulations, state and federal regulations, RCRA information, and small business policies. Using the plain language guide to the regulations search (shown in Figure 11), you can find information on:
     - Air emissions - CAA overview, state and regional agencies, regulated PWB processes, accidental releases, and air pollution abatement equipment.
     - Wastewater discharges - CWA overview, federal laws and regulations, local and state rules, prominent wastewater issues, and additional resources.
     - Solid and hazardous waste management - overview, federal laws and regulations, state regulations, management and shipment of wastes, reporting and

recordkeeping, recycling under RCRA, prominent issues, and additional resources.

- Toxic chemical reporting - requirements under EPCRA Sections 311/312 and 313 and TRI chemicals common to PWB manufacturing, state requirements, and other resources.
- Policy on compliance incentives for small businesses.

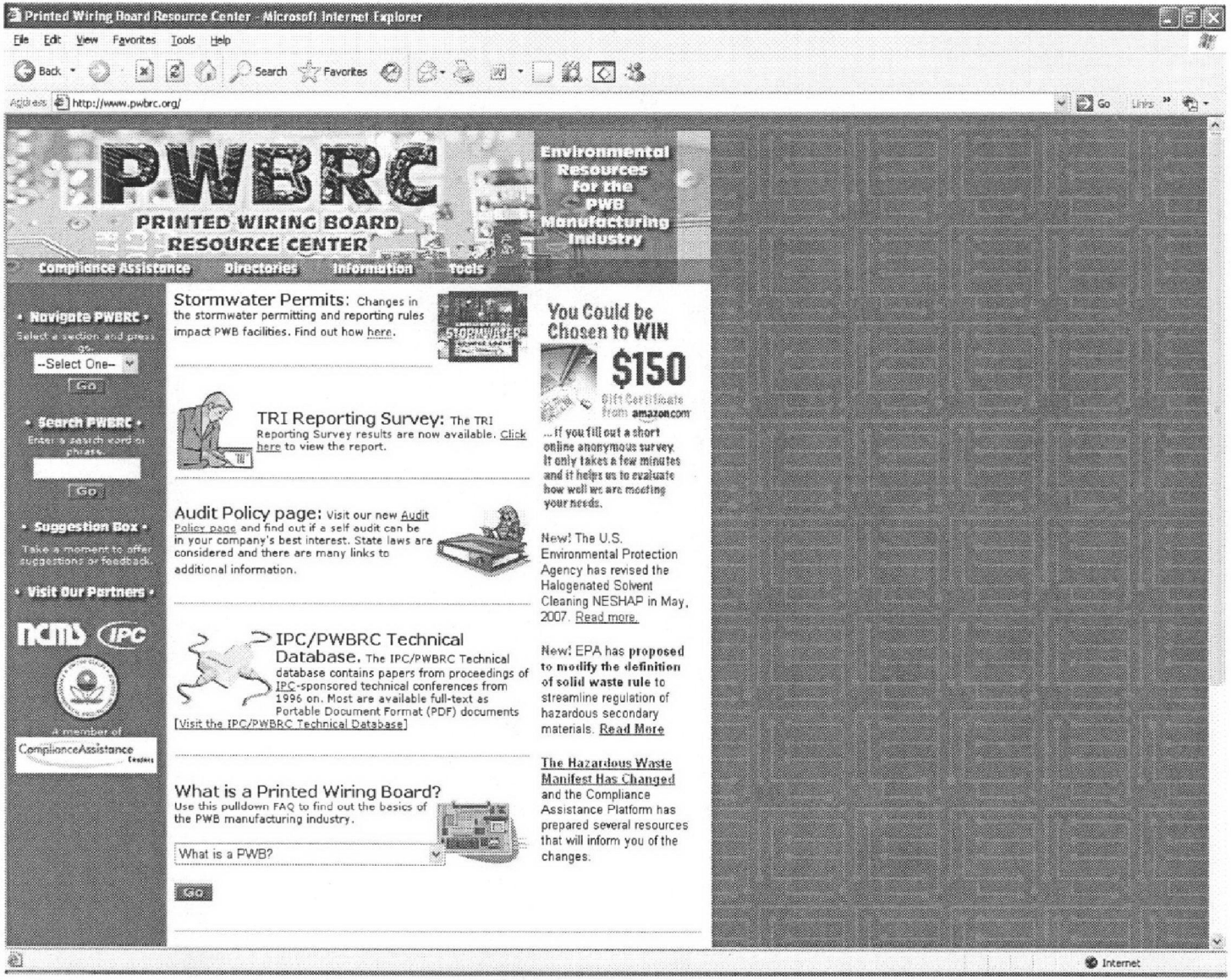


Figure 10. PWBRC - Public Resources List

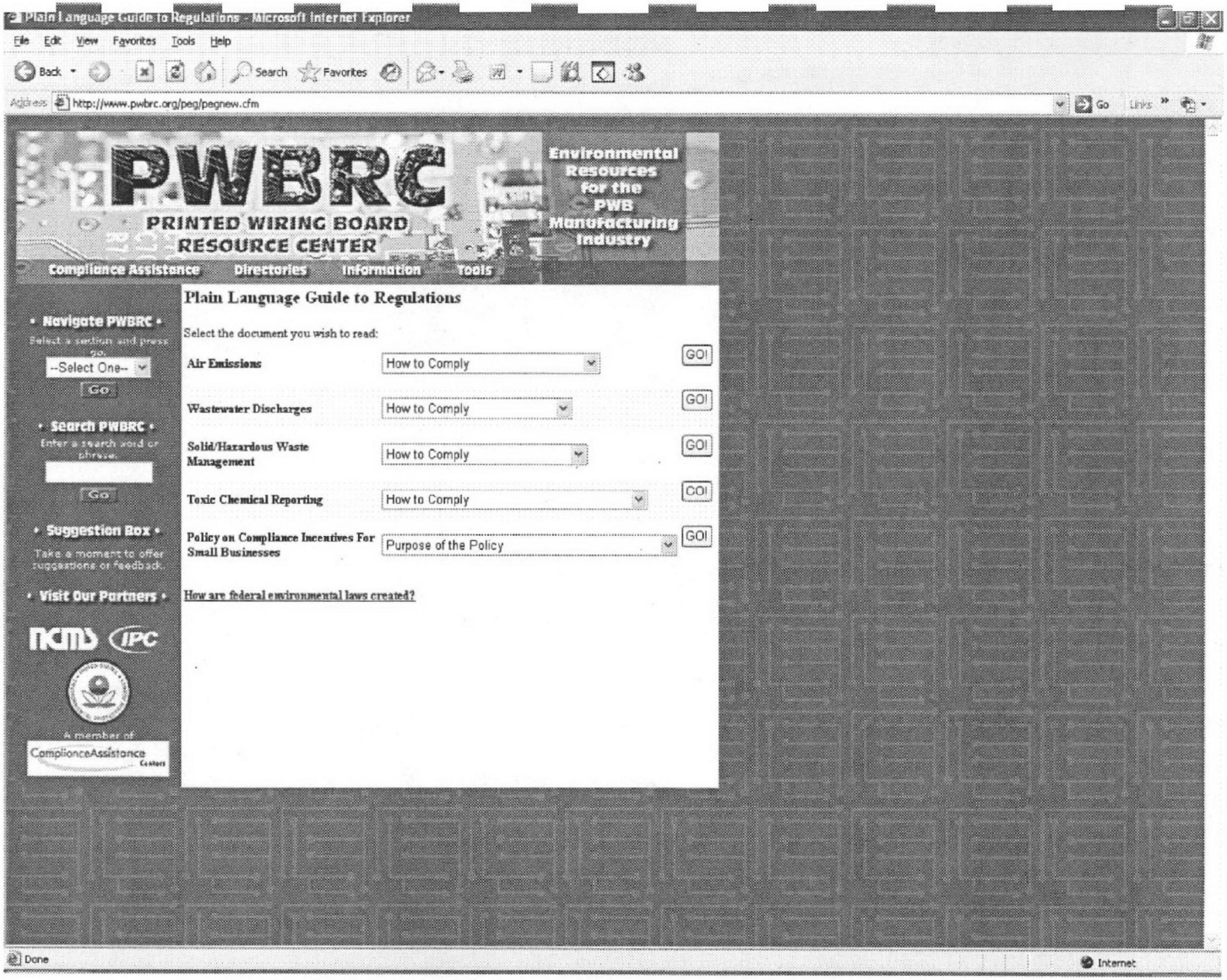


Figure 11. PWBRC - Compliance Information

Printers - *Printers' National Environmental Assistance Center (PNEAC)* (http://www.pneac.org/)

The PNEAC site offers:

- Fact sheets and case studies;
- Training (video conferences and tapes);
- Federal and regional environmental program information and guides;
- National and state compliance information;
- State regulations locator;
- E-mail discussion groups on technical and regulatory issues;
- Industry news;
- Pollution prevention opportunities; and
- Vendors and suppliers database.

A fax-back document line is also available: (888) 87-76322 ((888) US-PNEAC).

Figure 12 shows the PNEAC Web site.

You may find the following sections of the PNEAC Web site useful for inspections:

1. **Compliance Information** - This area of the Web site provides the plain language guide to the regulations, compliance assistance resources, and other information. You can look for tools based on operation, medium, or program.
2. **Fact Sheets and Case Studies** - This area of the Web site provides information on printing operations including gravure, flexography, lithography, and screen printing.

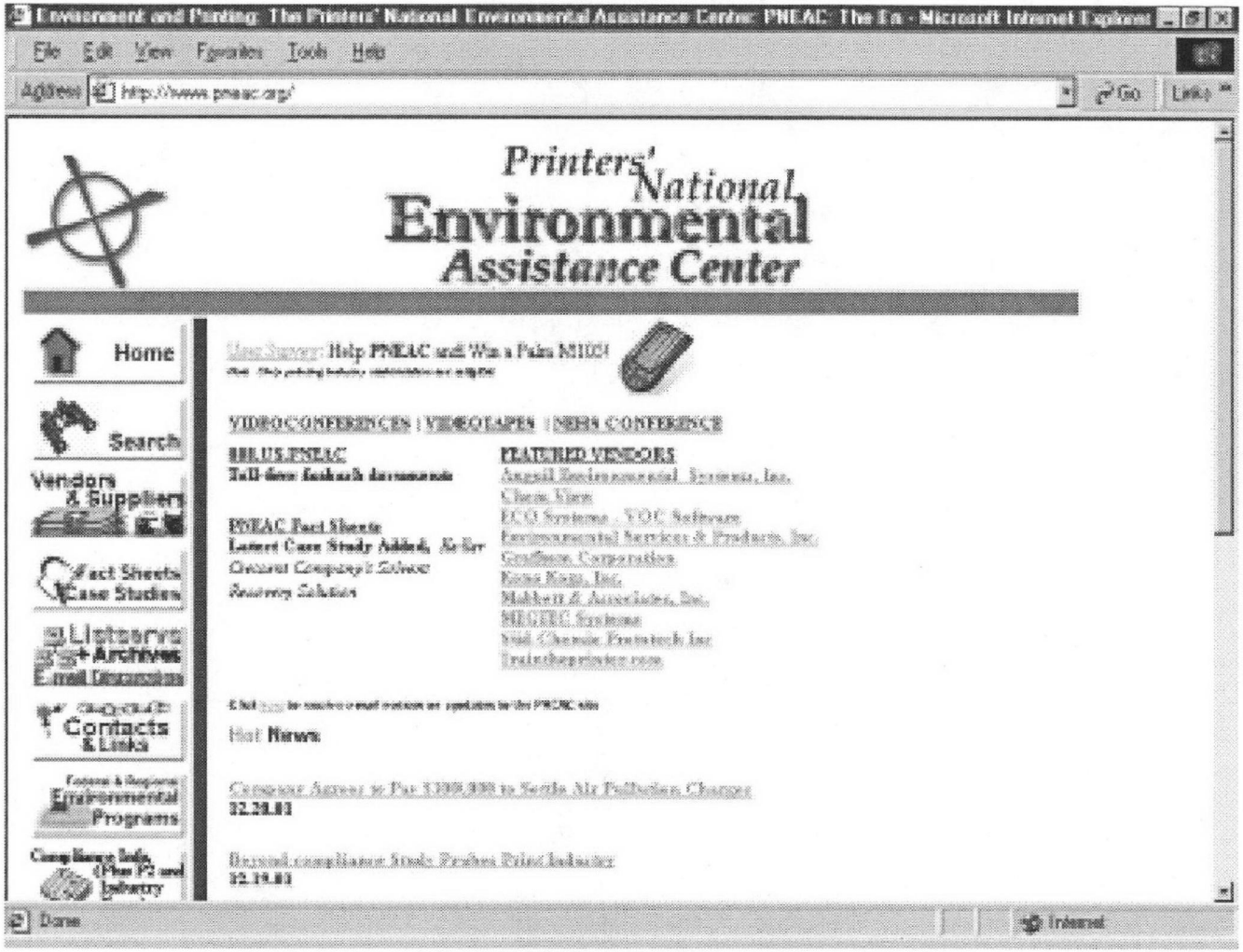


Figure 12. PNEAC Home Page

Transportation - *Transportation Environmental Resource Center (TERC)* (http://www.transource.org/)

The TERC Web site provides:

- Compliance assistance information for each mode of transportation–air, shipping and barging, rail, and trucking;
- Information on environmental topics (e.g., air pollution, storage tanks, water pollution, hazardous materials, fuels management);
- Audit guides; and
- Videos and forums.

You may find the following sections of TERC useful for inspections:

1. **Compliance Resources by Sector** - The Web site provides links to information by transportation sector (e.g., aviation, barging, or rail). By clicking on one of these links, you will find:
   - Compliance checklists and guides;
   - Sector notebook;
   - Regulatory issues;
   - List of resources; and
   - Regulatory links.

   TERC includes environmental screening checklist workbooks for:
   - Airports and tenant operations;
   - Water transportation industry;
   - Short line railroads;
   - Trucking industry; and
   - Terminal operations.

   One of the transportation sector links, "Aviation," is shown in Figure 13 as an example.

2. **Regulations** - You can find how federal EPA regulations apply to the transportation industry by choosing one of the following options on the Web site:
   - **Air** - small business guide and CAA applicability;
   - **Hazmats** - hazardous waste transport rules, managing hazardous wastes, and information for hazardous waste generators (by size);
   - **Water** - wastewater and stormwater permits and regulatory updates (e.g., proposed rules);
   - **Tanks** - above-ground and underground storage tanks; and
   - **Fuels** - reporting oil spills, used oil mixing requirements, and final rule on flammable fuels.

3. The **Audit** section of the Web site provides compliance assistance checklists and guides (including applicable protocols).

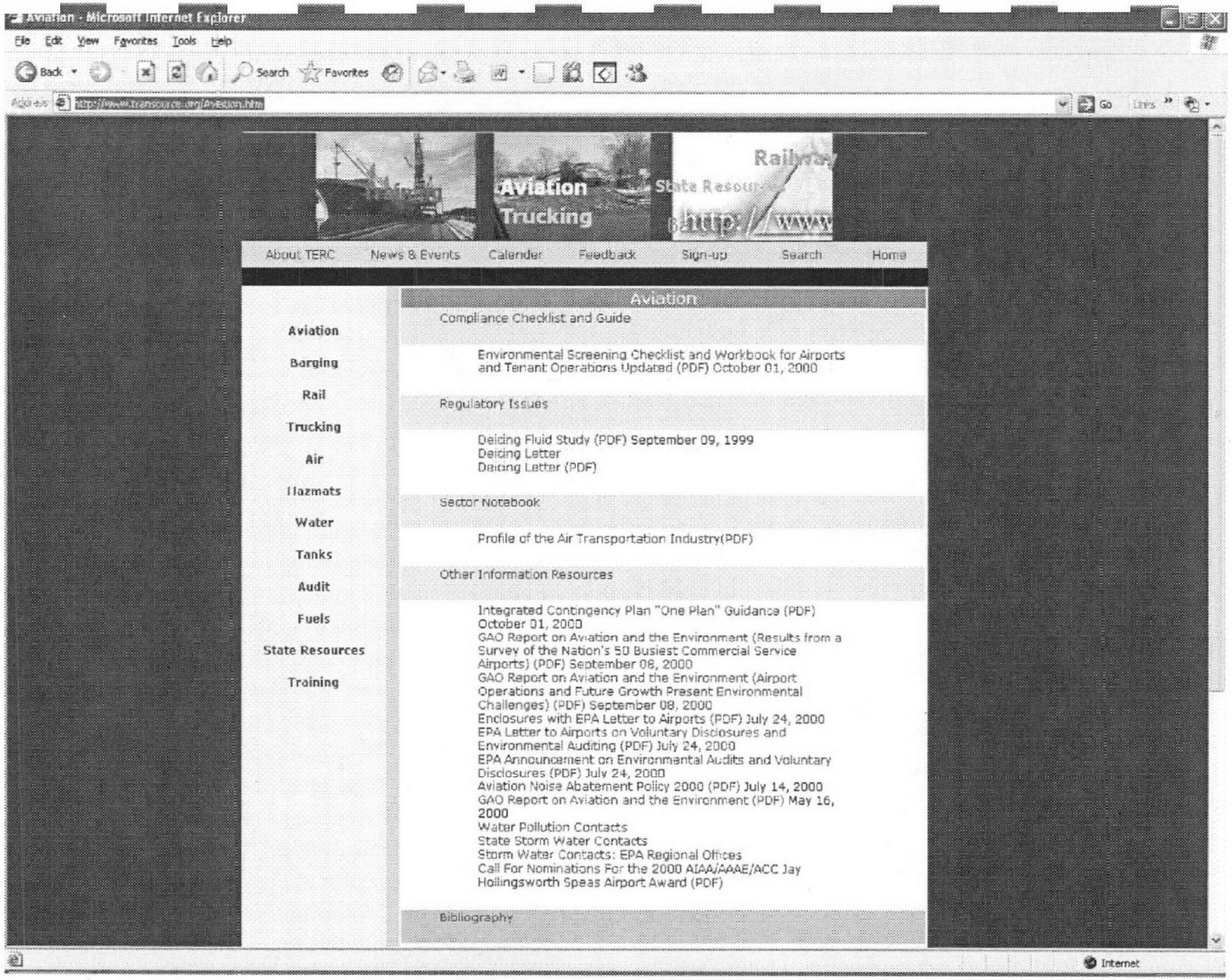


Figure 13. TERC - Aviation Screen

The "Trucking" link connects the user to the Green Truck Web site (**http://www.greentruck.com/**) for regulatory and compliance assistance information, as shown in Figure 14.

Figure 14. Green Truck Web Site - Linked to TERC

2.4 How can the Centers help me in performing inspections?

The following example demonstrates how you can use the CCAR-GreenLink® Web site to prepare for an inspection at an automotive repair facility. Please note that the specific information available may vary from one Center to another.

Example - How to Use Compliance Assistance Centers Prior to Inspections

You plan to inspect an automotive repair facility. You review the CCAR-GreenLink® Center to:

1. Find applicable statutes and regulations;
2. Identify potential noncompliance areas; and
3. Find applicable checklists for your inspection.

1. Find applicable statutes and regulations.

At the CCAR-GreenLink® Web site, you search for federal regulations. The articles cover the following topics:

- State programs (e.g., state scrap tire programs);
- EPA regulatory requirements;
- Underground storage tank requirements; and
- Other management standards (e.g., used oil management).

Example - How to Use Compliance Assistance Centers Prior to Inspections (continued)

In addition, you find articles about waste generation, pollution prevention, and compliance assistance, including the topics below:

- Hazardous waste sources and minimization programs;
- General waste management practices (e.g., stormwater, operations, spill management);
- Pollution prevention and waste minimization (including volatile organic compound (VOC) emissions);
- Best environmental practices for a variety of topics;
- Compliance assistance;
- Fact sheets on used oil management, absorbents, antifreeze, paint waste, spent solvents;
- Alternative chemicals; and
- Worker's health protection.

2. Identify potential noncompliance areas.

You can use the information from Item 2 to identify noncompliance areas for auto repair shops. From the items listed in the compliance report, absorbent management is the most likely source of noncompliance. All the other areas listed are potential sources since 25 percent or more of the shops are not 80 percent compliant or better.

Under the CCAR-GreenLink® *News* section, you can identify potential areas of noncompliance based on EPA regulatory activities. Articles include violations concerning:

- Oil spill prevention regulations;
- Underground storage tanks;

Example - How to Use Compliance Assistance Centers Prior to Inspections *(continued)*

- RV refrigeration units;
- Hazardous waste;
- Oil and diesel fuel dumping;
- PCB violations;
- Oil spills;
- Other CAA, CWA, and RCRA violations; and
- Illegal imports.

3. Find applicable checklists for your inspection.

Under the "Env. Checklist" link, you find EPA's *Consolidated Screening Checklist For Automotive Repair Facilities.*

For more specific topics, you can browse or search articles, where you find a number of checklists, including the following:

- Pollution Prevention/Waste Minimization Checklist for the Automotive Repair and Maintenance Industry;
- Hazardous Wastes, Self-Audit Checklist for Generators of;
- Used Oil, Self-Audit Checklist for Generators of;
- Underground Storage Tank (UST) Compliance Self-Checklist;
- Air Quality - Self-Evaluation Checklist; and
- Environmental Self-Assessment for Vehicle Maintenance Shops.

2.5 Who should I contact about the Centers?

The Compliance Assistance Centers Web site is **http://assistancecenters.net.**

The EPA contact for the Compliance Assistance Centers is:

Tracy Back (MC 2224A)
Phone: (202) 564-7076
E-mail: back.tracy@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Section 3 National Environmental Compliance Assistance Clearinghouse

3.1 What is the National Environmental Compliance Assistance Clearinghouse? What is its purpose?

The National Environmental Compliance Assistance Clearinghouse (Clearinghouse) is a Web-based clearinghouse designed to provide quick access to compliance assistance tools, contacts, and planned activities across the U.S. The Clearinghouse also serves as a forum to collaborate and exchange information. The Clearinghouse is designed for users from a variety of backgrounds.

3.2 What information does the Clearinghouse contain?

The Clearinghouse provides links to compliance assistance activities, tools, or technical assistance that:

1. Assist the regulated community in understanding and complying with environmental regulations; or
2. Assist compliance assistance providers in helping the regulated community comply with environmental regulations.

Information in the Clearinghouse includes:

- Experts Directory;
- Frequently asked questions;
- Environmental news - includes regulatory updates and discussions;
- Planned and ongoing activities;
- Compliance assistance tools (e.g., checklists, electronic compliance and reporting tools, environmental management systems, expert systems and "smart" advisors, guidance materials, policy documents, quick references, training resources, Web site links, and other tools);
- Program overviews - EPA projects, state and local government projects, and other organization projects; and
- Pollution prevention information.

You can search the Clearinghouse using the "Search" function or by the topics button located on the left navigation bar, such as:

- Industry and government sectors;
- Environmental focus area (e.g., pollution prevention);
- EPA region and states; and
- Compliance assistance tool types (e.g., case studies, checklists).

Figure 15 shows the Clearinghouse home page.

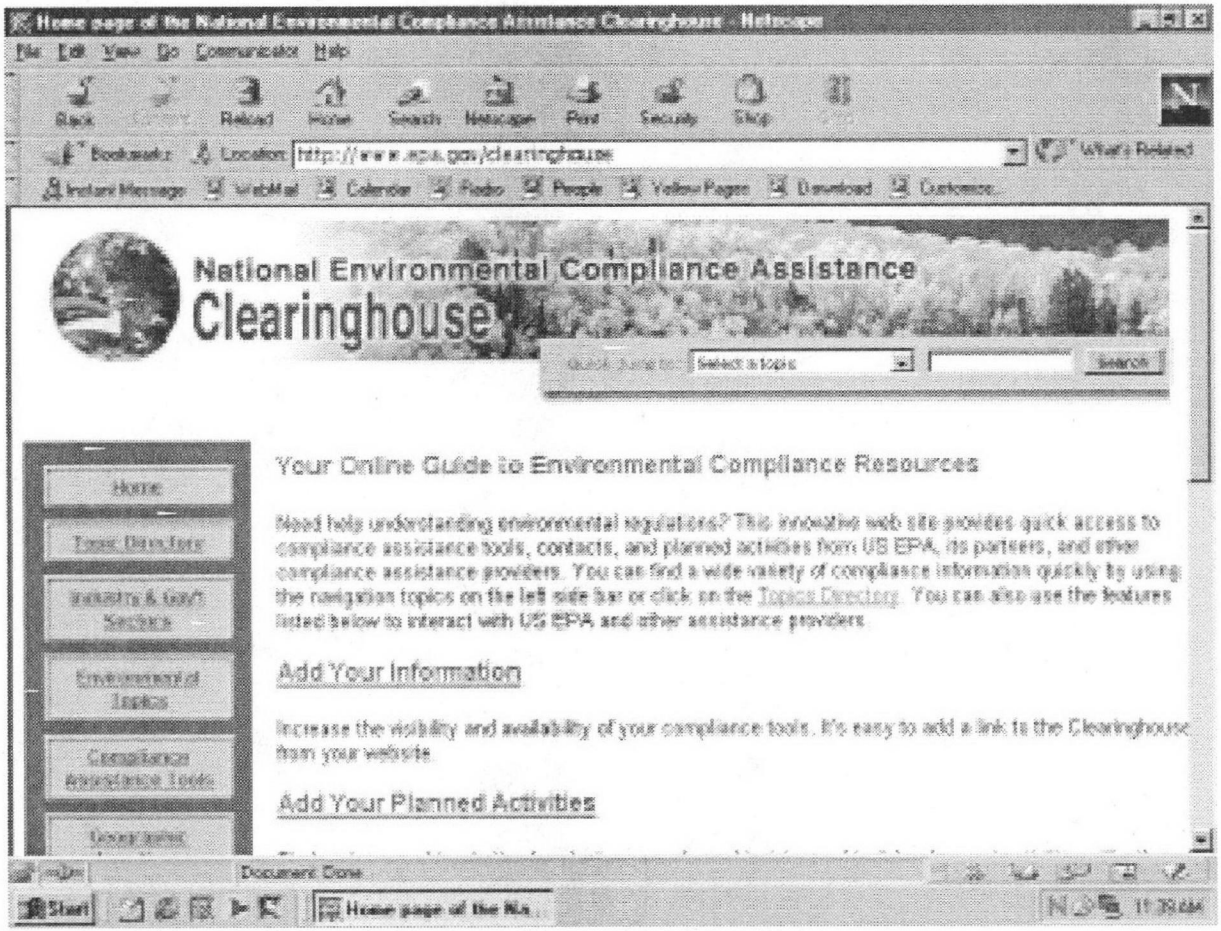


Figure 15. National Environmental Compliance Assistance Clearinghouse Home Page

3.3 What sectors are included in the Clearinghouse?

By clicking on the "Industry & Gov't Sectors" button, you can search for the following industry sectors:

- Aerospace
- Agriculture
- Automotive
- Chemical manufacturing
- Computer and electronics
- Construction
- Dry cleaning
- Federal facilities
- Food processing
- Furniture manufacturing
- Hazardous waste management
- Healthcare
- Laboratories
- Leather tanning and finishing
- Local government
- Metals
- Metal services and finishers
- Minerals, mining, and processing
- Petroleum
- Pharmaceuticals
- Power generation
- Printing
- Pulp, paper, and lumber
- Rubber, plastics, and fibers
- Schools
- Shipbuilding and repair
- Small business
- Textiles
- Transportation
- Tribal
- Other

3.4 How can the Clearinghouse help me with inspections?

The following example demonstrates how you can use the Clearinghouse to prepare for an inspection at a construction site.

Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections

You plan to inspect a construction site in Maryland. You review the National Environmental Compliance Assistance Clearinghouse to:

1. Find applicable compliance assistance links using various search criteria to:
   - Determine applicable statutes and regulations; and
   - Find and download relevant compliance assistance tools for an industry, program, or specific facility (e.g., check-lists) for inspections.
2. Identify pollution prevention opportunities.
3. Talk to other experts using the Experts Directory.
4. Find out what compliance assistance activities EPA, states, and industry are planning for in the near future.
5. Share information or checklists with the public or other inspectors by adding a link.

1. Find applicable compliance assistance links.

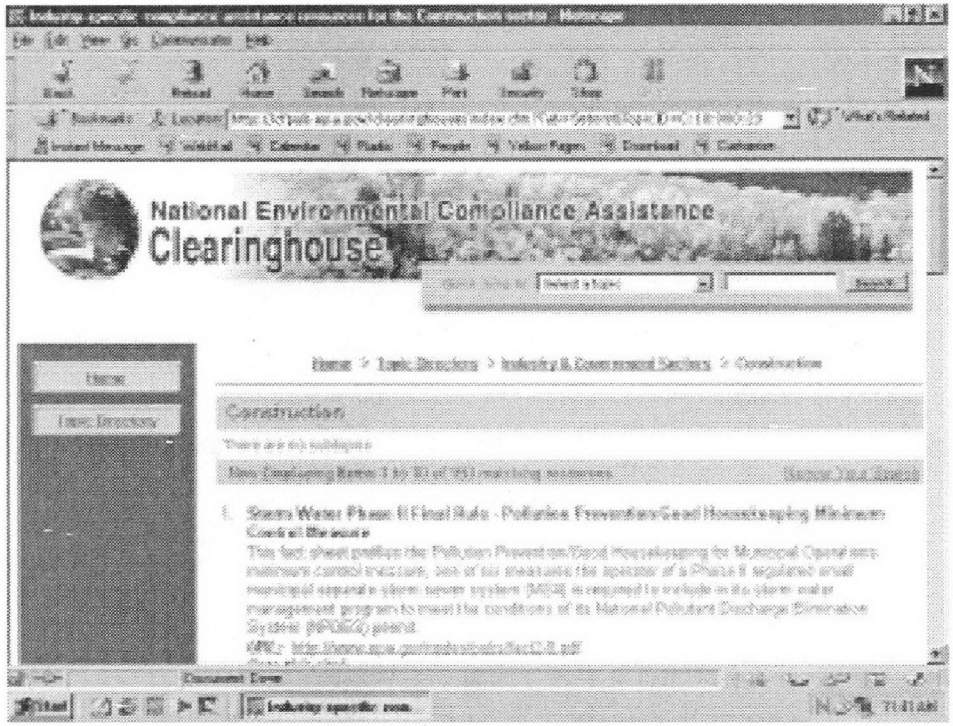
You perform two searches in the Clearinghouse - one for the construction industry and one for the state of Maryland. Your search under "Industry & Gov't Sector" for the construction industry leads to 150 links. You narrow your search by "Geographic Area."

Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*

- For Region 3, you find 2 relevant documents:
  - EPA Region 3 Water Protection Division Stormwater Pollution Prevention Web Site; and
  - U.S. EPA Region 3 Air Protection Division - Construction Permits.
- For Maryland, you find 2 relevant documents:
  - Maryland CET "Environmentally Sound Practices in the Homebuilding Industry" Video; and
  - Low Impact Development: A New Paradigm for Stormwater Management (Prince George's County, MD: slide show).

Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*

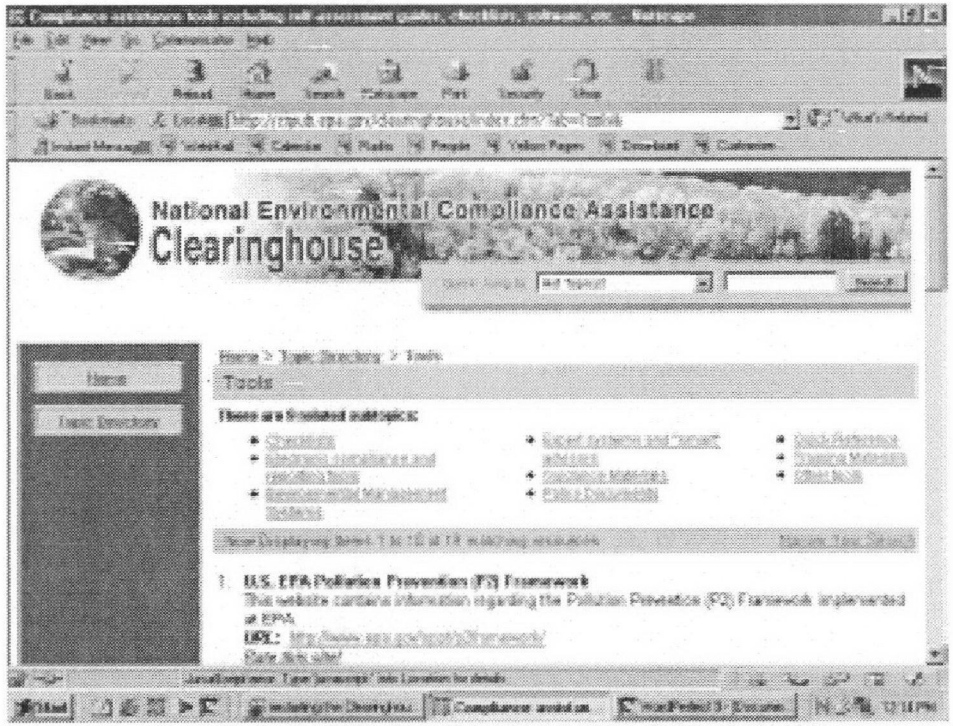
The search results page looks like the following:



Your second search uses the "Geographic Location" topic. Under Maryland, you find various links to the Maryland Department of the Environment Web site. For example, one link goes to Maryland's Stormwater Management Program. You can also search the entire Maryland Web site for construction sector information or environmental topic information.

Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*

To identify applicable compliance assistance resources, you search the "Compliance Assistance Tools" topic. If you know what type of tool you would like to identify, you can narrow your search. For example, you want to find a checklist for the construction industry in Maryland. As shown below, a search on construction industry checklist does not result in a hit. So instead, you can review non-industry-specific compliance checklists to determine if any of them are useful for your inspection.



Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*

2. Identify pollution prevention opportunities.

Under the "Environmental Topics" button, you can search for a list of pollution prevention links, which results in over 100 matching resources. When you check this page, you find:

- EPA pollution prevention resources;
- EPA regional pollution prevention centers;
- CLEAN pollution prevention pilot project (EPA Region I program that offers small- and medium-sized businesses free, on-site compliance and pollution prevention audits - and enforcement amnesty for any violations discovered in process - in exchange for an agreement to correct violations and undertake a "beyond compliance" pollution prevention project); and
- Other applicable Web sites.

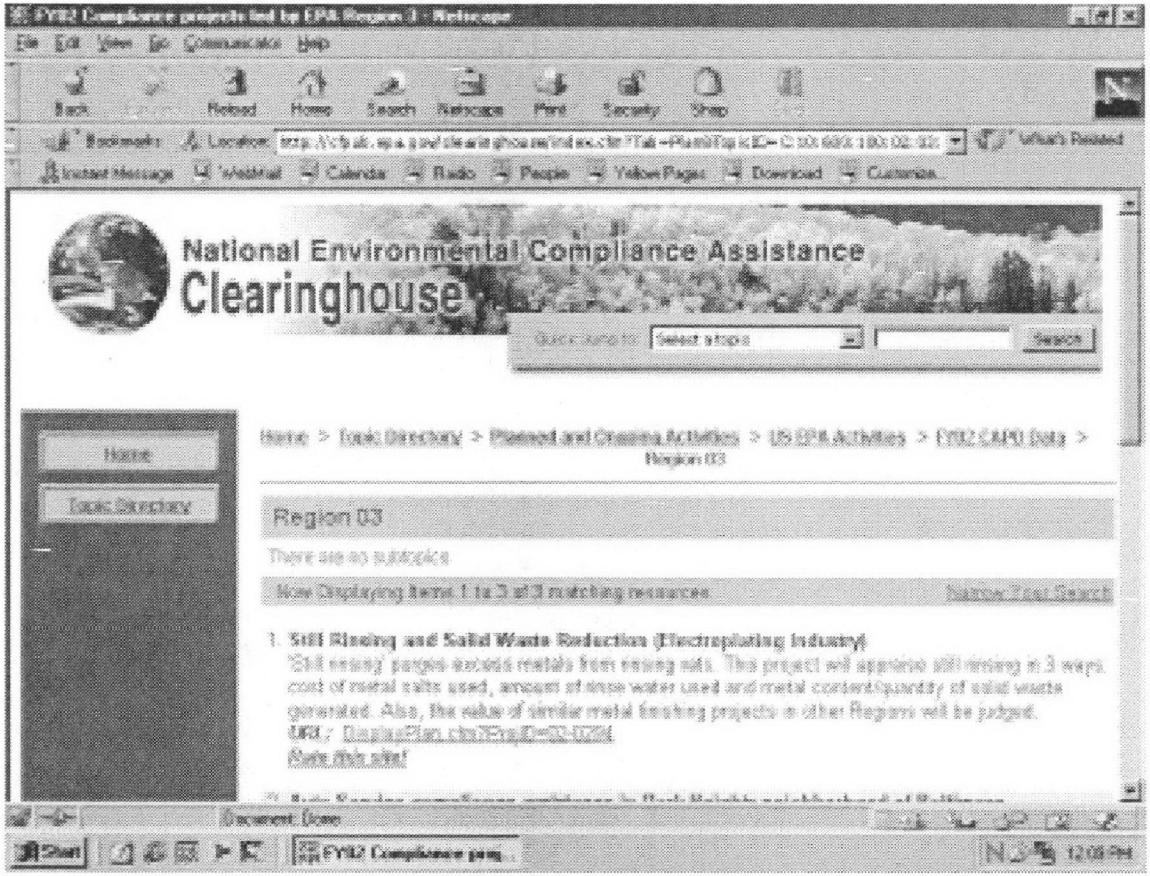
3. Talk to other experts using the Experts Directory.

You can identify experts on various topics through the Experts Directory or communicate with other assistance providers through bulletin boards (see item 5 below). Under the Experts Directory, you search for experts using a location-based query for EPA Region 3. You identify over 20 resources for the Region - some are specific to environmental issues and some are specific to states or regions. Chatting with these experts may resolve questions you have for the facility you are about to visit.

4. Find future compliance assistance activities.

If you want to know what tools will be coming down the pike, you can click on the "Planned and Ongoing Activities" topic. If a facility has a problem that is not addressed by current resources, you may find a future tool that will address the problem. For example, you can find planned EPA activities by fiscal year and EPA region as shown below.

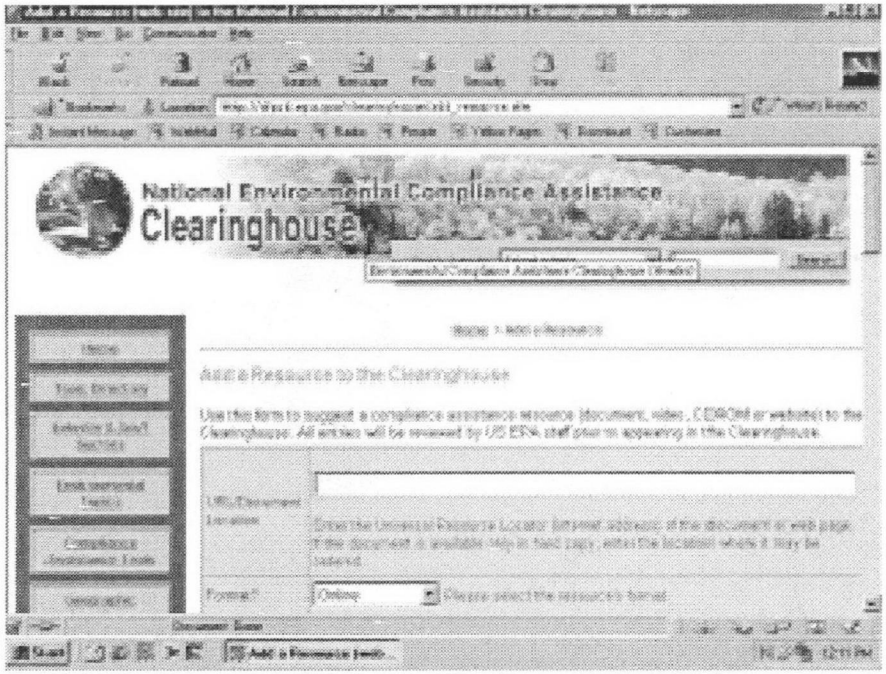
Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*



Example–How to Use the National Environmental Compliance Assistance Clearinghouse Prior to Inspections *(continued)*

5. Share information by adding a link.

If you know of a useful compliance assistance tool that is not currently on the Clearinghouse, you can add it to the site by clicking on "Add Your Information." This allows you to share your information with a broader audience. The "Add a Resource" Web page is shown below.



3.5 Who should I contact about the Clearinghouse?

The Clearinghouse Web site is **http://www.epa.gov/clearinghouse/.** The interactive features on the Clearinghouse allow users to add related links, join forums, and report specific compliance needs.

The EPA contact for the Clearinghouse is:

Tracy Back (MC 2224A)
Phone: (202) 564-7076
E-mail: back.tracy@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Section 4 Audit Protocols

4.1 What are the Audit Protocols? What is their purpose?

OECA developed audit protocols under its Strategies and Policies - Cross Program/Multimedia program **(http://www.epa.gov/compliance/incentives/auditing/protocol.html)**. Each Audit Protocol presents a single federal statute or regulation (e.g., CERCLA Section 103) and provides background and checklists for the user. The purpose of the Audit Protocols is to encourage the regulated community to develop self-assessment programs at individual facilities. Voluntary audit programs help facilities comply with regulations and identify pollution prevention opportunities. You can use these protocols when inspecting a facility; you may suggest the use of the protocols to facilities not currently performing voluntary audits. You can also check state Web sites for additional checklists. Note that the audit protocols should not be a substitute for having a good understanding of the applicable regulations. Please also note that inspections should be conducted in accordance with procedures in the compliance inspection manual.

4.2 What information do the Audit Protocols contain?

Each Audit Protocol introduces the protocol program and presents the Audit Protocol specific to that statute or regulation. The Audit Protocol contains the following information:

- Checklist – provides items for reviewer to inspect (should be used for all inspections when available);
- Index for checklist user;
- Applicability – what activities the protocol applies to;
- Review of federal legislation – summary of the statute or regulation;
- State and local regulations – notice of whether state or local regulations may apply;
- Key compliance requirements;
- Key terms and definitions;
- Typical records to review – list form;
- Typical physical features to inspect – list form;
- List of acronyms and abbreviations; and
- Applicable reference appendices (e.g., list of substances or chemicals reportable under the regulation).

4.3 For which statutes and regulations are Audit Protocols available?

Audit Protocols are currently available for the following statutes and regulations:

- RCRA:
  - Used oil and universal waste generators
  - Facilities regulated under Subtitle D
  - Storage tanks
  - Treatment, storage, and disposal facilities (TSDFs)
  - Hazardous waste generators;
- Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA);
- EPCRA and CERCLA Section 103;
- Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA);
- Public water systems under the Safe Drinking Water Act (SDWA);
- Municipal facilities under U.S. EPA's wastewater regulations; and
- Facilities with PCBs, asbestos, and lead-based paint under TSCA.

Each document title is *Protocol for Conducting Environmental Compliance Audits under the XXXX*, where XXXX refers to the statute or regulation listed above.

4.4 How do I use the Audit Protocols?

The following example demonstrates how you can use the Audit Protocols to prepare for an inspection at a site subject to the RCRA Subtitle D requirements.

Example - How to Use the Audit Protocols Prior to Inspections

You plan to inspect a facility regulated under Subtitle D of RCRA. You refer to the *Protocol for Conducting Environmental Compliance Audits of Facilities Regulated under Subtitle D of RCRA*. After reading through the introduction, you use the Audit Protocol to:

1. Identify applicable statutes and regulations;
2. Review requirements of the regulation(s); and

Example - How to Use the Audit Protocols Prior to Inspections *(continued)*

3. Determine information needed from site and areas to inspect to determine site compliance.

1. Identify applicable statutes and regulations.

You determine that the facility is subject to RCRA Subtitle D - collection, treatment, and disposal of nonhazardous solid waste.

2. Review requirements of the regulation.

The facility operates a solid waste incinerator and is located in a state where the U.S. EPA has delegated its authority to implement RCRA provisions. The facility must have a state permit to operate. The federal regulation establishes minimum standards, but the state permit should specify the requirements for the facility. Key compliance issues include:

- Collection and storage requirements;
- Recycling requirements depending on facility size;
- Open dumping restrictions;
- Landfill restrictions (not applicable to the site); and
- Thermal processing facility requirements.

A hotline is also provided for further questions.

3. Determine information needed from the facility and areas to inspect to determine site compliance.

Example - How to Use the Audit Protocols Prior to Inspections *(continued)*

The Audit Protocol presents a list of records to review and physical areas to inspect to determine compliance with Subtitle D of RCRA. Using the Index for Checklist Users, you determine which part of the checklist applies to the facility (e.g., the landfill checklists on pages 25 - 61 do not apply to the site, so you do not need to review them).

At the inspection, you may use the checklist to perform your inspection. For example, the facility should store solid waste in a manner to prevent a fire, health, or safety hazard (Part of SO.10.1., page 19 of document).

4.5 Who should I contact about the Audit Protocols?

The EPA contact for the Audit Protocols is:

Sharie Centilla (MC 2224A)
Phone: (202) 564-0697
E-mail: centilla.sharie@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Section 5 Compliance Incentives and Auditing

5.1 What are Compliance Incentives and Auditing? What is their purpose?

Compliance Incentives and Auditing (**http://www.epa.gov/compliance/incentives/index.html**) are policies and programs that eliminate, reduce, or waive penalties under certain conditions for business, industry, and government facilities that voluntarily discover, promptly disclose, and expeditiously correct environmental problems. The auditing renders formal EPA investigation and enforcement action unnecessary.

5.2 What information do the Compliance Incentives and Auditing contain?

EPA's Compliance Incentives and Auditing Web site provides information on:

- Compliance incentives;
- Innovations;
- Auditing;
- Environmental Management Systems (EMS);
- Pollution prevention;
- Small business compliance policy; and
- Small local governments compliance assistance policy.

Compliance Incentives

In connection with the Audit Policy, EPA has established, and continues to establish, programs for promoting environmental compliance and violation correction by offering incentives to the regulated community in exchange for agreements to perform self-assessment, disclosure, and the correction of violations. These incentives may involve reduced penalties for violations, extended time for correction, reduced inspections, and/or other considerations. Tools used for compliance incentives (e.g., innovations, auditing) are discussed below.

Innovations

EPA innovations explore new and creative ways of achieving positive environmental results and making them a routine. EPA has adopted a problem-solving approach to address environmental problems that involves compliance assistance, incentives and auditing, compliance monitoring, and civil and criminal enforcement. EPA uses a number of innovative tools as part of its core program to ensure compliance, including:

- **EMSs** - discussed below;
- **Environmental Results Programs** - partnership with states to develop self-certification;
- **Audit program** - discussed below;
- **Market-based mechanisms** - working with the Security and Exchange Commission (SEC) to use these mechanisms to promote environmental compliance; and
- **National Performance Track** - offers participating members low inspection priority for routine inspections (compliance incentives).

Auditing

EPA's *Audit Policy, Incentives for Self-Policing: Discovery, Disclosure, Correction and Prevention of Violations*, has been in effect since 1995. It reflects input from industry, trade associations, state environmental programs, and public interest groups. The Audit Policy is designed to provide incentives for regulated entities to comply with the federal environmental laws and regulations. These incentives are for regulated entities that voluntarily discover, promptly disclose, and expeditiously correct noncompliance, making formal EPA investigations and enforcement actions unnecessary.

EPA has also developed a series of Environmental Auditing Protocols to assist the regulated community in developing self-audit programs at individual facilities to evaluate their compliance with the environmental requirements under the federal laws and regulations. The protocols are intended solely as guidance in this effort. The regulated community's legal obligations are determined by the terms of applicable environmental facility-specific permits and underlying statutes, as well as the applicable state and local laws. See Section 4 for further details.

EMSs

The International Organization for Standardization (ISO) defines environmental management systems as "that part of the overall practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the environmental policy." EMSs focus on environmental management practices rather than the activities themselves. They provide the structure by which certain activities can be carried out; they ensure operator training and that proper procedures are in place but don't specify methods or frequency of sampling. EMSs allow federal agencies and facilities flexibility to adapt the system to their needs and priorities. Publications are available on the OECA Web site that further discuss EMSs.

Pollution Prevention

EPA designed its pollution prevention program to help incorporate pollution prevention concepts and principles into the

daily operations of government agencies, businesses, manufacturers, nonprofit organizations, and individuals.

The Web site includes links to the State Pollution Prevention Programs and the Pollution Prevention Information Clearinghouse (PPIC). These links provide information on agencies and organizations that provide pollution prevention assistance. The Web site also links to EPA's Pollution Prevention Grants; these grants are designed to promote pollution prevention concepts and practices.

Small Business Compliance Policy

The Small Business Compliance Policy promotes environmental compliance among small businesses (those with 100 or fewer employees) by providing incentives to discover and correct environmental problems. EPA will eliminate or significantly reduce penalties for small businesses that voluntarily discover violations of environmental law and promptly disclose and correct them. For additional information on the Policy, see **http://epa.gov/compliance/incentives/smallbusinesses/index.html**. Those businesses with more than 100 employees may be eligible for the Audit Policy.

A wide range of resources are available to help small businesses learn about environmental compliance. These resources include: training, checklists, compliance guides, mentoring programs, and other activities. Businesses can find more information through links on the Web site to EPA's Centers (see Section 2), Clearinghouse (see Section 3), and EPA's Small Business Ombudsman's Office (**http://www.epa.gov/sbo**).

Small Local Governments Compliance Assistance Policy

The 2004 Small Local Governments Compliance Assistance Policy (which replaced the Small Communities Policy) encourages states to respond to a small community's environmental violations with comprehensive compliance assistance. EPA will defer to a state's decision to reduce or waive penalties for a small local government (a unit of local government defined by the state's constitution with 3,300 or fewer permanent residents) if the local government either achieves or commits to achieve compliance with all of the environmental requirements that apply to its governmental operations; or commits to correct all of its known violations and to develop and implement an environmental management system (EMS) for its governmental operations.

Under a second tier of eligibility, the revised Policy also applies to local governments with more than 3,300 but fewer than 10,000 permanent residents if the state performs a conforming capacity test and determines that the local government is unlikely to achieve and sustain compliance without the state's assistance.

For more information on the Policy, refer to the Small Communities Compliance and Enforcement Web site (**http://epa.gov/compliance/incentives/smallcommunities/index.html**).

5.3 How do I use Compliance Incentives and Auditing?

For compliance inspections, you can use the Compliance Incentives and Auditing to:

1. **Prepare information for the site about compliance incentives that may apply.** The site may be unaware of resources available to perform self-audits and the EPA incentives for voluntarily discovering, promptly disclosing, and expeditiously correcting environmental problems. Sites may be eligible for the Small Business Compliance Policy or Small Local Governments Compliance Assistance Policy.
2. **Review EMS information.** Inspectors or site personnel can use EMS publications or general information to develop procedures to achieve environmental compliance.
3. **Identify applicable pollution prevention resources.** You can identify pollution prevention resources or practices for specific industries or operations.

The following example demonstrates how you can use the Compliance Incentives and Auditing to prepare for an inspection.

Example - How to Use the Compliance Incentives and Auditing Prior to Inspections

You plan to inspect an automobile repair shop in Arizona with less than 100 employees. To assist the shop in complying with statutes and regulations, you find EPA incentives and auditing policies applicable to the facility. You use the Compliance Incentives and Auditing Web site (**http://www.epa.gov/compliance/incentives/index.html**) to:

1. Prepare information for the facility about compliance incentives that may apply;
2. Review EMS information; and
3. Identify applicable pollution prevention resources.

Example - How to Use the Compliance Incentives and Auditing Prior to Inspections *(continued)*

1. Prepare information for the facility about compliance incentives that may apply.

Because the shop employs less than 100 employees, it is eligible for EPA's Small Business Compliance Policy. You can provide the site with links to the Small Business Ombudsman office (**http://www.epa.gov/sbo**), which provides information on environmental assistance, auditing, and directory of assistance providers. The Web page also provides details on the incentives and auditing policies.

2. Review EMS information.

The EMS publications Web page (**http://www.epa.gov/compliance/resources/publications/incentives/ems/index.html**) includes a link to EMS guide entitled *An Implementation Guide for Small and Medium-Sized Organizations* along with other publications the site may find useful to assist with environmental compliance.

3. Identify applicable pollution prevention resources.

EPA's Pollution Prevention Program includes small business programs and initiatives (**http://www.epa.gov/compliance/incentives/smallbusiness/index.html**). EPA aims to streamline and coordinate technical assistance from small business development centers and to provide small businesses a voice in EPA's rulemaking process. Small businesses are an important target for pollution prevention outreach because they typically lack resources to fund their own environmental personnel, but collectively are responsible for a large percentage of waste.

The Pollution Prevention Web page provides regional and state contacts the shop can use to identify pollution prevention practices. Contacts include the EPA Region 9 Pollution Prevention Program, Arizona's Department of Environmental Quality, and other Arizona program contacts.

5.4 Who should I contact about the Compliance Incentives and Auditing?

The EPA contact for the Compliance Incentives Audit Policy is:

Philip Milton (MC 2248A)
Phone: (202) 564-5029
E-mail: milton.philip@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Quick Response Team:
Roy Kime
Phone: (202) 564-2539

The EPA contact for the Small Business Compliance Policy is:

Beverly Updike (MC 2224A)
Phone: (202) 564-7142
E-mail: updike.beverly@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

The EPA contact for the Small Local Governments Compliance Assistance Policy is:

Ken Harmon (MC 2224A)
Phone: (202) 564-7049
E-mail: harmon.kenneth@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Section 6 Other Tools

Other compliance assistance tools available for multiple sectors include:

- OECA Web site - Compliance Assistance Web page, the Online Tracking Information System, the Inspector Web Site, the Sector Facility Indexing Project, the Environmental Management Application and Pollution Prevention Tool, and the Water Compliance Assistance Web site discussed in Section 6.1; and
- Publications, fact sheets, and training available on EPA program Web pages (e.g., for effluent limitations and guidelines under the CWA, the Office of Water's Office of Science and Technology Web page includes publications for over 70 sectors).

6.1 OECA Web Site

The OECA Web site **(http://www.epa.gov/compliance/index.html)** includes information concerning:

- Planning and results;
- Compliance assistance;
- Compliance incentives and auditing;
- Compliance monitoring;
- Civil enforcement;
- Cleanup enforcement;
- Criminal enforcement;
- Environmental justice;
- NEPA;
- Information resources;
- Newsroom;
- Where you live–link to environmental data related to your neighborhood and surrounding area; and
- Training.

The "Compliance Assistance" Web page on the OECA Web site provides links to compliance assistance resources discussed previously in this document, to compliance assistance planning tools, and to other available tools by industry and government sectors, as listed in Figure 16.

Below are descriptions of the compliance tools available on the OECA Web site.

Industry and Government Sectors Compliance Assistance | Compliance and Enforcement | US EPA - Microsoft Internet Explorer

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Address http://www.epa.gov/compliance/assistance/sectors/index.html

U.S. Environmental Protection Agency

Compliance Assistance

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Compliance and Enforcement Home

Compliance Home
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Basic Information
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Assistance Centers
Financing
Measurement
Networking
Planning
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Industry and Government Sectors

EPA provides compliance assistance on a sector-by-sector basis in order to efficiently reach facilities with similar operations, processes or practices.

A sector is a distinct part of the economy that shares:

- Similar operations, processes or practices
- Similar environmental problems and impacts
- Similar compliance issues and either distributes goods or performs services More...

Additional information that may affect your sector can be found in compliance assistance by statute.

Sector-Based Compliance Assistance Tools:

Select a sector from the list on the right for these compliance assistance tools relevant to that sector.

- Compliance Assistance Centers Exit Disclaimer provide comprehensive, easy to understand compliance information targeted to specific industry and government sectors.
- Sector Notebooks plain language books each of which describes a major U. S industry and the environmental regulations that apply to its activities.
- Compliance Assistance and Inspection Publications also are available including guides, manuals, fact sheets and brochures that pertain to an individual sector or a specific regulation.
- National Compliance Assistance Clearinghouse links to public and private compliance assistance materials. Users may post documents and interact with assistance providers, both within and outside of EPA. The Clearinghouse allows users to search for relevant material on new and existing regulations, pollution prevention opportunities, and voluntary programs that were created by other parts of EPA, other federal agencies, tribes, states and local agencies, industry and other organizations.

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Sectors

Aerospace
Agriculture
Automotive
Chemicals
Computers/Electronics
Construction
Dry Cleaning
Federal Facilities
Food Processing
Furniture
Healthcare
Local Government Operations
Metals
Minerals/Mining/Processing
Petroleum
Pharmaceuticals
Power Generators
Printing
Pulp/Paper/Lumber
Rubber/Plastics
Shipbuilding and Repair
Textiles
Transportation
Tribal

Information Resources

For related information you may wish to visit other Compliance sites

Compliance Assistance - Improving compliance by explaining how to comply with regulatory requirements
Compliance Monitoring - Assuring compliance through effective monitoring and assessment
Compliance Incentives - Lowering penalties for facilities that voluntarily disclose and correct environmental problems

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Internet

Figure 16. Compliance Assistance Information Available on OECA Web Site, including List of Industry and Government Sectors

Online Tracking Information System (OTIS)

The OECA Web site provides historical information on facility and industrial sector compliance and enforcement. The Online Tracking Information System (OTIS) is one tool that provides multimedia environmental performance data for facilities regulated by EPA.

OTIS is a high-speed retrieval tool that allows EPA and state environmental personnel to access integrated enforcement and compliance data via the Internet. This collection of search engines enables EPA staff, state/local/tribal governments, and federal agencies to access a wide range of data relating to enforcement and compliance. OTIS can be used for many functions, including planning, targeting, analysis, data quality review, and pre-inspection review. EPA launched OTIS Version 4.0 in November 2001. Version 4.0 adds a statistical interface (OTIS Management Reports), provides several search enhancements to EPA's multimedia environmental performance database interfaces, and supports on-line error correction. The search limit for queries has been expanded to 1,000 records. OTIS is located at **http://www.epa-otis.gov/otis/**. Figure 17 displays the home page of the OTIS Web site.

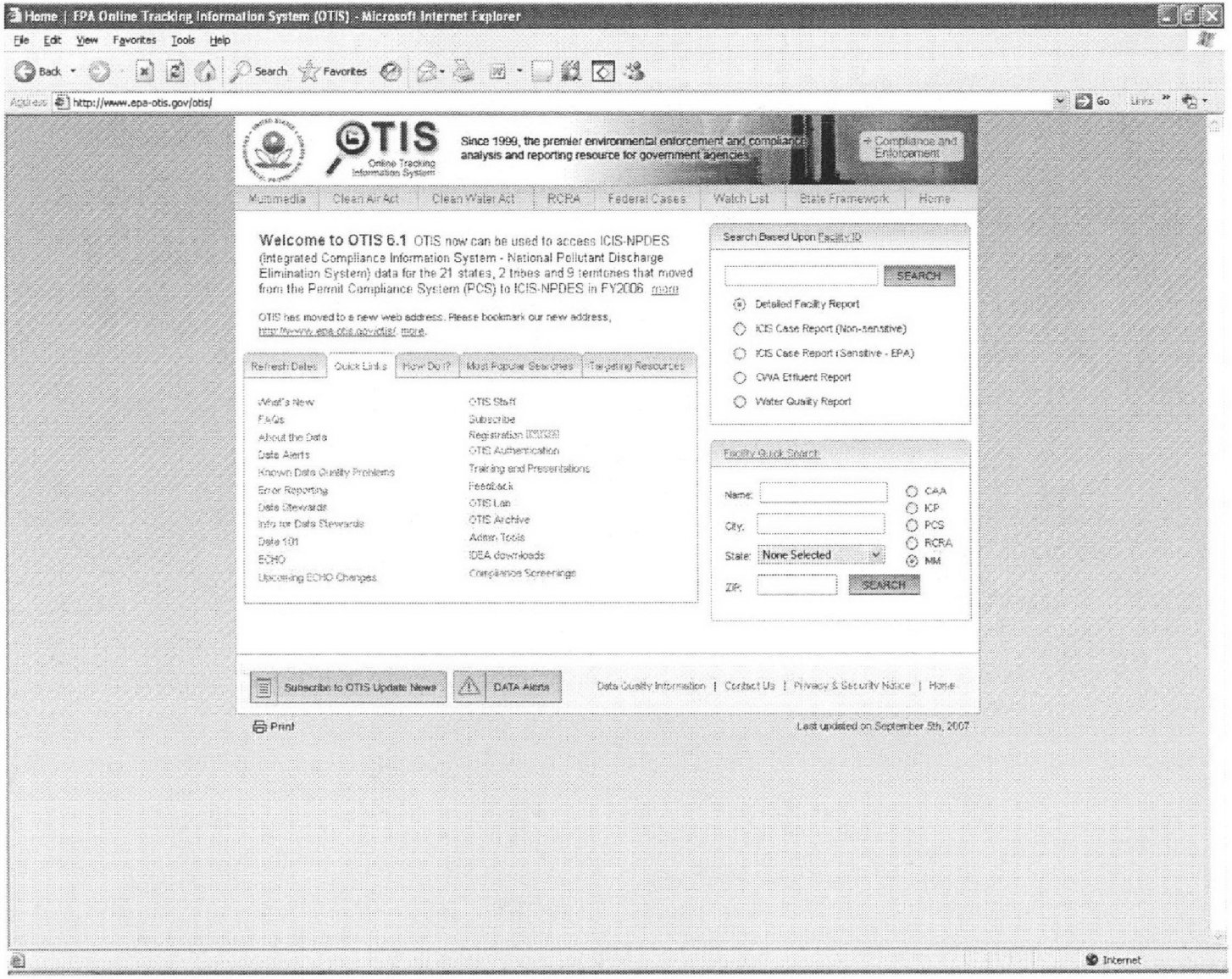

Figure 17. OTIS Web Site

With OTIS you can obtain a comprehensive historical profile of inspections, enforcement actions, penalties assessed, toxic chemicals released, and emergency hazardous spills for any EPA regulated facility. This single point of access provides information from the Agency's Air, Water, Hazardous Waste, TRI, and Emergency Response Notification Systems. You can use OTIS to:

- Produce the compliance history on a specific facility;
- Retrieve data for performing multimedia analysis of regulated facilities;
- Identify a group of facilities that meet a specific criteria; and
- Produce aggregated data on selected industries.

Inspector Web Site

EPA's Inspector Web Site, **http://intranet.epa.gov/oeca/inspector/**, is available to EPA personnel. It is a single comprehensive resource tool for EPA inspectors where information about inspections, health and safety, policy and regulatory issues, technologies, and compliance assistance can be easily located. The Web site is organized into the following topic areas:

- Reference Desk (including pollution prevention);
- Checklists and Workbooks;
- EPA Investigations;
- Health and Safety;
- Manuals and Protocols;
- Training; and
- Additional Resources and Links.

Figure 18 shows the Inspector Web Site home page.

The EPA contact for the Inspector Web Site is:

Rafael Sanchez (MC 2223A)
Phone: (202) 564-7028
E-mail: sanchez.rafael@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

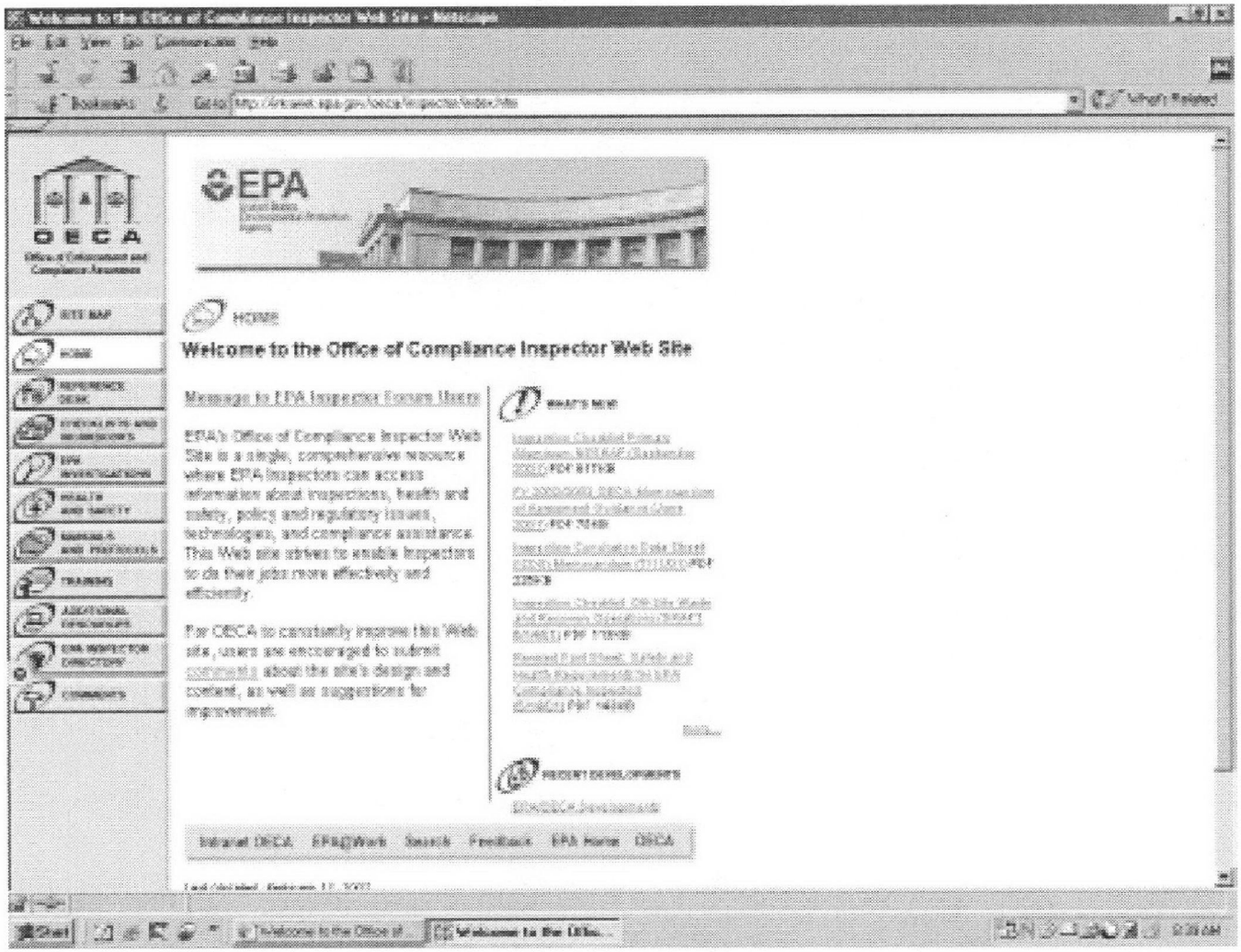

Figure 18. Office of Compliance Inspector Web Site

Sector Facility Indexing Project (SFIP)

Another data source within the OECA Web site is the Sector Facility Indexing Project (SFIP). This Web page (**http://www.epa.gov/sfipmtn1**) allows users to obtain environmental and other information from a number of data systems to produce facility-level profiles for the following five industry sectors:

- Petroleum refining;
- Iron and steel production;
- Primary nonferrous metal refining and smelting;
- Pulp manufacturing; and
- Automobile assembly.

SFIP also includes a subset of major federal facilities. These facilities belong to a variety of federal agencies including the Department of Defense (DoD), Department of Energy (DoE), National Aeronautical and Space Administration (NASA), and the Department of the Interior (DoI).

SFIP provides environmental data about each facility, such as the number of inspections, compliance with federal regulations, enforcement actions taken, chemical releases, and spills. SFIP also includes background information on the location of each facility and its environmental conditions, as well as information on the population of the surrounding area. Production capacity is provided for industry facilities but not for federal facilities, due to the diversity of their operations.

You can view and sort the data in a number of ways, by selecting standardized report formats or by creating your own analyses. For example, you can check on a particular facility's record of compliance with environmental regulations, compare the performance of one facility to other similar facilities in that sector, look at data across an entire sector, or analyze the environmental performance of the facilities in a given state.

To guarantee useful facility-level information on SFIP, EPA works to identify the correct universe of facilities to be included in analyses and ensures the accuracy of the data. As part of this effort, all facilities have an opportunity to review the data and provide comments. EPA and the states then review the responses and make changes to the data as appropriate.

SFIP also maintains a hotline: (617) 520-3015.

The EPA contact for the SFIP is [Program merged with ECHO]:

Rebecca Kane (MC 2222A) - ECHO Contact
Phone: (202) 564-5960
E-mail: kane.rebecca@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Environmental Management Application and Pollution Prevention Tool (EMAPT)

EPA and the National Center of Manufacturing Sciences (NCMS) are developing the Environmental Management Application and Pollution Prevention Tool (EMAPT) to assist businesses in complying with federal and state regulations. The Web-based tool identifies compliance information for various process activities that occur across industry sectors (e.g., tank management, pesticides management). For each process activity, you can find the following information:

- Applicable federal and state regulations;
- Audit information; and
- Pollution prevention opportunities.

EMAPT also provides a RCRA database that inspectors can use to identify whether RCRA requirements apply to a facility The tool can be accessed through the EPA Compliance Assistance Centers.

For more information, you can contact:

Tracy Back (MC 2224A)
Phone: (202) 564-7076
E-mail: back.tracy@epa.gov
U.S. EPA Headquarters
Ariel Rios Building
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Water Compliance Assistance

The Water Compliance Assistance Web site (**http://epa.gov/compliance/assistance/bystatute/cwa/index.html**) shown in Figure 19, focuses on EPA's outreach of compliance assistance tools and materials and enforcement information supporting the Clean Water Act. It enhances the access to water-related environmental compliance assistance, compliance monitoring, and enforcement information by providing links to documents, tools, information, and other related and linked Web sites for compliance with environmental requirements to protect water resources.

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Address http://www.epa.gov/compliance/assistance/bystatute/cwa/index.html Go Links

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Clean Water Act Compliance Assistance

This Web site focuses on EPA's compliance assistance tools supporting the Clean Water Act. It enhances the access to water-related environmental compliance assistance by providing links to documents, tools, information and other related and linked Web sites for compliance with environmental requirements to protect water resources.

Environmental Statutes

Clean Air Act
Clean Water Act
Emergency Protection and Community Right-to-Know Act
Federal Insecticide, Fungicide and Rodenticide Act
Marine Protection, Research and Sanctuaries Act
Resource Conservation and Recovery Act
Safe Drinking Water Act
Toxic Substances Control Act

Information Resources

About | Tools and Information | Information for Concerned Citizens

About the Clean Water Act

Overview
CWA - Includes a link to text.

Compliance and Enforcement National Priorities
CWA - Provides a strategy for addressing four environmental challenges exacerbated by wet weather. These challenges are: Combined Sewer Overflows (CSOs) Sanitary Sewer Overflows (SSOs), Concentrated Animal Feeding Operations (CAFOs) and Storm Water.

Monitoring
Information on CWA Compliance Monitoring program, including inspections.

Enforcement
Information on the civil enforcement program for water.

Tools and Information on How to Comply

National Pollution Discharge Elimination System - Overview of the NPDES permitting program including technical and regulatory information.

Discharge Monitoring Report-Quality Assurance Study Program - An annual quality assurance (QA) study conducted to evaluate the analytical and reporting ability of permittees and laboratories routinely performing inorganic chemistry and whole-effluent toxicity self-monitoring analyses required in NPDES permits.

Clean Water Act Financing - Information on CWA funding for construction water pollution control and Indian program grants.

Water Quality Criteria - Information on water quality criteria and standards to protect human health and the environment.

Water Quality Models - Models for simulating the movement of precipitation and pollutants from the ground surface through pipe and channel networks, storage treatment units and finally to receiving waters.

Watersheds - Explanation of using watershed approaches to protect water resources.

Monitoring and Assessing Water Quality - Information on wadeable streams and elements of a state water monitoring and assessment program.

Internet

Figure 19. Water Compliance Assistance Web Site

6.2 EPA Program Office Web Pages

What are the EPA program office Web pages and what information do they contain?

The Web pages for the EPA program offices include:

- **Office of Air and Radiation (http://www.epa.gov/air)** - oversees air and radiation protection activities, including policies and regulations; provides tools and technical information and covers topics such as:
  - Air quality;
  - Transportation and fuels;
  - Acid rain;
  - Visibility;
  - Toxic air pollutants; and
  - Radiation.

  The Technology Transfer Network (TTN) provides users access to air quality data.
- **Office of Water (http://www.epa.gov/OW/)** - includes publications and training and environmental topics such as:
  - Drinking water;
  - Industry sectors (e.g., coal mining and animal feeding operations);
  - Effluent guidelines;
  - Enforcement;
  - Permit program; and
  - Stormwater.
- **Office of Prevention, Pesticides and Toxic Substances (http://www.epa.gov/opptsmnt/)** - develops national strategy for toxic substance control, promotion of pollution prevention, and public right-to-know of chemical risks. The Web site provides:
  - Information sources;
  - Laws and regulations;
  - Right-to-know initiatives including guidance documents and fact sheets;
  - Pollution Prevention Information Clearinghouse;
  - Pollution Prevention Resource Exchange **(http://www.p2rx.org/)**; and
  - Information on specific toxic pollutants (e.g., polychlorinated biphenyls (PCBs) data **(http://www.epa.gov/pcb/)**.

- **Office of Solid Waste and Emergency Response (http://www.epa.gov/swerrims/)** - Includes information resources and laws and regulations.
- **Office of Environmental Information (http://www.epa.gov/oei/)** - Provides environmental information to the public and assists EPA in collecting high-quality analysis data. This information includes TRI program data submitted by certain manufacturing sectors to inform EPA (and the public) of the use, release, and transfer of certain listed chemicals **(http://www.epa.gov/tri/)**.
- **American Indian Environmental Office (http://www.epa.gov/indian/)** - Oversees Agency-wide effort to strengthen public health and environmental protection in Indian country. The site includes regulations affecting Indian land and related publications.
- **Small Business Ombudsman (http://www.epa.gov/sbo/)** - Includes a Web site, newsletters, publications, and contacts to assist small businesses in complying with environmental regulations.
- **Office of Underground Storage Tanks (http://www.epa.gov/swerust1/cmplastc/index.htm)** - Includes links to compliance assistance tools, including checklists for operating and maintaining underground storage tank systems.

In addition to the specific program office Web pages, you can search the entire EPA Web site **(http://www.epa.gov/)** for information on a particular subject or sector.

How can I use the EPA program office Web pages?

You can use the EPA program office Web pages to find information related to the sector of interest, including applicable regulations and their requirements, compliance assistance materials for sites, pollution prevention opportunities, common chemical releases, and potential noncompliance areas.

The following example shows what type of information you may find when searching the EPA Web site prior to an inspection.

Example - Using the EPA Web Site to Prepare for Inspections

Prior to inspecting an automotive recycling facility, you search for environmental information on the EPA Web site **(www.epa.gov)**. The search by keyword "automotive recycling" yields 36 documents. (Note: the number of results may change as EPA adds or modifies resources on the Web site.) You look at the documents to see if they are relevant to your inspection by reading the summary or checking the document for key words (e.g., use the *Find* function to match the partial word "auto"). The following documents provide the following information to you prior to your inspection:

1. *Final Rule: Handling of HFC-134a and Other Substitutes for CFC-12* - final rule establishes requirements for selling refrigerant from motor vehicle disposal facilities;
2. Question and Answer document (memorandum) concerning the collecting, storing, transporting, and recycling of mercury switches at automotive recycling yards;
3. EPA Sector Notebook, *Profile of the Motor Vehicle Assembly Industry*, (discussed in Section 2.1 of this document).
4. EPA Region 6 stormwater database - auto salvage sector;
5. Brochure on the removal of mercury switches from automobiles; and
6. *Wisconsin Mercury Sourcebook* - Automotive Sector.

Who should I contact about the EPA program offices?

Each EPA program office Web page includes contacts for the office and/or specific programs.

Attachment 1. Sector-Specific Tools Summary and Corresponding Resources Web Sites

This attachment assists inspectors and facilities in locating compliance assistance tools for specific sectors. The table lists the compliance assistance tools available by sector. You can use these tools prior to inspections to identify:

- Process descriptions, pollutant outputs, chemical releases;
- Applicable North American Industry Classification System (NAICS) Codes and Standard Industrial Classification (SIC) Codes (note that the NAICS codes replaced the SIC codes);
- Applicable regulations and statutes;
- Compliance history;
- Potential areas of noncompliance;
- Pollution prevention opportunities; and
- Tools available to the regulated community to assist them in complying with regulations.

Compliance Assistance Tools by Sector

Sector	Sector Notebooks (Section 1)	Compliance Assistance Centers (Section 2)	National Compliance Assistance Clearinghouse (Section 3)	Audit Protocols (Section 4)	OECA Web Page: Industry and Government Sectors (Section 6.1)	TRI Guidance Manual (Section 6.2)	Pollution Prevention Resource Exchange (Section 6.2)	Applicability Determination Index (ADI)[a]
Aerospace	X		X		X		X	X
Agriculture	X	X	X		X			X
Automotive	X	X	X		X		X	X
Chemical (includes Rubber and Plastics)	X	X	X	X	X	X	X	X
Construction		X	X		X		X	
Dry Cleaning	X		X	X	X			X
Electronics & Computers	X	X	X		X	X		
Federal Facilities	X	X	X		X		X	
Food Processing		Pending	X		X	X		X

Compliance Assistance Tools by Sector (continued)

Sector	Sector Notebooks (Section 1)	Compliance Assistance Centers (Section 2)	National Compliance Assistance Clearinghouse (Section 3)	Audit Protocols (Section 4)	OECA Web Page: Industry and Government Sectors (Section 6.1)	TRI Guidance Manual (Section 6.2)	Pollution Prevention Resource Exchange (Section 6.2)	Applicability Determination Index (ADI)[a]
Furniture Manufacturing	X		X		X			X
Hazardous Waste Management			X	X	X	X		X
Healthcare		X	X					
Laboratories			X	X				
Leather Tanning & Finishing			X			X		
Local Government	X	X	X	X	X			X
Lumber, Wood Products, & Forestry	X	•	X	X	X	X		
Metals	X	X	X		X		X	X

Compliance Assistance Tools by Sector (continued)

Sector	Sector Notebooks (Section 1)	Compliance Assistance Centers (Section 2)	National Compliance Assistance Clearinghouse (Section 3)	Audit Protocols (Section 4)	OECA Web Page: Industry and Government Sectors (Section 6.1)	TRI Guidance Manual (Section 6.2)	Pollution Prevention Resource Exchange (Section 6.2)	Applicability Determination Index (ADI)[a]
Minerals/Mining/ Processing	X		X		X	X		
Paints & Coatings		X	X			X	X	X
Pesticides	X	X	X	X		X		X
Petroleum	X		X	X	X	X	X	X
Pharmaceuticals	X		X	X	X			X
Printing	X	X	X		X	X	X	X
Pulp & Paper	X		X		X			X
Schools		X	X					
Shipbuilding & Repair	X		X		X		X	X

Compliance Assistance Tools by Sector (continued)								
Sector	Sector Notebooks (Section 1)	Compliance Assistance Centers (Section 2)	National Compliance Assistance Clearinghouse (Section 3)	Audit Protocols (Section 4)	OECA Web Page: Industry and Government Sectors (Section 6.1)	TRI Guidance Manual (Section 6.2)	Pollution Prevention Resource Exchange (Section 6.2)	Applicability Determination Index (ADI)[a]
Small Business			X					
Stone, Clay, Glass, & Concrete	X		X					X
Textiles	X		X		X	X	X	
Transportation	X	X	X		X			
Utilities/Power Generation	X		X	X	X	X	X	X

[a] ADI - Searchable database that provides regulatory applicability determinations for the Clean Air Act, **http://www.epa.gov/compliance/planning/data/air/adi.html.**

X - Applicable to this sector.

Resources Web Sites

- EPA Sector Notebooks - http://www.epa.gov/compliance/resources/publications/assistance/sectors/notebooks/
- EPA Compliance Assistance Centers - http://www.assistancecenters.net
- EPA National Environmental Compliance Assistance Clearinghouse - http://www.epa.gov/clearinghouse/
- EPA Audit Protocols - http://www.epa.gov/compliance/incentives/auditing/protocol.html
- EPA Compliance Incentives and Auditing - http://www.epa.gov/compliance/incentives/index.html
- EPA Office of Enforcement and Compliance Assurance (OECA) Web Site - http://www.epa.gov/compliance/index.html
- Online Information Tracking System (OTIS) - http://www.epa-otis.gov/otis
- Inspector Web Site - http://intranet.epa.gov/oeca/inspector/
- Sector Facility Indexing Project (SFIP) - http://www.epa.gov/sfipmtn1

EPA Program Office Web Pages

- Office of Air and Radiation - http://www.epa.gov/air
  - Technology Transfer Network - http://www.epa.gov/ttn/
- Office of Water - http://www.epa.gov/OW/
- Office of Prevention, Pesticides and Toxic Substances - http://www.epa.gov/opptsmnt/
  - Pollution Prevention Resource Exchange - http://www.p2rx.org/
- Office of Solid Waste and Emergency Response - http://www.epa.gov/swerrims/
- Office of Environmental Information - http://www.epa.gov/oei/
  - EPA Toxics Release Inventory - http://www.epa.gov/tri
- American Indian Environmental Office - http://www.epa.gov/indian/
- Small Business Ombudsman - http://www.epa.gov/sbo/

Attachment 2. List of EPA Regional Compliance Assistance Coordinators

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