**Management [68.15]**

Has the owner or operator:

**68.15 (a) Developed a management system to oversee the implementation of the risk management program elements?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 (b) Assigned a qualified person or position that has the overall responsibility for the development, implementation, and integration of the risk management program elements?

  **[ ]  Yes [ ]  No [ ]  N/A**

 (c) Documented other persons responsible for implementing individual requirements of the risk management program and defined the lines of authority through an organization chart or similar document?

  **[ ]  Yes [ ]  No [ ]  N/A**

# Hazard Assessment Documentation [68.39]

**68.39 (a-e) Has the owner/operator maintained on site the required documentation for the hazard assessments (worst case and alternative release scenario)?**

 **[ ]  Yes [ ]  No [ ]  N/A**

## **Safety Information [68.48]**

**68.48 (a) Has the owner or operator compiled and maintained the following up‑to‑date safety information, related to the regulated substances, processes, and equipment:**

 **(1) Safety Data Sheets (SDS) that meet the requirements of the OSHA Hazard Communication Standard 29 CFR 1910.1200(g)?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(2) Maximum intended inventory of equipment in which the regulated substances are stored or processed?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(3) Safe upper and lower temperatures, pressures, flows, and compositions?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(4) Equipment specifications?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(5) Codes and standards used to design, build, and operate the process?**

**[ ]  Yes [ ]  No [ ]  N/A**

**68.48 (b) Ensured the process is designed in compliance with recognized and generally accepted good engineering practices?**

 **[ ]  Yes [ ]  No [ ]  N/A**

**68.48 (c) Updated information if a major change has occurred that made the information inaccurate?**

 **[ ]  Yes [ ]  No [ ]  N/A**

## **Hazard Review [68.50]**

**68.50 (a) Has the owner or operator conducted a review of the hazards associated with the regulated substances, processes, and procedures?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Did the review identify:**

 **(1) The hazards associated with the process and regulated substances?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(2) Opportunities for equipment malfunctions or human errors that could cause an accidental release?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(3) The safeguards used or needed to control the hazards or prevent equipment malfunctions or human error?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(4) Any steps used or needed to detect or monitor releases?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(b) Determined by inspecting all equipment that the processes are designed, fabricated, and operated in accordance with applicable standards or rules, if designed to meet industry standards or Federal or state design rules?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(c) Documented the results of the review?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Ensured that problems identified were resolved in a timely manner?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(d) Updated the review at least once every five years or whenever a major change in the processes occurred?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Resolved all issues identified in the review before startup of the changed process?**

 **[ ]  Yes [ ]  No [ ]  N/A**

**Operating Procedures [68.52]**

**68.52 (a) Has the owner or operator prepared written operating procedures that provide clear instructions or steps for safely conducting activities associated with each covered process consistent with the safety information for that process?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(b) Do the procedures address the following:**

**(1) Initial startup?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(2) Normal operations?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(3) Temporary operations?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(4) Emergency shutdown and operations**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(5) Normal shutdown?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(6) Startup following:**

**A normal shutdown?**

**[ ]  Yes [ ]  No [ ]  N/A**

**An emergency shutdown?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **A major change that requires a hazard review?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(7) Consequences of deviations?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Steps required to correct or avoid deviations?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(8) Equipment inspections?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(c) Has the owner or operator ensured that the operating procedures have been updated, if necessary, whenever a major change occurred and prior to startup of the changed process?**

**[ ]  Yes [ ]  No [ ]  N/A**

## **Training [68.54]**

**68.54 (a) Has the owner or operator:**

 **Ensured that each employee presently operating a process, and each employee newly assigned to a covered process have been trained or tested competent in the operating procedures provided in § 68.52 that pertain to their duties?**

 **[ ]  Yes [ ]  No [ ]  N/A**

**For those employees already operating a process on June 21, 1999, the owner or operator may certify in writing that the employee has the required knowledge, skills, and abilities to safely carry out the duties and responsibilities as provided in the operating procedures.**

 **[ ]  Yes [ ]  No [ ]  N/A**

**(b) Provided refresher training at least every three years, or more often if necessary, to each employee operating a process, to ensure that the employee understands and adheres to the current operating procedures of the process?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Determined, in consultation with the employees operating the process, the appropriate frequency of refresher training?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(d) Ensured that each operator was trained in any updated or new procedures prior to startup of a process after a major change?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Maintenance [68.56]**

**68.56 (a) Has the owner or operator prepared and implemented procedures to maintain the on‑going mechanical integrity of the process equipment?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(b) Has the owner or operator trained or caused to be trained each employee, involved in maintaining the on‑going mechanical integrity of the process?**

**Did training include:**

**The hazards of the process?**

**[ ]  Yes [ ]  No [ ]  N/A**

**How to avoid or correct unsafe conditions?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Procedures applicable to the employee's job tasks?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(c) Has every maintenance contractor ensured that each contract maintenance employee is trained to perform the maintenance procedures developed?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(d) Has the owner or operator performed or caused to be performed inspections and tests on process equipment that follow recognized and generally accepted engineering practices?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **Are the frequency of inspections and tests of process equipment consistent with applicable manufacturer’s recommendations, industry standards or codes, good engineering practices or prior operating experience?**

**[ ]  Yes [ ]  No [ ]  N/A**

#### Compliance Audits [68.58]

**68.58 (a) Has the owner or operator certified that compliance audits are conducted at least every three years to verify that the procedures and practices are adequate and are being followed?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(b) Has compliance audit been conducted by at least one person knowledgeable in the process?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(c) Has the owner operator developed a report of the audits findings?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(d) Has the owner or operator promptly determined and documented an appropriate response to each of the findings of the audit and documented that deficiencies had been corrected?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(e) Has the owner or operator retained the two most recent compliance audit reports, unless more than five years old?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Incident Investigation [68.60]**

**68.60 (a) Has the owner or operator investigated each incident which resulted in, or could reasonably have resulted in a catastrophic release?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(b) Were all incident investigations initiated not later than 48 hours following the incident?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(c) Was a summary prepared at the conclusion of every investigation, which included:**

**(1) Date of incident?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(2) Date investigation began?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(3) A description of incident?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(4) The factors that contributed to the incident?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(5) Any recommendations resulting from the investigation?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **(d) Has the owner or operator promptly addressed and resolved the investigation findings and recommendations, and are the resolutions and corrective actions documented?**

**[ ]  Yes [ ]  No [ ]  N/A**

 **Have the resolutions and correction actions been documented?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(e) Has the owner or operator reviewed the finding with all affected personnel whose job tasks are affected by the findings?**

**[ ]  Yes [ ]  No [ ]  N/A**

**(f) Has the owner or operator retained investigation summaries for five years?**

**[ ]  Yes [ ]  No [ ]  N/A**

**Emergency Response - Applicability [68.90]**

**68.90 (a) Will employees of a stationary source respond to emergencies?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **If YES, proceed to 68.95(a).**

 **If NO, continue.**

 **(b) If employees of the stationary source WILL NOT RESPOND to accidental releases of regulated substances:**

 **(1) For stationary sources with any regulated toxic substance held in a process above the threshold quantity, is the stationary source included in the community emergency response plan developed under EPCRA?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(2) For stationary sources with only regulated flammable substances held in a process above the threshold quantity, has the owner or operator coordinated response actions with the local fire department?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(3) Are appropriate mechanisms in place to notify emergency responders when there is a need for a response?**

 **[ ]  Yes [ ]  No [ ]  N/A**

## **Emergency Response - Program [68.95]**

**68.95 (a) Has the owner or operator developed and implemented an emergency response program for the purpose of protecting public health and the environment?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Does the program include the following elements?**

 **(1) An emergency response plan which is maintained at the stationary source?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Does the emergency response plan contain the following elements:**

 **(i) Procedures for informing the public and local emergency response agencies about accidental releases?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(ii) Documentation of proper first‑aid and emergency medical treatment necessary to treat accidental human exposures?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(iii) Procedures and measures for emergency response after an accidental release of a regulated substance?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(2) Procedures for the use of emergency response equipment and for its inspection, testing, and maintenance?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(3) Training for all employees in relevant procedures?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **(4) Procedures to review and update, as appropriate, the emergency response plan to reflect changes at the stationary source and ensure that employees are informed of changes?**

 **[ ]  Yes [ ]  No [ ]  N/A**

**68.95 (b) Did the owner or operator use a written plan that complies with other Federal contingency plan regulations or is consistent with the approach in the National Response Team’s Integrated Contingency Plan Guidance (‘‘One Plan’’)? If so, does the plan include the elements provided in paragraph (a) of 68.95, and also complies with paragraph (c) of 68.95?**

 **[ ]  Yes [ ]  No [ ]  N/A**

**68.95 (c) Has the emergency response plan been coordinated with the community emergency response plan developed under EPCRA?**

 **[ ]  Yes [ ]  No [ ]  N/A**

 **Has the owner or operator provided to the local emergency response officials information necessary for developing and implementing the community emergency response plan requested by the LEPC or emergency response officials?**

[ ]  Yes [ ]  No [ ]  N/A