State of California - California Environmental Protection Agency

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Phone (530) 666-8646 Yolo County Environment HAZARDO		ironmental Heal DOUS WASTE	th Divis	sion Fax (530) 669-1448			
CERTIFICATION OF FINANCIAL ASSURANCE							
FOR PERMIT BY RULE AND CONDITIONALLY AUTHORIZED ONSITE TREATERS							
a. Initial Certificati		c. Annual Certificatio		700 Page o	of		
I. FACILITY IDENTIFICATION (Put an asterisk in the left margin next to the amended information) BUSINESS NAME (Same as FACILITY NAME or DBA – Doing Business As) ³							
FACILITY ID#		FACILITY EPA ID#			2		
TYPE OF OPERATION	a. PBR-FTU b. CA [c. Other			701		
NOTE: In addition to the	dollar figure below, a written estimate of closure costs	must be attached when yo	u submit thi	's section of this page.			
	ESTIMATED CLOSUR	RE COSTS \$			702		
	III. EXEMPTION FROM FINANC		REQUIF	REMENTS			
1. I am not required to p	provide a mechanism because:						
a. I certify that my	closure cost estimate is less than or equal to \$10,000,	or			703		
b. Specify other reasons							
2. As a PBR owner or operator, I have not operated more than thirty days in a calendar year. (Does not apply to Conditional Authorization)							
IV. CLOSURE FINANCIAL ASSURANCE MECHANISM							
I am required to prov	ide a mechanism and it is attached to this page.	706	MECHAN	NISM ID NUMBER(S):	708		
EFFECTIVE DATE OF CLOSURE ASSURANCE MECHANISM 707							
MECHANISM TYPE	a. Closure Trust Fund d. Closure	Insurance		g. Multiple Financial Mechanisms	709		
(Check one item only) D. Surety Bond D. e. Financial test and Corporate Guarantee D. h.		h. Certificate of Deposit					
	C. Closure Letter of Credit I. Alternation	ve Mechanism		i. Savings Account			
FINANCIAL INSTITUTION, INSURANCE OR SURETY COMPANY/ OTHER ORGANIZATION 710							
ADDRESS					711		
ADDRESS CITY	712	STATE	713	ZIP CODE	711 714		
	712 V. OWNER OR OPER			ZIP CODE			
	V. OWNER OR OPER		TION	ZIP CODE			
CITY SIGNER OF THIS CERTI I certify under penalty of la that qualified personnel pro directly responsible for gat	V. OWNER OR OPER	ATOR CERTIFICA b. Opera d under my direction or s Based on my inquiry of th of my knowledge and belie	ATION ator upervision i e person or af, true, acc	n accordance with a system designed to as persons who manage the system, or those urate and complete. I am aware that there	714 715 sure		
CITY SIGNER OF THIS CERTI I certify under penalty of la that qualified personnel pro directly responsible for gat	V. OWNER OR OPER FICATION a. Owner aw that this document and all attachments were prepare pperly gather and evaluate the information submitted. If hering the information, the information is, to the best of mitting false information, including the possibility of f	ATOR CERTIFICA b. Opera d under my direction or s Based on my inquiry of th of my knowledge and belie	ATION ator upervision i e person or af, true, acc	n accordance with a system designed to as persons who manage the system, or those urate and complete. I am aware that there	714 715 sure		

This page is to be completed by the owner or operator of a Fixed Treatment Unit operating under Permit by Rule (PBR), or a generator operating pursuant to a grant of Conditional Authorization (CA). If this is a new facility, this certification should be attached to the Onsite Hazardous Waste Treatment Notification - Facility page. If this is an existing facility and you have previously submitted a Notification, the certification and the financial assurance mechanism may be submitted without another notification.

Permit by Rule (PBR) and Conditionally Authorized (CA) operations are required to provide financial assurance for closure costs (22 CCR §67450.13(b) and HSC §25245.4). However, you are eligible for an exemption from financial assurance requirements if closure cost estimates are not more than \$10,000 (22 CCR §67450.13(d)). PBR operations that operated less than thirty (30) days in any calendar year are also eligible for an exemption (22 CCR §67450.13(e)). Complete the page even if you qualify for an exemption.

An adjustment to the closure cost estimate for inflation is required to be completed by March 1 of each year. See 22 CCR §67450.13(a)(2) for instructions on calculating the adjustment. This updated closure cost estimate must be maintained at the facility. If your cost estimate now exceeds \$10,000 for the first time, you must submit this Certification and a closure cost estimate within 30 days to your CUPA or authorized agency. If the cost estimate adjustment results in an increase and requires a change in your financial mechanism, submit this certification and revised mechanism within 60 days (§66265.143). Any change in information affecting the closure cost estimate or mechanism must be submitted within 30 days to your CUPA or authorized agency. Refer to 22 CCR §67450.13 for financial assurance requirements.

(Note: the numbering of the instructions follows the data element numbers that are on the UPCF pages. These data element numbers are used for electronic submission and are the same as the numbering used in 27 CCR, Appendix C, the Business Section of the Unified Program Data Dictionary.) Please number all pages of your submittal. This helps the Department of Toxic Substances Control (DTSC) identify whether the submittal is complete and if any pages are separated.

- 1. FACILITY ID NUMBER Leave this blank. This number is assigned by DTSC. This is the unique number which identifies your facility.
- 2. EPA ID NUMBER Enter the EPA ID number for the facility.
- 3. BUSINESS NAME Enter the full legal name of the business.
- 700. CERTIFICATION STATUS Check the reason the certification is being completed.
- 701. TYPE OF OPERATION Check the type of operation. If type of operation is not listed, check "other" and indicate type in the space provided.
- 702. ESTIMATED CLOSURE COSTS Enter the total estimated cost of closing each treatment unit and attach a written estimate of the closure costs. The estimated closure cost may be either the actual cost or the estimated cost when using your own staff and/or equipment. The closure cost estimate may take into account any salvage value that may be realized from the sale of wastes, facility structure or equipment, land or other facility assets. Following is a model closure cost estimate:

ACTIVITY	COSI
1. Removal, treatment (on-site or off-site), or disposal of waste inventories	
2. Removal and disposal of soil	
3. Decontamination of equipment and structure	
4. Demolition and removal of containment system components or structure	
5. Transportation	
6. Sampling and analysis of waste, soil, equipment, and structure	
7. Certification or other demonstration of closure (" clean" closure or specified level of decontamination)	
8. Other expenses (specify)	
9. Less Assets (salvage value of waste, equipment or property)	
TOTAL COST OF CLOSURE	

NOTE: For PBR only, if you have operated under PBR for less than 30 days in any calendar year, you qualify for an exemption. If eligible for the exemption, enter "EXEMPT" in this space.

- 703. EXEMPTION FROM FINANCIAL ASSURANCE Check to claim the exemption from the financial assurance requirements for total closure cost estimate less than or equal to \$10,000. A model letter using the required certifications must be submitted to claim this exemption.
- 704. EXEMPTION FROM FINANCIAL ASSURANCE OTHER Check to claim "other" reason for exemption from financial assurance requirements. Describe the reason for the exemption in the space provided. Reference the applicable statute or regulation granting the exemption.
- 705. EXEMPTION FROM FINANCIAL ASSURANCE < 30 DAYS PER YEAR Check to claim the exemption from financial assurance requirements for owner or operator under PBR only and operating no more than thirty days in any calendar year.
- 706. REQUIREMENT FOR FINANCIAL ASSURANCE Check to indicate whether the financial assurance mechanism is attached.
- 707. DATE OF CLOSURE ASSURANCE MECHANISM Enter the effective date of the closure financial assurance mechanism.
- 708. MECHANISM ID NUMBER If applicable, enter the number of the closure assurance mechanism, for example, the insurance policy number.
- 709. CLOSURE ASSURANCE MECHANISM Check to indicate the type of financial mechanism established to provide the closure cost assurance. Eligible types are contained in 22 CCR §67450.13(a)(5). They are:
 - 1. A closure trust fund, as provided in 22 CCR 66265.143(a); DTSC Form 1154
 - 2. A surety bond guaranteeing payment into a closure trust fund, as described in 22 CCR 66265.143(b); either DTSC Form 1155 or 1156 with DTSC Form 1154
 - 3. A closure letter of credit, as described in 22 CCR 66265.143(c); DTSC Form 1157
 - 4. Closure insurance, as described in 22 CCR 66265.143(d); DTSC Form 1158
 - 5. A financial test and corporate guarantee for closure, as described in 22 CCR 66265.143(e); either DTSC Form 1159 or 1173
 - 6. An alternative mechanism for closure costs, as described in 22 CCR 67450.13(c); (no form)
 - 7. Use of multiple financial mechanisms for closure costs, as described in 22 CCR 66265.143(g); (no form)
 - 8. A certificate of deposit, as described in section 3-104(2)(c) of the Uniform Commercial Code; (no form) or,
 - 9. A savings account, as described in section 4-104(a) of the Uniform Commercial Code; (no form).

These mechanisms require use of the additional DTSC Financial Assurance forms referenced above. These forms are available from the CUPA or the DTSC Regional Office. When using these forms, verify that the beneficiary is the CUPA, rather than DTSC.

710. FINANCIAL INSTITUTION OR SURETY NAME	For items 710 - 714, enter the name and address of the financial institution, insurance company,
711. FINANCIAL INSTITUTION OR SURETY ADDRESS	surety company, or other appropriate organization used to establish the closure
712. FINANCIAL INSTITUTION OR SURETY CITY	financial assurance. Indicate your company if you are using a corporate guarantee and
713. FINANCIAL INSTITUTION OR SURETY STATE	financial test.
714. FINANCIAL INSTITUTION OR SURETY ZIP CODE	

- 715. SIGNER OF CERTIFICATION Check to indicate whether the person certifying is the owner or the operator of the facility.
 - SIGNATURE The business owner, or officer of the company who is authorized to make decisions for the facility and who has operational control, shall sign in the space provided. The authorized signatory must be completed as specified in Title 22, CCR, section 66270.11. In most companies, this is not the environmental compliance or technical staff. The title should indicate that an appropriate authorized person is signing for the company. Original signatures are required on all documents submitted.
- 716. DATE CERTIFIED Enter the date that the document was signed
- 717. OWNER/ OPERATOR NAME Enter the full printed name of the person signing the page.
- 718. OWNER/ OPERATOR TITLE Enter the title of the person signing the page.