

CERS2 Business Rules

Prepared by Cal/EPA Technology Services Unit Staff (Version 1.00, October 3, 2013)

This technical document summarizes key electronic reporting business rules implemented in the CERS2 web portals and EDT processes. While almost all of this information was previously available in some form¹, this document is intended to compile the information into a single source as much as possible. There are four types of business rules implemented in CERS2. The [Unified Program Data Dictionary](#) (established in regulation) defines the first two types involving data element validation rules (type, length, and allowable code values) and minimally-required fields. This document details the other two business rule types involving field or form/document dependencies. When violated, these last two types of business rules are normally expressed as *Guidance Messages* in the CERS web portals (or in the response XML from EDT endpoints), which are categorized as “Required”, “Warning”, or “Advisory” depending upon the severity/nature of the rule.

All “Required” business rules are directly linked to regulations/statutes and will remain **fixed** (with no changes, additions or removals) until some point in the future when new electronic reporting regulations are adopted (aka “CERS3”). Over time Cal/EPA may implement additional “Warning” and “Advisory” business rules, which are likely candidate “Required” business rules in future versions of CERS and electronic reporting regulations. This document will be periodically re-released with such updates and announced via the [EDT Implementers Listserv](#).

Certain business rules specific to CERS EDT processing are discussed in the [EDT Endpoint Documentation](#).

Questions about this document should be referred to Chris Allen at callen@calepa.ca.gov.

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¹ I.e., the [CERS Data Registry](#), the [CERS EDT XML Schemas](#), the [CERS EDT Manual](#), and the [EDT Endpoint Documentation](#).

Overview of CERS2 Business Rules

There are four types of business rules implemented in CERS2. The [Unified Program Data Dictionary](#) (established in regulation) defines the first two types involving data element validation rules (type, length, and allowable code values) and minimally-required fields. This document details the other two business rule types involving field or form/document dependencies. When violated, these last two types of business rules are expressed as *Guidance Messages* in the CERS web portals, which are categorized as “Required”, “Warning”, or “Advisory” depending upon the severity/nature of the rule.

In CERS EDT transactions, the field validation and minimally-required business rules have been embedded into the EDT XML schemas, and non-compliant XML submittals will be rejected. In most cases, EDT endpoint response XML will list the same guidance messages for field and form/document dependency business rules as the CERS UI. However, some business rules listed in the “general” sections of this document (especially for CME data) fall outside of the guidance message pattern and if violated, may result in a rejected EDT transaction with error details expressed in the *ErrorSummary* XML element (CDR System Field #20.0075).

Local reporting portal implementers are expected to implement all business rule categories discussed below.

Form Field Validations

Applied To	A single field on a single form
Based On	Field descriptions in the Unified Program Data Dictionary
Description	Data provided by a user in any particular field on a specific form will be validated that it matches the data type, format, and/or code values specified in the Unified Program Data Dictionary.
UI Consequence	Generally the user interface will ensure that for a given field a user can only enter the appropriate data type (e.g., numeric, data, alphanumeric), the valid code values (i.e., the field can only contain the values 01, 02, 03, or 99), and/or exceed the maximum lengths of an alphanumeric field.
EDT Consequence	The entirety of a Facility Submittal will be rejected if any field on any submittal element does conform to the field’s definition in Unified Program Data Dictionary as defined in the CERS2 XML schemas (XSDs).

Minimally-Required Form Field Validations

Applies To	Multiple fields on a single form
Based On	Approved lists of Unified Program Data Dictionary fields as adopted by the CERS Regulator User Group and shown in the CERS Data Registry .
Description	The CERS Regulator User Group established a set of CERS2 “minimally-required” fields for each Unified Program reporting form. This set of fields (typically 3-12 fields per form) represents the absolute minimum set of fields any UPA statewide would require an organization to report on a specific form. An organization will NOT be able to submit a submittal element until at least all the minimally-required fields are provided. A regulator may reject a submittal element if other important but not minimally-required fields are incomplete.
UI Consequence	In the CERS2 UI a <i>Required</i> guidance message will be displayed to the user for any minimally-required field(s) without data. The user will in most cases be able to save a

	partially completed form missing minimally-required field data, and can then resume completion of the form at a later date. However, a form with missing minimally-required field data will prohibit the user from submitting the submittal element to their regulator until the minimum-required field(s) is populated.
EDT Consequence	The entirety of a Facility Submittal will be rejected if data is not provided in any minimally-required fields for any submittal element.

Dependent Field Business Rules

Applies To	Two or more dependent fields on a single form
Based On	Unified Program statutes and regulations; Linkages identified in the Unified Program Data Dictionary field descriptions; suggestions from CERS community [for <i>Warning</i> and <i>Advisory</i> guidance messages]
Description	Some fields on a UPCF are linked to other fields on the same form such that data entered in one field will require data to be entered in another field. A common example in the Unified Program Data Dictionary is a field describing a list of options that also includes an "Other" option which is then further described in a separate description field.
UI Consequence	The CERS2 user interface will disable/enable form elements and/or emit a guidance message(s) when dependent fields require data entry.
EDT Consequence	In many cases the <i>Required</i> intra-form field dependencies are represented in the CERS EDT XML Schema via appropriate structuring of XML (parent-child nodes, Choice sequences, etc.). However, in some cases, the field dependencies defined in the Unified Program Data Dictionary field definitions are not amenable to XML-based validation rules, and such business rules are described later in this document.

Dependent Resource Business Rules

Applies To	One or more <i>Resources</i> for a submittal element
Based On	Statutory/regulatory mandates; policy and guidance letters/memos from state regulators.
Description	In many cases the completion of one <i>Resource</i> (or selection of a specific field value on that form) may trigger a need for the user to provide an additional <i>Resource(s)</i> for a submittal element. Prior to submitting a submittal element(s) to their regulator, an organization should be provided with one or more advisories based on a submittal element's business rules, suggesting the need to provide an additional <i>Resource(s)</i> . When regulators are reviewing submittal elements, they should be able to view any Resource-related guidance messages.
UI Consequence	When an organization saves a form in the CERS UI, they are presented with guidance messages for any <i>Resources</i> they must or should consider completing. If a submittal element has one or more <i>Required</i> guidance messages, the user will be unable to submit the Submittal Element until they provide the necessary <i>Resource(s)</i> described in the guidance message.
EDT Consequence	The entirety of a Facility Submittal will be rejected if one or more <i>Resource</i> -related "Required" guidance messages are not met on any submittal element.

Terminology and General Business Rules

General Definitions

- A **CERS ID** is a Cal/EPA-assigned, 8 digit number used to uniquely identify a facility in CERS (and CERS EDT). While many legal definitions exist, from a CERS perspective a facility is a contiguous “plot of ground” regulated and considered by a CUPA to be a single facility. This definition can be quite wide ranging: a single suite in one building, a single building, or a campus with multiple buildings.
- The *CERS ID* should remain unchanged across subsequent owner/operators of a facility (see *CERS Organization* below). While regulators are free to change facility identifiers in their local data systems across subsequent owners (e.g., Facility ID, FacilityRegulatorKey), the CERS ID should be mapped/retained cross time.
- A CERS **Organization** (aka “Business”) at its most basic level is a *collection of one or more CERS users* who have responsibility and need to manage electronic reporting for a *collection of one or facilities*. In most cases a CERS Organization is equivalent to a single business, government agency, non-profit organization, or other corporate entity owning or operating facilities that must be reported under the Unified Program. Every facility must belong to one *Organization* at any given point in time. When a facility’s ownership is changed, the *CERS ID* is retained and the facility is assigned to a different *Organization*. In CERS EDT, when a regulator wishes to add a new facility to CERS, they must first search CERS’ Organization directory and provide the facility’s Organization information if it exists in CERS. Otherwise, CERS will establish a new Organization for the new facility either based on the facility’s name or a regulator-provided organization name.
- In CERS EDT, a **Transaction** represents a single EDT exchange between an authorized EDT account and an EDT Endpoint (see [EDT Endpoint Documentation](#)).
- Each facility has a **Reporting Requirement** status in CERS for each of the ten CERS submittal element types. By default a new facility in CERS will have all of its submittal elements (except Facility Information) marked as *Not Applicable*, meaning the facility or its regulator has indicated they are not regulated (CDR System Field #20.0088). As a facility owner/operator completes their Business Activities form in the CERS UI, additional submittal elements will be marked as *Applicable* based on the “Yes” answers they provide to the various Business Activities questions. EDT submittal of a Facility Information Submittal Element will similarly set relevant submittal element *Reporting Requirements* to *Applicable*. Regulators can use the CER Regulator Portal to override the default *Reporting Requirement* statuses, including use of the optional *Always Applicable*, which ensures a business is ALWAYS prompted/warned to report data for this submittal element. In CERS EDT, regulators can set and update Reporting Requirement statuses using the *Facility Create* and *Facility Metadata Submit* endpoints.
- If a regulator sets a *Reporting Requirement* status to *Not Applicable*, the facility is considered not regulated under that submittal element/program, and draft instances for the submittal elements are automatically discarded, and the facility owner/operators will not be prompted for that submittal element in the future. If the Facility Information submittal element is set as “Not Applicable”, then ALL submittal elements are immediately set to *Not Applicable*.

Facility and Facility Submittal Data

- A **Facility Submittal** consists of the data for a single facility an *Organization* intentionally submitted to CERS (or a regulator portal) to meet their legal reporting requirements for the facility. An *Organization* reporting on their multiple facilities would result in multiple *Facility Submittals*.
- A *Facility Submittal* is made up of one or more *Submittal Elements*. Every *Facility Submittal* must include at least a *Facility Information Submittal Element* (CCR Title 27, §15188(c)).
- A **Submittal Element** represents the data elements an organization would report about their facility on one or more related/dependent paper forms. A *Submittal Element* generally is equivalent to one UPCF or several interdependent UPCFs, along with any accompanying document uploads required by the UPCFs. Several of the [six program elements](#) making up the CUPA Program are divided into more than one *Submittal Element* to allow regulated entities and regulators to submit/review/approve information on differing statutory/regulatory deadlines for certain reporting data/UPCFs. See [Appendix A](#) for a complete listing of CERS2 Submittal Elements.
- In CERS, a **Resource** is equivalent to one form or *Supplemental Documentation* (see below). In one specific case, a single resource consists of a collection of a single form—a Hazardous Materials Chemical Description form for each material in the facility’s inventory.
- A facility owner/operator needs to provide **Supplemental Documentation** in certain cases as specified in the CERS forms, Unified Program and/or other state regulations, and/or local reporting requirements. *Supplemental Documentation Resources* can be fulfilled using one of the following options:
 - Through a **Document Upload**. The upload can consist of more than 1 document for longer documents, and must meet the requirements specified in the [CERS Document Upload Policy](#).
 - Provide a **Public Internet URL**. The URL must be publicly available, and the document should be readily discoverable from the URL.
 - Indicate document is stored at the facility. This option should only be used when as directed/approved by the local regulator, and was intended for documentation with privacy or homeland security considerations.
 - Indicate document previously provided to the local regulator. This option should only be used when as directed/approved by the local regulator, and was intended for documentation with privacy or homeland security considerations.
 - Indicate document already provided in some other submittal element.
 - Indicate facility is **Exempt** from the supplement documentation requirement.
- A *Submittal Element* can be regulated by **one and only one** regulator (CUPA/PA) for a specific facility. Cal/EPA and UPAs jointly manage a table in CERS associating each *Submittal Element* for a specific facility to a single regulator (and a similar table by ZIP Codes for new/future facilities). CERS business logic will demand that one and only one regulator can take action on a specific Submittal Element for a specific facility.
- A *Facility Submittal* and its various *Submittal Elements* can NEVER be “updated” in CERS once submitted. A *Facility Submittal* must reflect the data provided by the organization for their facility in its entirety to meet their legal reporting requirements (even if an individual Submittal Element(s) is rejected by the regulator and/or CERS). Organizations can perform the equivalent of an “update” by copying the previous submittal, making necessary corrections, and submitting the data as a new *Facility Submittal*—

this is how the CERS UI works, and how a local reporting portal would work as well (except for *Proxy Submittals*, see below).

- A *Submittal Element* cannot be submitted (or will be rejected via EDT) if there are any “Required” business rules that have not been fulfilled. For EDT transactions involving multiple records (e.g., *Facility Submittal Action Notifications*), ALL records will be rejected if any single record does not fulfill all “Required” business rules.
- If an organization needs to “update” or “correct” a submitted Submittal Element(s), an entirely new Submittal Element(s) must be submitted.
- A **Proxy Submittal** originates from a regulator’s local data system and/or local reporting portal, and reflects submittal data submitted by the regulator **on behalf of the facility's owner/operator**. A typical Proxy Submittal use case would be that during a facility inspection or perhaps a phone call with the facility's owner/operator, it is jointly determined that a previously submitted data field(s) needs to be updated/corrected, and for whatever reason it is not convenient/practical for the business to submit the change in CERS (or a local reporting portal). So the regulator makes a change in their local data system that ultimately generates and sends a Proxy Submittal to CERS reflecting the change. In general Cal/EPA discourages CUPAs from making Proxy Submittals because a facility owner/operator could claim they did not agree to the Proxy Submittal's changes (and/or future submittals based upon it). For every Proxy Submittal, CUPAs MUST send an email or paper mail communication to the facility owner/operator indicating they made the Proxy Submittal (or have a letter on file from the business granting proxy submittal rights to the regulator), and these communications must be retained/archived for review by Cal/EPA during CUPA evaluations.
- A **Pass-Through Submittal** occurs when facility's owner/operator successfully submits their data using a regulator local reporting portal, and the data is not later modified and submitted to CERS as a *Proxy Submittal*. The Submittal Elements exactly represent the data/documents submitted into the local reporting portal to meet legal reporting requirements for the facility, i.e., the data exactly reflects what the facility owner/operator entered in advance of pressing the "Submit" button in the local reporting portal. The facility submittal data has not been altered by the regulator.
- CUPAs can choose to implement their own web site for their businesses to perform their Unified Program facility reporting, typically because a local reporting portal could provide additional services CERS cannot (e.g., billing or permitting services). However, any facility owner/operator can choose to use CERS or the local reporting portal. In particular, businesses with many facilities spanning multiple CUPAs may prefer to use the centralized facility reporting features in CERS rather than accessing multiple local reporting portals.
- While statute and regulations give UPAs latitude for to establish facility reporting requirements beyond statewide requirements, these local reporting requirements must 1) be specifically adopted as a local ordinance, and 2) must be reported to Cal/EPA for inclusion in CERS as a [local reporting requirement](#) so business opting to use CERS for their Unified Program reporting can be informed of ALL reporting requirements for a given facility.

Facility Submittal Review

- Once a regulator sets a Submittal Element’s Submittal Status to something beyond the initial Submitted status, they can never return the status to Submitted. From an EDT perspective, this means Facility

Submittal Action Notifications never have a Submittal Element status of *Submitted* because the Facility Submittal record either originated from CERS or a prior Regulator Facility Submittal transaction.

- A regulator can change or downgrade the Submittal Status of a Submittal Element. However, they must complete the comments if the downgrade is to the “Not Accepted” or “Not Applicable” status. The CERS UI enforces this requirements, and in EDT you must provide a value in the SubmittalActionComments (#20.0009) field or the Facility Submittal Action Notification will fail.
- Based upon current regulatory requirements, Cal/EPA expects regulators to review *Facility Information* and *Inventory* Submittal Elements within 15 calendar days so the updated information can be made available to emergency responders. Regulators with local reporting portals must send their facility submittal data to CERS within 15 calendar days of submission by the facility owner/operator, regardless of whether they have reviewed/acted upon the submittal. Unreviewed submittals can be sent with an initial status of *Submitted* or *Under Review* and then later updated using Facility Submittal Action Notification endpoint.

Submittal Statuses

Each submittal element has its own Submittal Status (and Regulator review comments). This allows businesses to submit only the specific forms/program elements they are required to submit at any given time, and regulators can focus on reviewing/approving only submittals for the program elements they regulate. Listed below are the CERS2 Submittal Statuses.

Draft	A business/organization has begun preparing/entering program element data but has not yet submitted the data to their regulator for review. Draft submittals will always be clearly marked as Draft and will never be included in any statistics or metric reports.
Submitted	The submitted program element has been to CERS (or a local reporting portal) by the facility’s owner/operator and meets minimal data validation requirements. No action has yet been taken by the facility’s regulator.
Under Review	Regulator is reviewing the submittal element. This is an optional status Regulator can use to express to the facility’s business (and other regulators) they are or intend to review a submittal.
Accepted	Regulator has reviewed the submitted program element and finds the data/documents meet state and local reporting requirements. The Regulator has not necessarily field-verified the submitted data.
Not Accepted	Regulator has reviewed the submitted program element and finds the data/documents do not meet state and local reporting requirements. Regulator has required the business to make a new submission of the submittal element
Not Applicable	Regulator has reviewed the submittal element and determined the business is not required and should not submit the data to the regulator for the facility. Submittals marked as <i>Not Applicable</i> will not be included in any CERS2 statistical reports, and businesses/organizations will not receive future reminders/alerts for the submittal element.

CME Data (Inspections, Violations, Enforcements)

- “CME” is an US EPA RCRA acronym for “Compliance, Monitoring, and Enforcement” and is used in CERS to generally refer to inspection, violation, and enforcement data.

- If **any** CME entity record in an EDT transaction (or CME Excel Upload) is rejected, **ALL** CME entity records in the submittal will not be processed by CERS. CERS will return a transaction error summary which the regulator can use to correct the submittal for later resubmission.
- CME entity records violating any of the rules below including the term “must” will be rejected.
- CME records are **submitted** one-way, from a **CUPA** to CERS using the CERS Regulator Portal CME web pages or CME Upload feature, or using the CERS CME Submit endpoint. However, both CUPAs **and** PAs can export/download CME data, either in XML format using the CME Query EDT endpoint, or in “flat file” format via the CERS Regulator Portal as a rigorously formatted Microsoft Excel spreadsheet format.
- CUPAs with PAs are responsible for collecting and submitting EDT-based CME data on behalf of their PAs. A CME entity record’s *RegulatorCode* must match a regulator associated with the facility in CERS.
- CME entity records can only be submitted for existing, non-deleted CERS IDs.
- RegulatorKeys (InspectionRegulatorKey, ViolationRegulatorKey, EnforcementRegulatorKey, and EnforcementViolationRegulatorKey) for CME records **must always be unique** and never be reused in the regulator’s local system for a specific Inspection, Violation, Enforcement, or EnforcementViolation record. Cal/EPA encourages regulators to use UUIDs/GUIDs for CME RegulatorKeys to guarantee uniqueness. CME entity records created in the CERS UI will not possess RegulatorKeys, and thus cannot be updated via EDT.
- Updates can be submitted to CERS for existing CME records. This can be done at any time after the initial submittal by updating the record in the CERS Regulator Portal, or via EDT *CME Submit* endpoint by providing the appropriate RegulatorKey for the CME record, setting the record’s *CMEDataStatus* as necessary (*Approved* or *Deleted*), and the *RegulatorActionDateTime* field must be set to a date/time later than the initial/previous submittal for the CME record.
- EDT *CME Submit* transactions updating existing CME records must include ALL of the fields making up the CME record. If CERS accepts the update, the record will be updated/replaced with the new record. The absence of data will result in removal of the data in that field (if any). The old version is archived.
- An update submittal for a CME entity record must always have a different, and later, *RegulatorActionDateTime*, than the previous submittal, or it will be rejected. CME entity records should not be sent out of sequence via EDT or in CME Upload files.
- If a CME entity record is updated through the CERS UI, the *RegulatorActionDateTime* for that entity will be updated to reflect the date of the change. Subsequent updates to this record via EDT must have a *RegulatorActionDateTime* later than this update, or the submittal will be rejected.
- If multiple records for a single CME entity are submitted in the **same** EDT transaction, only the record with the **latest** *RegulatorActionDateTime* will be processed, with the other records ignored.
- If multiple records for a single CME entity are submitted in the **same** EDT transaction **with the same** *RegulatorActionDateTime*, only the **last** record in the order submitted will be processed, with the other records ignored.
- If an Inspection entity record is accompanied by Violation entity records, the Inspection’s Violation Summary Count values (ClassViolationCount (#910), ClassIIViolationCount (#911), and

MinorViolationCount (#912)) will automatically be updated with calculated counts based on the Inspection's linked Violations.

- Cal/EPA anticipates a January 2014 adoption of regulations requiring CME data to be either be entered into CERS or transmitted via CERS EDT at least quarterly, and no later than 30 days after the end of the quarter the CME transaction occurred in (§15290(b)).

CME Entity Record Date Validation Rules

- An Inspection entity record's OccurredOn date value (#906) must be greater than October 1st, 1980 and less than or equal to the date of the submittal. (Per US EPA RCRAInfo Data Exchange Template v5.2, Edit Number CEI-020)
- A Violation entity record's OccurredOn date value (#932) must be greater than October 1st, 1980 and less than or equal to the date of the submittal. (Per US EPA RCRAInfo Data Exchange Template v5.2, Edit Number CE4-050)
- A Violation entity record must include either a valid ScheduledRTCOn date value (#933) or ActualRTCOn date value (#934).
- If a Violation entity record includes a ScheduledRTCOn date value (#933), the date must be greater than or equal to the OccurredOn date value (#932).
- If a Violation entity record includes an ActualRTCOn date value (#934), the date must be greater than or equal to the entity's OccurredOn date value (#932) and less than or equal to the date of the submittal. (Per US EPA RCRAInfo Data Exchange Template v5.2, Edit Number CE4-060)
- If a Violation entity record includes an ActualRTCOn date value (#934), it must be accompanied with a valid ActualRTCQualifier value (#935). (Per US EPA RCRAInfo Data Exchange Template v5.2, Edit Number CE4-090)
- If a Violation entity record includes an ActualRTCQualifier value (#935), it must be accompanied with a valid ActualRTCOn date value (#934). (Per US EPA RCRAInfo Data Exchange Template v5.2, Edit Number CE4-080)
- An Enforcement entity record's OccurredOn date value (#915) must be greater than October 1st, 1980 and less than or equal to the date of the submittal.
- If an Enforcement entity record is linked to one or more Violation entity records through the use of EnforcementViolation entity records, the Enforcement entity record's OccurredOn date value (#915) must be greater than or equal to the most recent Violation entity record's OccurredOn date value (#932). (Per RCRAInfo Data Exchange Template v5.2, Edit Number CE8-050)

CME Entity Record Deletion Rules

- If a submittal sets the CMEDataStatus on an Inspection to *Deleted*, CERS will perform the following additional deletions automatically:
 - Violations linked to the Inspection will have their CMEDataStatus set to *Deleted*.
 - EnforcementViolations linked to the Inspection's Violations will have their CMEDataStatus set to *Deleted*. This will effectively remove the link between any Enforcements and the Inspection's

Violations. *This action will return a warning message in the XML advising the regulator to review their Enforcement data.*

- If a submittal sets the CMEDataStatus on an Violation to *Deleted*, CERS will perform the following additional deletions automatically:
 - EnforcementViolations linked to the Violation will have their CMEDataStatus set to *Deleted*. This will effectively remove the link between any Enforcements and the Violation. *This action will return a warning message in the XML advising the regulator to review their Enforcement data.*
- If a submittal sets the CMEDataStatus on an Enforcement to *Deleted*, CERS will perform the following additional deletions automatically:
 - EnforcementViolations linked to the Enforcement will have their CMEDataStatus set to *Deleted*.
- If a submittal restores a previously deleted CME entity record by setting the CMEDataStatus to *Approved*, the regulator is responsible for restoring any applicable CME entity child records which would have been automatically deleted by CERS.

Business Rule Implementation

Business rules are implemented in the CERS web portals or EDT transactions as *Guidance Messages*. A *Guidance Message* conveys that a data element, *Resource*, or entire *Submittal Element* has violated or triggered a warning/advisory for one of the CERS2 business rules. There are three types of *Guidance Messages*:

- **Required:** A data element and/or resource is **required**, and if not corrected, will prevent a user from submitting the submittal element.
- **Warning:** A data element and/or resource is **strongly recommended**, but a user can still submit the submittal element without addressing the Warning Guidance Message.
- **Advisory:** A data element and/or resource **might be applicable**, but a user can still submit the submittal element without addressing the Advisory Guidance Message.

Guidance Messages are displayed in various locations in the CERS web portals. In CERS EDT, Guidance Messages are emitted as part of the XML response to EDT transactions. In the CERS UI the guidance messages are displayed with color-coded icons to help show the relative severity of the rule (Required=**red**, Warning=**orange**, Advisory=**blue**).

Every CERS2 Business Rule is assigned a *Guidance Message* code with an associated text template. The text template has replacement tokens for data relevant to the business rule/guidance message. Some Guidance Message Templates are very general and are reused across many business rules (e.g., Required Field Missing Value), while other are specific to a particular rule (e.g., appropriate values for BOE Numbers).

The remainder of this document lists CERS2 business rules implemented via Guidance Messages, along with details about the *Resource* requirements for each submittal element. Each business rule is shown, along with the *Guidance Message Code/Template* the business rule is expressed as, and the *Severity* (i.e., Required, Warning, Advisory) associated with the Business Rule.

Guidance Message Templates

The table below defines all Guidance Messages emitted from CERS, with their codes and template messages. The {Text} markers are replacement tokens where the relevant data is replaced.

Code	Guidance Message Name	Template Message	Applies To
1001	Missing Form	Missing Form	All Facility Submittals Elements
1002	Required Field Missing Value	Required Field	Submittal/C ME Records
1003	Missing Document	Missing Document	All Facility Submittals Elements
1004	Missing Resource	Missing Resource	Submittal/C ME Records
1005	Document Source Exempt Requires Comment	Comments are required when indicating a facility is "Exempt" from this supplemental documentation.	All Facility Submittals Elements
1006	Document Source Provided In Other Submittal Element Requires Submittal Element	Indicate a different submittal element for this facility where this supplementation documentation can be found.	All Facility Submittals Elements
1007	Document Source Provided To Regulator Requires DateProvidedToRegulator	Document Source Provided to Regulator Requires Date Provided To Regulator be specified	All Facility Submittals Elements
1008	Document Source Public Internet Url Requires LinkUrl	A public URL/web address is required where the facility's supplemental documentation can be found on the Internet.	All Facility Submittals Elements
1009	Document Source Stored At Facility Requires CERSID	The CERS ID of the facility where this supplemental documentation is stored is required.	All Facility Submittals Elements
1010	Document Source Attachment Requires Document	At least one document must be uploaded to fulfill this supplemental documentation requirement.	All Facility Submittals Elements
1011	Missing HW Tank Closure Metadata	Missing HW Tank Closure metadata	HW Tank Closure Element
1012	Value Outside Acceptable Range	Value is outside of acceptable range of possible values	Submittal/C ME Records
1013	Entity Validation Error	Entity Validation Error: {0}	Submittal/C ME Records
1014	Resource Entity MinMax Range	At least {n} form(s) is required, and no more than {1} version of this document/form can be submitted.	All Facility Submittals Elements
1015	Resource Entity Minimum	At least {n} form(s) is required.	All Facility Submittals Elements
1016	Resource Entity	More ({ResourceName}) than the expected ({1}) amount of forms found.	All Facility

	Maximum		Submittals Elements
1017	Field Value Does Not Validate Against Regular Expression	{FieldName} is not in the expected format {ExpectedFormat}.	Submission/CME Records
1018	Minimally Required Field Does Not Have Value	The field "{FieldName}" MUST be completed before you submit this form.	Submission/CME Records
1019	Enforcement OccurredOn is Invalid	The "Occurred On" value is invalid.	Enforcement Records
1020	Minimally Required Field Invalid Value	The field "{FieldName}" contains an invalid value.	Submission/CME Records
1021	Facility Name Change	The Facility Name for CERSID: {CERSID} has changed from: '{OldFacilityName}' to '{NewFacilityName}'.	Facility Information
1022	Facility Address Change	The Address for CERSID: {CERSID} has changed from: '{OldAddress}' to '{NewAddress}'.	Facility Information
1023	Facility EPAID Change	The federal EPA ID Number for CERSID: {CERSID} has changed from: '{OldEPAID}' to '{NewEPAID}'.	Facility Information
1024	Hazardous Waste Generator Without EPA ID	No Federal or State EPA ID is on file in CERS for the Hazardous Waste Generator's facility (CERS ID: [{CERSID}]). Either a Federal EPA ID (if monthly RCRA waste generated exceeds threshold) or State EPA ID should be submitted in the Facility Information submittal element for all Hazard Waste Generators.	All Facility Submittals Elements
1025	RCRA Large Quantity Generator Without EPA ID	No federal EPA ID is on file in CERS for the RCRA Large Quantity Generator's facility (CERS ID: [{CERSID}]). An EPA ID should be submitted in the Facility Information submittal element.	All Facility Submittals Elements
1026	Remote Waste Consolidation Site Without EPA ID	No federal EPA ID is on file in CERS for the Remote Waste Consolidation Site's facility (CERS ID: [{CERSID}]). An EPA ID should be submitted in the Facility Information submittal element.	All Facility Submittals Elements
1027	HMI Value Outside Acceptable Range	Value "{ProvidedValue}" for field "{FieldName}", material "{MaterialName}", location "{LocationName}" is outside of acceptable range of possible values.	Inventory
1028	HMI Minimally Required Field Does Not Have Value	Field "{FieldName}" for material "{MaterialName}", location "{LocationName}" MUST be filled in before you submit your inventory.	Inventory
1029	HMI Field Value Does Not Validate Against Regular Expression	Value "{ProvidedValue}" for field "{FieldName}", material "{MaterialName}", location "{LocationName}" is not in expected format "{4}".	Inventory
1030	UST Tank Info Form Missing Monitoring Plan	UST Tank ID "{TankID}" does not have a corresponding UST Monitoring Plan.	UST
1031	UST Conditional Document Requirement - UST Certification of Financial Responsibility	Facilities with Petroleum UST Tanks should provide a "UST Certification of Financial Responsibility" document.	UST
1032	UST Conditional Document Requirement - UST	Facilities with a UST permit issued to a person other than the "Tank Operator" should provide a "UST Owner/Operator: Written Agreement" document.	UST

	Owner/Operator: Written Agreement		
1033	UST Conditional Document Requirement - UST Letter from the Chief Financial Officer	Facilities using Financial Responsibility Mechanisms "Self-Insured", "Guarantee", "State Fund and CFO Letter", "State Fund and CD" or "Local Government Mechanism" should provide a "UST Letter from the Chief Financial Officer" document.	UST
1034	UST Conditional Form Requirement - UST Certifications of Installation/Modification	Upon the completion of installation or upgrading of tanks and/or piping associated with a UST system, a "UST Certifications of Installation/Modification" form should be provided.	UST
1035	Missing Document Choice	{0} or {1} is required.	All Facility Submittals Elements
1036	Missing Tiered Permitting Unit Form Or Number Of CE-CL Units	A Tiered Permitting: Unit form must be completed or the number of CE-CL Units must be indicated on the Tiered Permitting: Facility Form	TP
1037	HMI Average Daily Amount Cannot Exceed Max Daily Amount	Average Daily Amount for material "{0}", location "{1}" should not exceed Maximum Daily Amount.	Inventory
1038	No Waste And Treatment Combination Value Provided	At least one Waste and Treatment Combination must be provided for Tiered Permitting Unit ID "{0}".	TP
1039	Missing Tiered Permitting Plot Plan	All Units (except CE-CL) should provide a plot plan or map detailing the location or locations of the unit or units at this facility. Clearly indicate the facility boundaries and major features.	TP
1040	Prior Enforcement History May Be Required	Prior Enforcement History information is required ONLY if this facility was the subject of any convictions, judgments, settlements or final orders. If applicable, attach a statement or summary listing the cases for the last three years.	TP
1041	Tank And Container Certifications May Be Required	PBR unit submittals should include tank and/or containment system certifications as specified in 22 CCR 67450.2(b)(3)(G).	TP
1042	Missing Notification Of Local Agencies	PBR unit submittals should include documentation of the other local agencies notified of your operation, i.e. sewer agency.	TP
1043	Notification Of Property Owner May Be Required	If a PBR unit's property owner is different than the facility operator, provide documentation showing the property owner was notified of the unit's operation.	TP
1044	Estimate of Closure Costs Document May Be Required	Provide a written estimate of closure costs for PBR and CA units (22 CCR §67450.13 and HSC §25245.4) unless closure cost estimates are no more than \$10,000 or the PBR unit operated less than thirty (30) days in any calendar year.	TP
1045	Financial Assurance Closure Mechanism Document May Be Required	PBR and CA unit submittals may need to provide additional documentation for certain closure mechanism types. For more information, contact your local regulator and/or see http://www.dtsc.ca.gov/HazardousWaste/Financial_Assurance_Responsibility.cfm	TP

1046	Financial Assurance Certification Required	PBR and CA unit submittals must provide a Financial Assurance Certification form.	TP
1047	Duplicate Tiered Permitting Unit ID Found	Duplicate Tiered Permitting Unit ID "{0}" Found	TP
1048	Duplicate UST Tank ID Found	Duplicate UST Tank ID "{0}" Found	UST
1049	Invalid Regulator Code	Regulator Code "{0}" matches no regulator in CERS.	All Facility Submittals Elements
1050	Invalid Violation Type Number	Violation Type ID "{0}" matches no entry in the CERS Violation Library.	Violation
1051	Matching Record Not Found For Regulator Key	No matching record found for {0} "{1}" for Regulator "{2}".	Violation
1052	RegulatorActionDateTime Must Be Later	Submitted RegulatorActionDateTime "{0}" must be later than existing record RegulatorActionDateTime "{1}".	CME Records
1053	Regulator Not Authorized To Submit Data	Regulator "{0}" is not authorized to submit {1} data for CERS ID "{2}".	Submittal/CME Records
1054	Invalid CERS ID	CERS ID "{0}" does not exist in CERS.	Submittal/CME Records
1055	Date Must Occur After Specified Date	{0} Date "{1}" must occur after {2}.	All Facility Submittals Elements
1056	Date Must Not Be In The Future	{0} Date "{1}" must not be in the future.	All Facility Submittals Elements
1057	Violation Must Include Scheduled RTC or Actual RTC Date	Violation must include either a Scheduled RTC Date or Actual RTC Date.	Violation Records
1058	Violation Scheduled RTC Date Must Occur On or After Violation Date	Violation Scheduled RTC Date "{0}" must be greater than or equal to the Violation Date "{1}".	Violation Records
1059	Violation Actual RTC Date Must Occur On or After Violation Date	Violation Actual RTC Date "{0}" must be greater than or equal to the Violation Date "{1}".	Violation Records
1060	Violation Actual RTC Qualifier Must Accompany Actual RTC Date	Violation Actual RTC Date "{0}" must be accompanied with an Actual RTC Qualifier.	Violation Records
1061	Violation Actual RTC Date Must Accompany Actual RTC Qualifier	Violation Actual RTC Qualifier "{0}" must be accompanied with an Actual RTC Date.	Violation Records
1062	Violations Must Occur On Or Before Linked Enforcement	Violations linked to an Enforcement Action must have a Violation Date less than or equal to the Enforcement Date.	Violation Records

	Date		
1063	Approved Child Records Must Not Be Linked to Deleted Parent Records	Approved {Inspection/Enforcement/Violation} must not be linked to Deleted { Inspection/Enforcement/Violation }.	All CME Records
1064	CERS ID for Inspection and Linked Enforcement Action Must Match	CERS ID mismatch. Inspection CERS ID must match linked Enforcement Action CERS ID.	Enforcement Records
1065	Previously Deleted Record Set to Approved	Status of previously "Deleted" record requested to be "Approved". Be sure to update any "Deleted" child records (if any) as appropriate.	All CME Records
1066	XML Schema Validation Error	XML Schema Validation Error: {Error}	Submission/CME EDT
1067	RCRA LQG Inspected Facility Missing EPA ID	RCRA LQG Inspected Facility (CERS ID: [{CERSID}]) has no EPA ID on file in CERS. An EPA ID must be submitted in the Facility Information submittal element before RCRA LQG Inspections can be submitted.	Inspection Records
1068	User Not Authorized To Submit Data On Behalf Of Regulator	User account is not authorized to submit {DataType} data on behalf of "{RegulatorName}".	Submission/CME Records
1069	EHS Materials Should Be Reported In Pounds	EHS material "{MaterialName}", location "{ChemicalLocation}" should be reported in pounds.	Inventory
1070	Facility ID Change	The Facility ID for CERSID: {CERSID} has changed from: '{X}' to '{Y}'.	Facility Information
1071	HWTP Financial Assurance Estimate Cost	Cannot mark less than or equal to {X} if the Estimated Amount is greater than {Y}	All Facility Submittals Elements
1072	Invalid BOE Number	The generic BOE Number "44000000" is only valid if the Tank Contents for ALL tanks are "Other Non-Petroleum". You must provide a valid BOE Number if any tanks contain petroleum products.	Facility Information
1073	Date Must Be Between Date Range	{FieldName} value "{ProvidedValue}" must be between {Date1} and {Date2}	Facility Information
1074	Regulator Facility Submittal Submittal Element NextDueDate must be greater or Equal to SubmittedOn. (RFS EDT Endpoint)	The NextDueDate value {NextDueDate} must be greater or equal to SubmittedOn {SubmittedOn} for Submittal Element {SubmittalElement}	All Facility Submittal Elements
1075	NextDueDate Out of Range (RFC and RFM EDT Endpoints)	The NextDueDate value {NextDueDate} must be between {CurrentDate – 2 Years} and {CurrentDate + 10 Years} for Submittal Element {SubmittalElement}	All Facility Submittal Elements

Facility Submittal Business Rules

The following business rules apply to an entire *Facility Submittal*, which is composed of at least a *Facility Information* Submittal Element and optionally a single instance of each of the other Submittal Elements.

Facility Information

A **Facility Information Submittal Element** at a minimum must be supplied with a *Facility Submittal*. This *Submittal Element* is composed of the following resources.

Resource	Required	Depends On Resource	Allow Multiples	Resource Type
Business Activities	Yes		No	Data Elements
Business Owner/Operator Identification	Yes		No	Data Elements
Facility Information Locally-Required Document	No		No	Document
Facility Information Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
FI-01	Business Activities	Resource missing	1001	Required
FI-02	Business Owner/Operator Identification	Resource missing	1001	Required

Resource Related Business Rules

Business Activities Resource

The following table identifies conditions that would result in some sort of guidance for the “Business Activities” resource.

ID	Field(s) + ID	Condition	Guidance Code	Severity
FI-03	BusinessName (3)	BusinessName is null or empty	1018	Required
FI-04	HMOnSite (4)	HMOnSite is null or empty	1018	Required
FI-05	HMOnSite (4)	HMOnSite is outside of acceptable range of possible values (Y,N)	1012	Required
FI-06	CalARPRegulatedSubstances (4a)	CalARPRegulatedSubstances is null or empty	1018	Required
FI-07	CalARPRegulatedSubstances (4a)	CalARPRegulatedSubstances is outside of acceptable range of possible values (Y,N)	1012	Required
FI-08	OwnOrOperateUST (5)	OwnOrOperateUST is null or empty	1018	Required
FI-09	OwnOrOperateUST (5)	OwnOrOperateUST is outside of acceptable range of possible values (Y,N)	1012	Required
FI-10	OwnOrOperateAPST (8)	OwnOrOperateAPST is null or empty	1018	Required

FI-11	OwnOrOperateAPST (8)	OwnOrOperateAPST is outside of acceptable range of possible values (Y,N)	1012	Required
FI-12	HWGenerator (9)	HWGenerator is null or empty	1018	Required
FI-13	HWGenerator (9)	HWGenerator is outside of acceptable range of possible values (Y,N)	1012	Required
FI-14	Recycle (10)	Recycle is null or empty	1018	Required
FI-15	Recycle (10)	Recycle is outside of acceptable range of possible values (Y,N)	1012	Required
FI-16	OnsiteHWTreatment (11)	OnsiteHWTreatment is null or empty	1018	Required
FI-17	OnsiteHWTreatment (11)	OnsiteHWTreatment is outside of acceptable range of possible values (Y,N)	1012	Required
FI-18	FinancialAssurance (12)	FinancialAssurance is null or empty	1018	Required
FI-19	FinancialAssurance (12)	FinancialAssurance is outside of acceptable range of possible values (Y,N)	1012	Required
FI-20	RWConsolidationSite (13)	RWConsolidationSite is null or empty	1018	Required
FI-21	RWConsolidationSite (13)	RWConsolidationSite is outside of acceptable range of possible values (Y,N)	1012	Required
FI-22	HWTankClosure (14)	HWTankClosure is null or empty	1018	Required
FI-23	HWTankClosure (14)	HWTankClosure is outside of acceptable range of possible values (Y,N)	1012	Required
FI-23	RCRALargeQuantityGenerator (14a)	RCRALargeQuantityGenerator is null or empty	1018	Required
FI-24	RCRALargeQuantityGenerator (14a)	RCRALargeQuantityGenerator is outside of acceptable range of possible values (Y,N)	1012	Required
FI-25	HHWCollection (14b)	HHWCollection is null or empty	1018	Required
FI-26	HHWCollection (14b)	HHWCollection is outside of acceptable range of possible values (Y,N)	1012	Required
FI-27	SiteAddress (103)	SiteAddress is null or empty	1018	Required
FI-28	City (104)	City is null or empty	1018	Required
FI-29	ZipCode (105)	ZipCode is null or empty	1018	Required
FI-30	ZipCode (105)	ZipCode does not conform to the format '5 Digit ZIP Code or 5 Digit ZIP Code, a dash, and 4 digits (ZIP+4). First digit must be a 9.'	1017	Required
FI-31	CountyID (105a)	CountyID is null or empty	1018	Required

FI-32	CountyID (105a)	CountyID is outside of acceptable range of possible values (1,2,3,4,5,6,7,8,9,10,11,12,13,14,15,16,17,18,19,20,21,22,23,24,25,26,27,28,29,30,31,32,33,34,35,36,37,38,39,40,41,42,43,44,45,46,47,48,49,50,51,52,53,54,55,56,57,58)	1012	Required
FI-33	BusinessName (3)	Facility's Name Changed	1021	Warning
FI-34	SiteAddress (103), City (104), ZipCode (105)	Facility's Address Changed	1022	Warning
FI-35	EPAID (2)	EPAID Has Changed	1023	Warning
FI-36	HWGenerator (9), EPAID (2)	HWGenerator value is 'Y' but EPAID is not provided	1024	Warning
FI-37	RCRALargeQuantityGenerator (14a), EPAID (2)	RCRALargeQuantityGenerator value is 'Y' but EPAID is not provided	1025	Warning
FI-38	ZipCode	ZipCode must be a 5 Digit ZIP Code or 5 Digit ZIP Code, a dash, and 4 digits (ZIP+4). First digit must be a 9.	1017	Required

Business Owner/Operator Identification Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
FI-39	BusinessName (3)	BusinessName is null or empty	1018	Required
FI-40	Phone (102)	Phone is null or empty	1018	Required
FI-41	DunAndBradstreet (106)	DunAndBradstreet does not conform to the format 'Nine digit DUNS number with no dashes, e.g., 123456789'	1017	Required
FI-42	SICCode (107)	SICCode does not conform to the format 'Standard Industrial Classification (SIC) Code 4 digit number'	1017	Required
FI-43	MailingAddress (108a)	MailingAddress is null or empty	1018	Required
FI-44	MailingAddressCity (108b)	MailingAddressCity is null or empty	1018	Required
FI-45	OperatorName (109)	OperatorName is null or empty	1018	Required
FI-46	OperatorPhone (110)	OperatorPhone is null or empty	1018	Required
FI-47	OwnerName (111)	OwnerName is null or empty	1018	Required
FI-48	OwnerPhone (112)	OwnerPhone is null or empty	1018	Required
FI-49	OwnerMailAddress (113)	OwnerMailAddress is null or empty	1018	Required
FI-50	OwnerCity (114)	OwnerCity is null or empty	1018	Required
FI-51	EContactName (117)	EContactName is null or empty	1018	Required
FI-52	EContactPhone (118)	EContactPhone is null or empty	1018	Required

FI-53	EContactMailingAddress (119)	EContactMailingAddress is null or empty	1018	Required
FI-54	EContactEmailAddress (119a)	EContactEmailAddress does not conform to the format 'Valid email address'	1017	Required
FI-55	EContactCity (120)	EContactCity is null or empty	1018	Required
FI-56	PECName (123)	PECName is null or empty	1018	Required
FI-57	PECTitle (124)	PECTitle is null or empty	1018	Required
FI-59	PECBusinessPhone (125)	PECBusinessPhone is null or empty	1018	Required
FI-60	PEC24HrPhone (126)	PEC24HrPhone is null or empty	1018	Required
FI-61	BillingContactName (140)	BillingContactName is null or empty	1018	Required
FI-62	BillingContactEmail (142)	BillingContactEmail does is not valid format	1017	Required
FI-63	BillingAddress (143)	BillingAddress is null or empty	1018	Required
FI-64	BillingAddressCity (144)	BillingAddressCity is null or empty	1018	Required
FI-65	BillingContactPhone (141)	BillingContactPhone is null or empty	1018	Required
FI-66	FacilityID	If the FacilityID on the Owner/Operator resource differs from the Facilitie's currently accepted FacilityID in CERS	1070	Warning
FI-67	BeginningDate, EndingDate	BeginningDate and EndingDate fields should be within 2 years prior and after the current date.	1073	Required

Hazardous Materials Inventory

A **Hazardous Materials Inventory Submittal Element** is composed of the following resources.

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Hazardous Material Inventory	Yes		No [the "Hazardous Materials Inventory" resource is the container for one or more chemical inventory items]	Data Elements
Annotated Site Map (Official Use Only)	Yes		No	Document
Hazardous Material Inventory Locally-Required Document	No		No	Document
Hazardous Materials Inventory Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be "incomplete" with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
HMI-01	Hazardous Materials Inventory	Resource missing	1001	Required

HMI-02	Site Map (Official Use Only)	Resource missing	1001	Required
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*Please note that the "Hazardous Materials Inventory" resource is a container for one or more chemical inventory items for the Submittal Element.

Resource Related Business Rules

Hazardous Materials Inventory Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
HMI-03	BusinessName (3)	BusinessName is null or empty	1028	Required
HMI-04	CommonName (207)	CommonName is null or empty	1028	Required
HMI-05	EHS (208)	EHS is null or empty	1028	Required
HMI-06	EHS (208)	EHS is outside of acceptable range of possible values (Y,N)	1027	Required
HMI-07	PhysicalState (214)	PhysicalState is null or empty	1028	Required
HMI-08	PhysicalState (214)	PhysicalState is outside of acceptable range of possible values (a,b,c)	1027	Required
HMI-09	MaximumDailyAmount (218)	MaximumDailyAmount is null or empty	1028	Required
HMI-10	Units (221)	Units is null or empty	1028	Required
HMI-11	Units (221)	Units is outside of acceptable range of possible values (a,b,c,d)	1027	Required
HMI-12	Storage Container [Select Option] (223)	Storage Container [Select Option] is null or empty	1028	Required
HMI-13	Storage Container [Select Option] (223)	Storage Container [Select Option] is outside of acceptable range of possible values (Y,N)	1027	Required

Site Map (Official Use Only) Resource

This resource is Supplemental Documentation, intended to be a graphical representation of where each of the chemicals are stored. Other than its presence being required, no other business rules apply.

Emergency Response and Training Plans

The **Emergency Response and Training Plans Submittal Element** is composed of the following resources. Please note, this Submittal Element contains only Supplemental Documentation and does not contain any data element based resources.

Resource	Required	Depends On Resource	Allows Multiples
Emergency Response/Contingency Plan	Yes		No
Employee Training Plan	Yes		No
Emergency Response and Training Plans Locally-Required Document	No		No

Emergency Response and Training Plans Miscellaneous State-Required Documents	No		No
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The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
ERPT-01	Emergency Response/Contingency Plan	Resource missing	1001	Required
ERTP-02	Employee Training Plan	Resource missing	1001	Required

Underground Storage Tanks

The **Underground Storage Tanks Submittal Element** is composed of the following resources.

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
UST Operating Permit Application: Facility Information	Yes		No	Data Elements
UST Operating Permit Application: Tank Information/Monitoring Plan	Yes	UST Operating Permit Application: Facility Information	Yes [One Tank per resource]	Data Elements
UST Certification of Installation/Modification	No	UST Operating Permit Application: Facility Information	No	Data Elements
UST Monitoring Plan	Yes	UST Operating Permit Application: Tank Information/Monitoring Plan	Yes [One UST Monitoring Plan per UST Operating Permit Application: Tank Information/Monitoring Plan]	Data Elements
UST Monitoring Site Plan	No		No	Document
UST Certification of Financial Responsibility	No		No	Document
UST Response Plan	No		No	Document
UST Owner and UST Operator: Written Agreement	No		No	Document
UST Letter from the Chief Financial Officer	No		No	Document
Owner Statement of Designated UST Operator Compliance	No		No	Document
UST Locally-Required Document	No		No	Document
UST Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
UST-001	UST Operating Permit Application: Facility Information	Resource missing	1001	Required
UST-002	UST Operating Permit Application: Tank Information/Monitoring Plan	Resource missing	1001	Required
UST-003	UST Operating Permit Application: Tank Information/Monitoring Plan	If more than one resource with the same <i>TankID</i> exists	1048	Warning
UST-004	UST Monitoring Plan	Resource missing	1001	Required
UST-005	UST Monitoring Site Plan	Resource missing	1001	Warning
UST-006	UST Response Plan	Resource missing	1001	Warning
UST-007	UST Certification of Installation/Modification	If there are tank and/or monitoring plan differences between the last submittal and there are no current UST Certification of Installation/Modification resources.	1034	Advisory
UST-008	Owner Statement of Designated UST Operator Compliance	Document missing	1003	Advisory
UST-009	UST Certification of Financial Responsibility	If any of the UST Operating Permit Application: Tank Information/Monitoring Plan field <i>TankContents (440)</i> fields contain a petroleum product (1a, 1b, 1c, 03, 05, 06, 08, 09)	1031	Advisory
UST-010	UST Owner and UST Operator: Written Agreement	If UST Operating Permit Application: Facility Information resource field <i>PermitHolderInfo (423)</i> contains a value other than “4”.	1032	Advisory
UST-011	UST Letter from the Chief Financial Officer	If at least one of the following UST Operating Permit Application: Facility Information resource fields <i>FRCodeStateFundCFOLetter</i> , <i>FRCodeStateFundCD</i> , <i>FRCodeSelfInsured</i> , <i>FRCodeGuarantee</i> , <i>FRCodeLGMEchanism</i> equal “Y”	1033	Advisory

Resource Related Business Rules

UST Operating Permit Application: Facility Information Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
UST-012	BusinessName (3)	BusinessName is null or empty	1018	Required
UST-013	SiteAddress (103)	SiteAddress is null or empty	1018	Required
UST-014	City (104)	City is null or empty	1018	Required
UST-015	TypeOfAction (400)	TypeOfAction is null or empty	1018	Required
UST-016	TypeOfAction (400)	TypeOfAction is outside of acceptable range of possible values (1,3,5,6,7,9,1,3,6,7,9)	1012	Required
UST-017	FacilityType (403)	FacilityType is null or empty	1018	Required
UST-018	FacilityType (403)	FacilityType is outside of acceptable range of possible values (1,2,3,4,6)	1012	Required
UST-019	IndianOrTrustLand (405)	IndianOrTrustLand is null or empty	1018	Required
UST-020	IndianOrTrustLand (405)	IndianOrTrustLand is outside of acceptable range of possible values (Y,N)	1012	Required
UST-021	POName (407)	POName is null or empty	1018	Required
UST-022	POPhone (408)	POPhone is null or empty	1018	Required
UST-023	POMailingAddress (409)	POMailingAddress is null or empty	1018	Required
UST-024	POCity (410)	POCity is null or empty	1018	Required
UST-025	TOwnerName (414)	TOwnerName is null or empty	1018	Required
UST-026	TOwnerPhone (415)	TOwnerPhone is null or empty	1018	Required
UST-027	TOwnerMailingAddress (416)	TOwnerMailingAddress is null or empty	1018	Required
UST-028	TOwnerCity (417)	TOwnerCity is null or empty	1018	Required
UST-029	TOwnerType (420)	TOwnerType is null or empty	1018	Required
UST-030	TOwnerType (420)	TOwnerType is outside of acceptable range of possible values (4,5,6,7,8)	1012	Required
UST-031	BOENumber (421)	BOENumber is null or empty	1018	Required
UST-032	BOENumber (421)	BOENumber does not conform to the format 'BOE 8-digit Number, First Two Digits = 44'	1017	Required
UST-033	PermitHolderInfo (423)	PermitHolderInfo is null or empty	1018	Required
UST-034	PermitHolderInfo (423)	PermitHolderInfo is outside of acceptable range of possible values (1,3,4,5,3,4)	1012	Required
UST-035	TankOperatorName (428-1)	TankOperatorName is null or empty	1018	Required
UST-036	TankOperatorPhone (428-2)	TankOperatorPhone is null or empty	1018	Required
UST-037	TankOperatorMailingAddress (428-3)	TankOperatorMailingAddress is null or empty	1018	Required
UST-038	TankOperatorCity (428-4)	TankOperatorCity is null or empty	1018	Required
UST-039	BOENumber (421)	If BOENumber is equal to "44000000"	1072	Required

UST Operating Permit Application: Tank Information/Monitoring Plan Resource

ID	Field(s)	Condition	Guidance Code	Severity
UST-040	BusinessName (3)	BusinessName is null or empty	1018	Required
UST-041	SiteAddress (103)	SiteAddress is null or empty	1018	Required
UST-042	City (104)	City is null or empty	1018	Required
UST-043	TypeOfAction (430)	TypeOfAction is null or empty	1018	Required
UST-044	TypeOfAction (430)	TypeOfAction is outside of acceptable range of possible values (1,3,5,6,7,8,1,3,6,7,8)	1012	Required
UST-045	TankIDNumber (432)	TankIDNumber is null or empty	1018	Required
UST-046	TankConfiguration (434)	TankConfiguration is null or empty	1018	Required
UST-047	TankConfiguration (434)	TankConfiguration is outside of acceptable range of possible values (1,2)	1012	Required
UST-048	TankCapacityInGallons (436)	TankCapacityInGallons is null or empty	1018	Required
UST-049	NumberOfCompartments (437)	NumberOfCompartments is null or empty	1018	Required
UST-050	TankUse (439)	TankUse is null or empty	1018	Required
UST-051	TankUse (439)	TankUse is outside of acceptable range of possible values (1a,1b,1c,03,04,05,06,95,99)	1012	Required
UST-052	TankContents (440)	TankContents is null or empty	1018	Required
UST-053	TankContents (440)	TankContents is outside of acceptable range of possible values (1a,1b,1c,03,05,06,07,08,09,10,11)	1012	Required
UST-054	TypeOfTank (443)	TypeOfTank is null or empty	1018	Required
UST-055	TypeOfTank (443)	TypeOfTank is outside of acceptable range of possible values (01,02,95,01,02,95)	1012	Required
UST-056	TankPCCConstruction (444)	TankPCCConstruction is null or empty	1018	Required
UST-057	TankPCCConstruction (444)	TankPCCConstruction is outside of acceptable range of possible values (01,03,06,07,95,99)	1012	Required
UST-058	TankSCConstruction (445)	TankSCConstruction is null or empty	1018	Required
UST-059	TankSCConstruction (445)	TankSCConstruction is outside of acceptable range of possible values (01,03,06,07,90,95,99)	1012	Required
UST-060	PipingSystemType (458)	PipingSystemType is null or empty	1018	Required
UST-061	PipingSystemType (458)	PipingSystemType is outside of acceptable range of possible values (01,02,03,04)	1012	Required
UST-062	PipingConstruction (460)	PipingConstruction is null or empty	1018	Required

UST-063	PipingConstruction (460)	PipingConstruction is outside of acceptable range of possible values (1,2,99)	1012	Required
UST-064	UDCConstructionType (469a)	UDCConstructionType is null or empty	1018	Required
UST-065	UDCConstructionType (469a)	UDCConstructionType is outside of acceptable range of possible values (01,02,03)	1012	Required

UST Monitoring Plan Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
UST-066	BusinessName (3)	BusinessName is null or empty	1018	Required
UST-067	SiteAddress (103)	SiteAddress is null or empty	1018	Required
UST-068	City (104)	City is null or empty	1018	Required
UST-069	MonitoringEquipmentServiced (490-3a)	MonitoringEquipmentServiced is null or empty	1018	Required
UST-070	MonitoringEquipmentServiced (490-3a)	MonitoringEquipmentServiced is outside of acceptable range of possible values (01,99)	1012	Required
UST-071	SitePlotPlanSubmitted (490-4)	SitePlotPlanSubmitted is null or empty	1018	Required
UST-072	SitePlotPlanSubmitted (490-4)	SitePlotPlanSubmitted is outside of acceptable range of possible values (1,2)	1012	Required
UST-073	UDCMonitoring (490-54a)	UDCMonitoring is null or empty	1018	Required
UST-074	UDCMonitoring (490-54a)	UDCMonitoring is outside of acceptable range of possible values (1,2,3,4,99)	1012	Required
UST-075	FirstNameResponsibility (490-72)	FirstNameResponsibility is null or empty	1018	Required
UST-076	FirstTitleResponsibility (490-73)	FirstTitleResponsibility is null or empty	1018	Required

UST Certification of Installation/Modification Resource

ID	Field(s) + CDR Number	Condition	Guidance Code	Severity
UST-077	BusinessName (3)	BusinessName is null or empty	1018	Required
UST-078	SiteAddress (103)	SiteAddress is null or empty	1018	Required
UST-079	City (104)	City is null or empty	1018	Required
UST-080	NameContractorInstallation (482a)	NameContractorInstallation is null or empty	1018	Required
UST-081	DescriptionOfWork (483c)	DescriptionOfWork is null or empty	1018	Required

UST-082	UST Certification Project Type [Select Option] (483a)	UST Certification Project Type [Select Option] is null or empty	1018	Required
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Onsite Hazardous Waste Treatment (Tiered Permitting)

The **Onsite Hazardous Waste Treatment** Submittal *Element* is composed of the following resources.

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Onsite Hazardous Waste Treatment Notification: Facility	Yes		No	Data Elements
Onsite Hazardous Waste Treatment Notification: Unit	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Data Elements
Onsite Hazardous Waste Treatment: Plot Plan/Map	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Tiered Permitting Unit: Prior Enforcement History	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Tiered Permitting Unit: Tank and Container Certification	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Tiered Permitting Unit: Notification of Local Agency or Agencies	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Tiered Permitting Unit: Notification of Property Owner	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Tiered Permitting Unit: Certification of Financial Assurance	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Data Elements
Onsite Hazardous Waste Treatment: Written Estimate of Closure Costs	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Onsite Hazardous Waste Treatment: Financial Assurance Closure Mechanism	No	Onsite Hazardous Waste Treatment Notification: Facility	No	Document
Onsite Hazardous Waste Treatment Notification Locally-Required Document	No		No	Document
Tiered Permitting Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
TP-01	Onsite Hazardous Waste Treatment Notification: Facility	Resource missing	1001	Required
TP-02	Onsite Hazardous Waste Treatment: Plot Plan/Map	If the number of Onsite Hazardous Waste Treatment Notification: Unit resources is greater than 0	1039	Warning
TP-03	Tiered Permitting Unit: Certification of Financial Assurance	If the number of Onsite Hazardous Waste Treatment Notification: Unit with UnitType equaling “d” or “c”, is greater than 0	1046	Required
TP-04	Tiered Permitting Unit: Prior Enforcement History	If the number of Onsite Hazardous Waste Treatment Notification: Unit with UnitType equaling “d” or “c”, is greater than 0	1040	Advisory
TP-05	Tiered Permitting Unit: Notification of Local Agency or Agencies	If the number of Onsite Hazardous Waste Treatment Notification: Unit with UnitType equaling “d” is greater than 0	1042	Warning
TP-06	Tiered Permitting Unit: Tank and Container Certification	If the number of Onsite Hazardous Waste Treatment Notification: Unit with UnitType equaling “d” is greater than 0	1041	Advisory
TP-07	Tiered Permitting Unit: Notification of Property Owner	If the number of Onsite Hazardous Waste Treatment Notification: Unit with UnitType equaling “d” is greater than 0	1043	Advisory
TP-08	Onsite Hazardous Waste Treatment: Written Estimate of Closure Costs	If Tiered Permitting Unit: Certification of Financial Assurance is present	1044	Warning
TP-09	Onsite Hazardous Waste Treatment: Financial Assurance Closure Mechanism	If Tiered Permitting Unit: Certification of Financial Assurance is present	1045	Warning

Resource Related Business Rules

Onsite Hazardous Waste Treatment Notification: Facility Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
TP-10	BusinessName (3)	BusinessName is null or empty	1018	Required
TP-11	NumberOfUnitsCESQT (602a)	NumberOfUnitsCESQT does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-12	NumberOfUnitsCESW (602b)	NumberOfUnitsCESW does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required

TP-13	NumberOfUnitsCA (602c)	NumberOfUnitsCA does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-14	NumberOfUnitsPBR (602d)	NumberOfUnitsPBR does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-15	NumberOfUnitsCEL (602e)	NumberOfUnitsCEL does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-16	NumberOfUnitsCECL (602f)	NumberOfUnitsCECL does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-17	NumberOfUnitsTotal (602g)	NumberOfUnitsTotal does not conform to the format 'Maximum 3 digit number (integer)'	1017	Required
TP-18	NumberOfUnitsCECL	If NumberOfUnitsCECL has a value and it's less or equal to 0 and no unit's have been defined	1036	Required

Onsite Hazardous Waste Treatment Notification: Unit Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
TP-19	BusinessName (3)	BusinessName is null or empty	1018	Required
TP-20	UnitID (606)	UnitID is null or empty	1018	Required
TP-21	UnitType (607)	UnitType is null or empty	1018	Required
TP-22	UnitType (607)	UnitType is outside of acceptable range of possible values (a,b,c,d,e)	1012	Required
TP-23	NumberOfTanks (608)	NumberOfTanks is null or empty	1018	Required
TP-24	NumberOfContainers (609)	NumberOfContainers is null or empty	1018	Required
TP-25	MonthlyTreatmentVolume (611)	MonthlyTreatmentVolume is null or empty	1018	Required
TP-26	UnitOfMeasure (612)	UnitOfMeasure is null or empty	1018	Required
TP-27	UnitOfMeasure (612)	UnitOfMeasure is outside of acceptable range of possible values (a,b)	1012	Required
TP-28	TreatmentProcessDescription (614)	TreatmentProcessDescription is null or empty	1018	Required
TP-29	PBR Unit Waste and Treatment Combinations (630)	If UnitType is "d" and PBR Unit Waste and Treatment Combinations is null or empty	1018	Required
TP-30	CA Unit Waste and Treatment Process Combinations (629)	If UnitType is "c" and CA Unit Waste and Treatment Process Combinations is null or empty	1018	Required
TP-31	CEL Unit Waste and Treatment Process Combinations Page (631)	If UnitType is "e" and CEL Unit Waste and Treatment Process Combinations Page is null or empty	1018	Required
TP-32	CESW Unit Waste and Treatment Process Combinations (628)	If UnitType is "b" and CESW Unit Waste and Treatment Process Combinations is null or empty	1018	Required
TP-33	CESQT Unit Waste and Treatment Process Combinations (627)	If UnitType is "a" and CESQT Unit Waste and Treatment Process Combinations is null or empty	1018	Required

TP-34	[Dependent on UnitType (607) value and appropriate fields for that UnitType.	If Unit Waste and Treatment Process Combinations are invalid	1038	Required
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Tiered Permitting Unit: Certification of Financial Assurance Resource

ID	Condition	Field(s) + ID	Guidance Code	Severity
TP-35	BusinessName is null or empty	BusinessName (3)	1018	Required
TP-36	TypeOfOperation is null or empty	TypeOfOperation (701)	1018	Required
TP-37	TypeOfOperation is outside of acceptable range of possible values (a,b,c)	TypeOfOperation (701)	1012	Required
TP-38	EstimatedClosureCost is null or empty	EstimatedClosureCost (702)	1018	Required

Recyclable Materials Report

The **Recyclable Materials Report** Submittal *Element* is composed of the following resources. *This Submittal Element contains only supplemental documentation and does not contain any data element based resources.*

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Recyclable Materials Report Documentation	No		No	Document
Recyclable Materials Report Locally-Required Document	No		No	Document
Recyclable Materials Report Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
RM-01	Recyclable Materials Report Documentation	Resource missing	1001	Required

Remote Waste Consolidation Site Annual Notification Submittal Element

The **Remote Waste Consolidation Site Annual Notification** Submittal *Element* is composed of the following resources.

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Remote Waste Consolidation Site Annual Notification	Yes		Yes	Data Elements
Remote Waste Consolidation Miscellaneous State-Required	No		No	Document

Documents				
Remote Waste Colidation Annual Notification Locally-Required Document	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
RW-01	Remote Waste Consolidation Site Annual Notification	Resource missing	1001	Required

Resource Related Business Rules

Remote Waste Consolidation Site Annual Notification Resource

ID	Field(s) + ID	Condition	Guidance Code	Severity
RW-02	BusinessName (3)	BusinessName is null or empty	1018	Required
RW-03	Address (721)	Address is null or empty	1018	Required
RW-04	City (722)	City is null or empty	1018	Required
RW-05	DescriptionOfRemoteConsolidation (724)	DescriptionOfRemoteConsolidation is null or empty	1018	Required
RW-06	DescriptionOfWaste (725)	DescriptionOfWaste is null or empty	1018	Required
RW-07	EstimatedMonthlyVolumeConsolidated (727)	EstimatedMonthlyVolumeConsolidated is null or empty	1018	Required
RW-08	Units (728)	Units is null or empty	1018	Required
RW-09	Units (728)	Units is outside of acceptable range of possible values (a,b)	1012	Required

Hazardous Waste Tank Closure Certification

The **Hazardous Waste Tank Closure Certification** Submittal *Element* is composed of the following resources. *This Submittal Element contains only supplemental documentation and does not contain any data element based resources.*

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Hazardous Waste Tank Closure Certification Miscellaneous State-Required Documents	No		Yes	Document
Hazardous Waste Tank Closure Certificate	No		No	Document
Hazardous Waste Tank Closure Certification Locally-Required Document	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Severity
HW-01	Hazardous Waste Tank Closure Certificate	Resource missing	1001	Required

Aboveground Petroleum Storage Act

The **Aboveground Petroleum Storage Act** Submittal *Element* is composed of the following resources. *This Submittal Element contains only supplemental documentation and does not contain any data element based resources.*

Resource	Required	Depends On Resource	Allows Multiples	Resource Type
Aboveground Petroleum Storage Act Documentation	No		No	Document
Aboveground Petroleum Storage Act Locally-Required Document	No		No	Document
Aboveground Petroleum Storage Act Miscellaneous State-Required Documents	No		No	Document

The following table identifies conditions that would cause the submittal element to be “incomplete” with regard to the resources.

ID	Resource	Condition	Guidance Code	Guidance Level
APS-01	Aboveground Petroleum Storage Act Documentation	Resource missing	1001	Required

Appendix A: CERS2 Submittal Elements

The table below shows the *Submittal Elements* used in CERS2. Each *Submittal Element* can be submitted by organizations and reviewed by regulator independently of each other, except for the *Facility Information Submittal Element*, which must accompany all other submittal elements. To ensure emergency responders have current information and ensure the overall smooth operation of statewide electronic reporting, regulators will need to review *Facility Information Submittal Element* within 15 days of being submitted and set their status to “Accepted” or “Not Accepted” (or “Not Applicable” in rare circumstances).

CERS2 Submittal Element	UP Program Element
Facility Information [always managed by the CUPA] <ul style="list-style-type: none"> • Business Activities (form) • Owner/Operator Identification (form) • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	Business Plan
Hazardous Materials Inventory <ul style="list-style-type: none"> • Inventory: Consists of 1+ Chemical Description forms • Site Map (Official Use Only) • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	Business Plan
Emergency Response & Training Plans <ul style="list-style-type: none"> • Emergency Response/Contingency Plan • Employee Training Plan • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	Business Plan
Underground Storage Tanks <ul style="list-style-type: none"> • UST Operating Permit Application: Facility Information (form) • UST Operating Permit Application: Tank Information (form) • UST Monitoring Plan (form) • UST Certification of Installation/Modification (form) • UST Monitoring Site Plan • UST Certification of Financial Responsibility • UST Response Plan • UST Owner and UST Operator: Written Agreement • UST Letter from the Chief Financial Officer • Owner Statement of Designated UST Operator Compliance • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	UST

<p>Onsite Hazardous Waste Treatment Notification</p> <ul style="list-style-type: none"> • Onsite Hazardous Waste Treatment Notification: Facility (form) • Onsite Hazardous Waste Treatment Notification: Unit (form) • Tiered Permitting Unit: Permit By Rule (PBR) (form) • Tiered Permitting Unit: Conditionally Authorized (CA) (form) • Tiered Permitting Unit: Conditionally Exempt-Specified Waste Streams (CESW) (form) • Tiered Permitting Unit: Conditionally Exempt-Small Quantity Treatment (CESQT) (form) • Tiered Permitting Unit: Conditionally Exempt - Limited (CEL) (form) • Tiered Permitting Unit: Prior Enforcement History • Tiered Permitting Unit: Tank and Container Certification • Tiered Permitting Unit: Notification of Local Agency or Agencies • Tiered Permitting Unit: Notification of Property Owner • Certification of Financial Assurance (form) • Onsite Hazardous Waste Treatment: Written Estimate of Closure Costs • Financial Assurance Closure Mechanism • Onsite Hazardous Waste Treatment Plot Plan/Map • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	<p>Hazardous Waste</p>
<p>Recyclable Materials Report</p> <ul style="list-style-type: none"> • Recyclable Materials Report Documentation • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	<p>Hazardous Waste</p>
<p>Remote Waste Consolidation Annual Notification</p> <ul style="list-style-type: none"> • Remote Waste Consolidation Site Annual Notification (form) • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	<p>Hazardous Waste</p>
<p>Hazardous Waste Tank Closure Certification</p> <ul style="list-style-type: none"> • Hazardous Waste Tank Closure Certification • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	<p>Hazardous Waste</p>
<p>Aboveground Petroleum Storage Tanks</p> <ul style="list-style-type: none"> • Aboveground Petroleum Storage Tank Documentation • Locally-Required Document(s) • Miscellaneous State-Required Document(s) 	<p>APSA</p>