

RCRAInfo Universe Information

Updated May 2011

The RCRA program uses the term “Universe” to categorize hazardous waste facilities for high-level management and reporting purposes. For example, a generator facility may also be a Treatment, Storage, and Disposal facility (TSDF). Therefore it would be in the Handler Universe as well as in the Permitting and Corrective Action Universe.

In most cases, RCRAInfo calculates Universes based on the data entered by Implementers into certain fields in RCRAInfo.

RCRAInfo Universes List

RCRAInfo has several pre-defined universes including:

Regulated Activity Universes

- Large Quantity Generator Universe
- Small Quantity Generator Universe
- Conditionally Exempt Small Quantity Generator Universe
- Hazardous Secondary Material Universe
- Offsite Receipt Universe
- Short Term Generator Universe
- Subpart K Universe
- Transfer Facility Universe
- Transporter Universe

Permitting/Closure/Post-Closure Programmatic Universes

- Permit Progress Universe
- GPRA Permit Baseline Universe
- GPRA Permit Renewals Baseline Universe
- Permit Workload Universe
- Closure Workload Universe
- Post-Closure Workload Universe
- Permit Renewal Workload

Enforcement Programmatic Universes

- Significant Non-Complier (SNC) Universe
- Full Enforcement Universe
- Operating TSDF Universe

Corrective Action Programmatic Universes

- Subject to Corrective Action Universe
- Corrective Action Workload Universe
- GPRA Corrective Action Baseline Universe
- TSDFs Potentially Subject to Corrective Action Under 3004(u)/(v) Universe
- TSDFs Only Subject to Corrective Action Under Discretionary Authorities Universe
- Non-TSDFs Where Corrective Action Has Been Imposed Universe

Active Site Universes

- Active Site Universe
- Federally Regulated TSDF Universe (Active TSDF Universe)
- Converter TSDF Universe
- State Regulated TSDF Universe

Financial Assurance Universe

Technical Information

Universe calculation results are stores in two tables:

HREPORT_UNIV5
HUNIVERSE_DETAIL5

All fields in the universe calculation tables are updated every three hours automatically. Universe calculations may also be run for a single facility from the Permitting, Corrective Action, and CM&E Main Menus.

Users may check the status of the universe calculations by selecting **Status Reports** from the Utilities Menu.

Regulated Activity Universes

Handler Module

The Regulate Activity Universes section presents information about a facility or known as Handlers in RCRAInfo. In the Handler module, a Universe information section appears on the Handler Details screen. Figure 1 shows the Universe information section from the Handler Detail Screen.

Handler Universes												
Active Status	Controls in Place	In a Universe	Gen. Status	Transporter	Univ. Waste	Recycler	Used Oil	Furnace Exempt	Importer	Onsite Burner Exempt	Mixed Waste Gen.	Underground Injection
HP---	N	Y	LQG	N	N	Y	NNNNNNN	Y	N	N	N	N

Permitting and Corrective Action Universes									
Permit Workload	Closure Workload	Post-Closure Workload	Permit Progress	CA Workload	Subject to CA	Subject to CA - TSD	Subject to CA - Discretion	Subject to CA - Non-TSD	Subject to CA - Non-TSD
---ST	----	----	L--ST	N	Y	Y	N	N	N

Compliance, Monitoring and Enforcement and GPRA Universes								
Full Enforcement	Operating TSD	SNC	Out of State SNC	BOYSNC	Permit GPRA	Renewals GPRA	CA GPRA	CA GPRA
---ST	---ST	N	N	N	+	N	Y	Y

Figure 1 - Universe Section on Handler Detail Screen

Universe Section (Handler Detail Screen) Descriptions

1. Active Status – Shows whether a facility is “active” or “inactive”. For more information, please refer to the following documents:
 - a. “RCRA Subtitle C Site Activity Status Project Report” (March 25, 2005, and
 - b. “RCRA Subtitle C EPA Identification Number, Site Status, and Site Tracking Guidance For Managing Data in RCRAInfo” (March 21, 2005)

Both of these documents can be accessed from within RCRAInfo using the News Alerts and General Information link to go to the RCRAInfo Documentation link.

There are 5 Handler for each activity category used to determine a site’s status:

- a. **H** – Handler
- b. **P** – Permitting
- c. **A** – Corrective Action
- d. **C** – Converter
- e. **S** – State-specific

The order of the identifiers is always HPACS. If the facility doesn’t fall into a category, it is denoted by a hyphen. If only ----- appears, then the facility is inactive.

2. Controls in Place – Either a “Y” for Yes or “N” for No. This field indicates if the facility has Institutional Controls (ICs) or Engineering Controls (ECs) in place.

ICs and ECs data are part of the Corrective Action Module.

(ICs) are non-engineered instruments such as administrative and/or legal controls that minimize the potential for human exposure to contamination by limiting land or resource use and/or by providing information that helps modify or guide human behavior at the site. They are generally to be used in conjunction with engineering measures such as water treatment or containment, rather than as a substitute for ECs.

ICs are appropriate when a site cannot be cleaned up to its fullest extent and untreated waste, or waste that has been previously treated but still remains hazardous to human health, is left in place. In this situation, the site cannot support unrestricted use and unlimited exposure, regardless of the reasonably anticipated future land use or whether an engineered remedy requires protection. ICs can be used during all stages of the RCRA cleanup process and should be “layered” (layering is when multiple ICs are used at the same time to provide additional protection). When ICs are used to supplement a corrective action remedy, whether it is part of an interim measure or the final corrective measure, the IC is usually considered during remedy selection, and commonly included in RCRA decision documents (permits, etc.) as part of the remedy.

ECs consist of engineering measures designed to minimize the potential for human exposure to contamination by either limiting direct contact with contaminated areas, reducing contamination levels, or controlling migration of contaminants through environmental media. Some examples of engineering controls are capping, containment, slurry walls, extraction wells, or treatment methods that minimize contamination. Often times ECs and ICs are used together as part of the remedy.

3. In a Universe – Either a “Y” for Yes or “N” for No. This field indicates if the facility is in at least 1 Universe.

4. Gen. Status – Generator Status; shows the current generator status for the facility.

- a. **N** – Not a Generator
- b. **LQG** – Large Quantity Generator
- c. **SQG** – Small Quantity Generator
- d. **CEG** – Conditionally Exempt Small Quantity Generator (aka CESQG)

LQG – A site is a Large Quantity Generator if the site meets any of the following criteria:

- i) Generates, in any calendar month, 1,000 kg (2,200 lbs.) or more of non-acute RCRA hazardous waste; or
- ii) Generates, in any calendar month, or accumulates at any time, more than 1 kg (2.2 lbs) of RCRA acute hazardous waste; or
- iii) Generates, in any calendar month, or accumulates at any time, more than 100 kg (220 lbs.) of spill cleanup material contaminated with RCRA acute hazardous waste.

SQG – A site is a Small Quantity Generator if the site meets all of the following criteria:

- i) Generates, in any calendar month, 100 kg (220 lbs.) but less than 1,000 kg (2,200 lbs.) of RCRA hazardous waste; and
- ii) Does not generate, in any calendar month, or accumulate at any time, more than 1 kg (2.2 lbs.) of acute hazardous waste; and
- iii) Does not generate more than 100 kg (220 lbs.) of material from the cleanup of a spill of acute hazardous waste.

OR, a site is a SQG if the site:

- i) Meets i) and iii) of the Conditionally Exempt Small Quantity Generator criteria (see below), but
- ii) Is storing more than 1,000 kg (2,200 lbs.) of RCRA hazardous waste onsite.

CESQG – A site is a CESQG if the site does all of the following:

- i) Generates no more than 100 kg (220 lbs.) of RCRA hazardous waste in any calendar month; and
- ii) Does not accumulate, at any time, more than 1,000 kg (2,200 lbs) of RCRA hazardous waste; and
- iii) Does not generate, in any calendar month, or accumulate at any time, more than 1 kg (2.2 lbs.) of acute hazardous waste and no more than 100 kg (220 lbs.) of material from the cleanup of a spill of acute hazardous waste.

5. Transporter – Either a “Y” for Yes or “N” for No.

Transporter – A facility that transports hazardous waste within the United States. The Federal regulations for hazardous waste transporters are found in 40 CFR Part 263.

6. Univ. Waste – Universal Waste; either a “Y” for Yes or “N” for No

Universal Waste – A facility that has Universal Waste Activities at its site. Refer the State Regulations and to 40 CFR 261.9 and 40 CFR Part 273 for the Federal regulations covering universal waste.

Large Quantity Handler of Universal Waste (LQHUW): A facility is an LQHUW if it accumulates a total of 5,000 kg or more total of universal wastes (batteries, pesticides, mercury-containing equipment, or lamps - calculated collectively) at any time. This designation is retained through the end of the calendar year in which the 5,000 kg limit is met or exceeded.

Destination Facility for Universal Waste: A facility that treats, disposes, or recycles universal wastes on-site.

7. Recycler – Either a “Y” for Yes or “N” for No

Recycler – A facility that recycles regulated hazardous wastes (recyclable materials) at its site. The Federal regulations for owners and operators of sites that recycle hazardous waste are found in 40 CFR 261.6.

8. Used Oil – Used Oil Activities; Either a “Y” for Yes or “N” for No or “U” for Unknown; shows the status of the following used oil activities; total of 7 activities

- a. Used Oil Transporter Activity
 - i. Transporter
 - ii. Transfer Facility
- b. Used Oil Processor and/or Re-refiner Activity
 - i. Processor
 - ii. Refiner
- c. Off-Specification Used Oil Burner
- d. Used Oil Fuel Marketer Activity
 - i. Marketer who directs shipment of off-specification used oil to off-specification used oil burner
 - ii. Marketer who first claims the used oil meets the specifications

Used Oil – A facility that has used oil management activities taking place at its site. The Federal regulations for used oil management are found in 40 CFR Part 279.

Used Oil Transporter – A facility that transports used oil within the United States. The Federal regulations for oil transporter are found within 40 CFR Part 279.40-47.

Used Oil Transfer Facility – A facility that transfers used oil. The Federal regulations for used oil transfer facilities are found in 40 CFR Part 270.40-47.

Used Oil Processor – A facility that processes used oil. The Federal regulations for used oil processors are found in 40 CFR 279.50-59.

Used Oil Re-Refiner – A facility that refines used oil. The Federal regulations for used oil re-refiners are found in 40 CFR 279.50-59.

Off-Specification Used Oil Burner – A facility that burns off-specification used oil.

Used Oil Fuel Marketer

Marketer Who Directs Shipment of Off-Specification Used Oil to Off-Specification Used Oil Burners – A marketer who directs shipment of off-specification used oil to off specification used oil burners. The Federal regulations for off-specification used oil are found in 40 CFR Part 279.70-75.

Marketer Who First Claims the Used Oil Meets the Specification – A marketer that is the first to claim that used oil meets the used oil specification established in 40 CFR 279.11.

9. Furnace Exempt – Either a “Y” for Yes or “N” for No or “U” for Unknown

Furnace Exempt - The facility has an exempt Boiler and/or Industrial Furnace.

Small Quantity On-Site Burner Exemption – The facility burns small quantities of hazardous waste in an on-site boiler or industrial furnace in accordance with the conditions in 40 CFR 266.108.

Smelting, Melting, and Refining – The facility processes hazardous wastes in a smelting, melting, or refining furnace solely for metals recovery, as described in 40 CFR 266.100(d), or to recover economically significant amounts of precious metals, as described in 40 CFR 266.100(g), or the facility processes hazardous wastes in a lead recovery furnace to recover lead, as described in 40 CFR 266,100(h).

10. Importer – Either a “Y” for Yes or “N” for No or “U” for Unknown

Importer – A facility that import hazardous waste from a foreign country into the United States. Refer to 40 CFR 262.60 for additional information.

11. Onsite Burner Exempt – Either a “Y” for Yes or “N” for No or “U” for Unknown

Onsite Burner Exempt – A facility that burns small quantities of hazardous waste in an on-site boiler or industrial furnace, in accordance with 40 CFR 266.108, is conditionally exempt from regulation for that activity.

12. Mixed Waste Gen. – Either a “Y” for Yes or “N” for No or “U” for Unknown

Mixed Waste Generator – A facility that is a generator or Treatment, Storage, and Disposal Facility (TSDF) that handles mixed waste. Mixed Waste is defined as waste that contains both hazardous and source, special nuclear, or by-product material subject to the Atomic Energy Act (AEA), RCRA section 1004(41), 42 U.S.C. 6903 (63 FR 17414; April 9, 1998).

13. Underground Injection – Either a “Y” for Yes or “N” for No or “U” for Unknown

Underground Injection – A facility that disposes of wastes by deepwell underground injection. Underground injection wells are regulated under both the Safe Drinking Water Act and RCRA.

Permitting/Closure/Post-Closure Programmatic and Corrective Action (CA) Universes

Permitting and Corrective Action Universes on the Handler Details Screen

Site Activity Status

There are 5 TSDF activity status categories. The Handler Details screen shows a single character identifier for each activity status category:

- L – Land Disposal
- I – Incinerator
- B – Boilers and Industrial Furnaces (BIFs)
- S – Storage
- T – Treatment

The order of the identifiers is always LIBST. If the facility doesn't fall into a category, it is denoted by a hyphen. If only ----- appears, then the facility is not a TSDF.

Program Universes

A table presenting all the Permitting and Corrective Action Universes according to the legal and operating (LE/OP) status of units at TSDFs was **updated** April 15, 2011 by EPA HQs. A copy of this revised table, along with universe definitions, is presented in the Universes and TSDFs section at the end of this document. This table can also be found under News and Alerts in RCRAInfo. Definitions of these universes can also be found in RCRAInfo Help. Not all universes are shown on the Handler Detail Screen. The following are the universes that are present on the Handler Detail screen.

For the following universes, the 5-character identifier is used to present which category the facility belongs.

1. Permit Workload – This universe includes units in the permit pipeline as well as units with active permits. The permit pipeline includes any operating facility that is currently permitted or operating under interim status, and any facility with new units that are proposed or are in the process of being constructed. However, operating facilities or facilities under construction that are also non-notifiers are not included in this universe.
2. Closure Workload – This universe includes units that are closing up to the time that closure certification is verified by the agency, and also includes operating facilities or facilities under construction that are also non-notifiers. This universe does not include facilities that have completed closure and that have been certified clean closed or certified closed with waste in place, and those facilities going through post-closure care. In addition, units that have been transferred to Superfund are not included.
3. Post-Closure Workload – This universe includes closing land disposal units and storage units that are closing as landfills up to the time that clean closure certification is verified by the agency. Units that have been transferred to Superfund are not included.
4. Permit Progress – This universe includes all units that are or were at some time subject to the requirement to obtain a RCRA permit to operate as a TSD.

For the following universes, either a “Y” for Yes or “N” for No is shown:

5. CA Workload – This universe is a subset of the Subject to Corrective Action Universe. This universe does not include converters, clean closed or non/late notifiers. All handlers with ongoing corrective action, and handlers where corrective action is statutorily required to be addressed, but have not had corrective action imposed will be included in this universe.
6. Subject to CA – This universe captures all facilities potentially subject to corrective action regardless of whether they have corrective action underway, plus any handlers showing a corrective action event of RFI or beyond. Handlers conducting corrective action under analogous state authorities are also included.
7. Subject to CA – TSD – This universe consists of TSDFs that could potentially be required to address corrective action through the statutory requirements under §3004(u)/(v); it is not driven by the authority used to implement corrective action. It includes interim status facilities that are not clean closed.
8. Subject to CA – Discretion – This universe captures TSDFs where the program may use discretionary authority to require corrective action. These facilities may be subject to enforcement authorities, but are not subject to §3004(u)/(v). It includes clean closed facilities, non-notifiers, abandoned facilities, converters, loss of interim status facilities, and permit-by-rule facilities.

9. Subject to CA – Non-TSD – The universe consists of the RCRA handlers that are **NOT** Treatment, Storage, and/or Disposal (TSD) facilities where corrective action has been imposed (e.g., generator conducting corrective action under a 7003 order). Handlers are only included in this universe once they have initiated corrective action through an RFI.

For the following universe, either a “+” indicates that the facility is on the Permits GPRA Baseline and meeting the goal or a “-“ indicates that the facility is on the Permits GPRA Baseline and not meeting the goal; An “N” indicates that the facility is not on the Permits GPRA Baseline.

1. Permit GPRA – Updated in 2005, the Permitting Baseline incorporates the 1997 Operating and Post-Closure Permit Baselines, thus including any Treatment, Storage, and/or Disposal Facility (TSDF) that had at least one unit that was operating or needed to obtain an operating permit as of 2005 and any Land Disposal Facility (LDF) that had at least one land disposal unit that ceased operating before 2005, and had not yet clean closed.

For the following universe, either a “+” indicates that the facility is on the Renewals GPRA Baseline and meeting the goal or a “-“ indicates that the facility is on the Renewals GPRA Baseline and not meeting the goal; An “N” indicates that the facility is not on the Renewals GPRA Baseline.

2. Renewals GPRA – Any Land Disposal Facility (LDF) that had at least one land disposal unit that ceased operating before October 1, 1997, and had not yet clean closed (for example, if a facility had an inactive land disposal unit in 1997, then the facility is included in the GPRA Post-Closure Baseline Universe). Every facility that met the definition for the RCRIS Post-Closure Workload Universe as of October 1, 1997, should be included in the GPRA Post-Closure Baseline Universe.

For the following universe, either a “Y” for Yes or “N” for No is shown:

3. CA GPRA – The GPRA baseline also known as the 2020 Corrective action Universe is a list of facilities believed to need cleanup and or investigation under the RCRA CA program. This is a static list. It was established in 2007 by adding three groups of facilities together then removing any facilities that Regions and States identified as meeting one of the exclusion criteria.

Group 1: Facilities in the Subject to CA Universe deemed to be high priority. Includes the facilities on the 2008 CA Baseline.

Group 2: Current and former TSDFs with permitting or post-closure obligations that EPA and the authorized state believed may merit corrective actions. The 2006 Permitting Baseline was used as a proxy for this group of facilities.

Group 3: Any other facility that has, had, or should have had interim status that the Region and State agree are appropriate and important to address via the RCRA Corrective Action program. These facilities were identified by Regions and States in 2006 and 2007.

Exclusion Criteria: Generator-only facilities or facilities transferred to another federal authority (e.g. CERCLA) for cleanup.

Enforcement Programmatic Universes

Enforcement Universes on the Handler Details Screen

Program Universes

For the following universes, the 5-character identifier is used to present which category the facility belongs.

1. Full Enforcement – This universe captures all TSDFs that are legally subject to TSDF operations and management regulations under RCRA Subtitle C, and includes both currently operating TSDFs as well as closed, but not certified closed TSDFs.

Operating TSDF – This universe captures every facility that currently has an operating Treatment, Storage, or Disposal unit(s), and is the primary enforcement reporting universe for TSDFs. The Accessibility flag in the Handler module is also checked to indicate that responsible parties have not fled the country or that the RCRA responsibilities have not been transferred to the CERCLA program; if so, the facility is not included.

For the following universes, either a “Y” for Yes or “N” for No is shown:

2. SNC – Indicates whether the facility is a Significant Non-complier (SNC).
3. BOYSNC – Beginning of Year (BOY) addressed SNC. Is set to "Y" if the Addressed SNC is equal to "Y" on the first day of the current fiscal year.
4. Out of State SNC – Is set to “Y” if the facility is an Out of State SNC. An Out-of-State SNC is a transporter who becomes a SNC in a state other than its home state.

Compliance Monitoring & Enforcement (CM&E) Module

SNC Universes on the CM&E Evaluation and Enforcement List Screens

The SNC Universes section presents information about the facility. The following information is from the CM&E User Guide from RCRAInfo Help. These Universes appear on the CM&E List screen in the Compliance Monitoring and Enforcement Module of RCRAInfo.

1. EPA Unaddressed SNC – Is set to “Y” if the facility is an EPA SNC and does not meet the EPA Addressed SNC definition.
2. EPA Addressed SNC – Is set to "Y" if any of the following conditions are met:
 - The facility is a SNC and the violations linked to the evaluations referred to by the Day Zero date have been addressed by an approved enforcement action. The facility has a SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and all of the violations that are the responsibility of the EPA that are linked to the evaluation referred to by the Day Zero date (i.e., the Day Zero of the SNY Evaluation equals the Evaluation Start Date of other EPA issued evaluations) are linked to an approved formal enforcement action (e.g., 210-219, 310-319, 380, 385, 410-439,

510-519, 530-539, 610-639, 810-869) issued by the EPA with a SNY Date equal to the Evaluation Start Date of the SNY evaluation.

- The facility is a SNC and the SNY evaluation has been addressed by an approved "orphan" enforcement action. The facility has an SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and an approved formal enforcement action issued by the EPA exists that is not linked to any violation and the SNY date is equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the responsibility has been transferred to the State. The facility has an SNY evaluation issued by the EPA that has not been superseded by a SNN evaluation issued by the EPA, and all of the violations linked to the evaluation(s) referred to by the Day Zero date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other EPA-issued evaluations) are linked to an 820 enforcement action issued by the EPA with an SNY date equal to the Evaluation Start Date of the SNY evaluation.
3. EPA SNC with Compliance Schedule – Is set to “Y” if the facility meets the EPA Addressed SNC definition and all of the violations linked to the SNY evaluation(s) referred to by the Day Zero date have a scheduled compliance date.
 4. State Unaddressed SNC – Is set to “Y” if the facility is a State SNC and does not meet the State Addressed SNC definition.
 5. State Addressed SNC – Is set to “Y” if any of the following conditions are met:
 - The facility is a SNC and the violation linked to the evaluations referred to by the Day Zero date have been addressed by an approved enforcement action. The facility has a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and all of the violations that are the responsibility of the state that are linked to the evaluation(s) referred to by the Day Zero Date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other state-issued evaluations) are linked to an approved formal enforcement action (e.g., 210-219, 310-319, 380, 385, 410-439, 510-519, 530-539, 610-639, 810-869) issued by the state with an SNY Date equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the SNY evaluation has been addressed by an approved "orphan" enforcement action. The facility has a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and an approved formal enforcement action issued by the state exists that is not linked to any violation and the SNY date is equal to the Evaluation Start Date of the SNY evaluation.
 - The facility is a SNC and the responsibility has been transferred to EPA. The facility has a SNY evaluation issued by the state that has not been superseded by a SNN evaluation issued by the state, and all of the violations linked to the evaluation(s) referred to by the Day Zero date (i.e., the Day Zero of the SNY evaluation equals the Evaluation Start Date of other state-issued evaluations) are linked to an 810 enforcement action issued by the state with a SNY date equal to the Evaluation Start Date of the SNY evaluation.

6. State SNC with Compliance Schedule – Is set to “Y” if the facility meets the State Addressed SNC definition and all of the violations linked to the evaluation(s) referred to by the Day Zero date have a scheduled compliance date.

Other Regulated Activity Universes (not shown on the Handler Detail Screen)

1. Hazardous Secondary Material (HSM) Universe – Is set to “Y” if the facility is a HSM, “N” if there is no HSM information, and “S” if the most recent HSM information in RCRAInfo has a Notification Reason Code of “S” (Stop Notification).

Indicates that the facility manages hazardous secondary material(s) (HSM) (e.g. spent material, by-product or sludge) that when discarded, would be identified as hazardous waste.

2. Offsite Receipt Universe – Is set to “Y” if Offsite Receipt information exists in RCRAInfo.

Indicates that the facility, whether public or private, currently accepts hazardous waste from another site (site identified by a different EPA ID).

3. Short Term Generator Universe – Is set to “Y” if Short Term Generator information exists in RCRAInfo.

Indicates that the facility is a short term generator or one time generator and not generating from ongoing processes.

4. Subpart K Universe .

There are 4 Subpart K activity status categories. A single character identifier exists for each activity status category:

- C** – opted in as a College or University
- H** – opted in as a Teaching Hospital
- N** – opted in as a Non-profit Research Institute
- W** – has withdrawn from Subpart K

Subpart K – An alternative set of generator requirements for managing laboratory hazardous waste at eligible academic entities. Generators that are eligible academic entities with laboratories may elect to opt into 40 CFR Part 262 Subpart K and manage their laboratory hazardous waste under Subpart K in lieu of 40 CFR 262.34(c) (or 40 CFR 261.5 for CESQGs). In order for eligible academic entities (see definition) to opt into Subpart K or subsequently withdraw from Subpart K, they must use the Site ID Form to notify the appropriate State or EPA Regional Office. Refer to 40 CFR 262.203 and 262.204. Note: Facilities must check with their State to determine if they are eligible to manage laboratory hazardous waste pursuant to 40 CFR Part 262 Subpart K and for any state-specific requirements.

5. Transfer Facility Universe – Is set to “Y” or “N”. Indicates that the facility transfers hazardous waste.

Transfer Facility – Any transportation-related facility including loading docks, parking areas, storage areas, and other similar areas where shipments of hazardous waste are held for 10 days or less during the normal course of transportation (40 CFR 260.10 and 40 CFR 263.12).

6. Transporter Universe – Is set to “Y” or “N”. Indicates that the facility is engaged in the off-site transportation of hazardous waste.

Active Site Universes

1. Active Site Universes – Shown in the Universe Section (Handler Detail Screen) Descriptions section of this document on page 3.
2. Federally Regulated TSD Universe (Active TSD Universe) – Shown on the TSD table in Figure 2.
3. Converter TSD Universe – Shown on the TSD Table Figure 2.
4. State Regulated TSD Universe – Shown on the TSD Table Figure 2.

Financial Assurance Universes

The Financial Assurance (FA) module to facilitates the tracking of regulated TSD facilities required to demonstrate financial assurance for closure, post-closure, third party liability, and, when necessary, corrective action. The following present the criteria used by RCRAInfo to determine which type of financial assurance is required for a facility.

There are 5 Financial Assurance type categories.

- A** – Corrective Action
- C** – Closure
- P** – Post-Closure Care
- S** – Sudden Third-Party Liability
- N** – Non-Sudden Third-Party Liability

Note: Federal and State government facilities are not required to maintain financial assurance, therefore, for all facilities with the Land Type of “F” (Federal) or “S” State) the FA Required field will be set to “-----”.

FA Type	FA Required Calculation
A - Corrective Action	FA Required will be set to "A" if the facility is permitted (has a legal status of "PI") and has either: a facility wide or at least one unit with a CA400: Remedy Decision event code and there is no facility wide CA999%: Corrective Action Process Terminated (any status: CA999NF - No Further Action or CA999RM - Remedial Activities Completed).
C - Closure	FA Required will be set to "C" if the active site flag contains a "P" (Permit Activity) and the facility is in the Closure Workload Universe or Permit Workload Universe.
P - Post-Closure Care	FA Required will be set to "P" if the active site flag contains a "P" (Permit Activity) and the facility is in the Post-Closure Workload Universe.
S - Sudden Third-Party Liability	FA Required will be set to "S" if the active site flag contains a "P" (Permit Activity) and the facility is in the Closure Workload or Permit Workload Universe.
N - Non-Sudden Third Party Liability	FA Required will be set to "N" if the active site flag contains a "P" (Permit Activity) and the facility is in the Closure Workload or Permit Workload Universe with a Land Disposal Process.

Figure 2 is a table that shows when FA is required for the different FA types based on the criteria above.

Figure 2 - Financial Assurance Universe Table

OPERATING STATUS CODES																
LEGAL STATUS CODES		OP	CN	UC	BC	IN	CC	CP	CO	DC	CV	CR	AB	SF	PF	CA
	PI	R 1 AC SN	R 1 C SN	R 1 C SN	R 1 C SN	R 2 3 CPSN		R 3 P		R 2 3 CPSN	R 2 3 CPSN		R 2 3 CPSN	2		R 2 3 CPSN
	PC					R 2 3 CPSN		R 3 P		R 2 3 CPSN	R		R 2 3 CPSN	2		R 2 3 CPSN
	PT	R				R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R
	PR		1	1	1											
	IS	R 1 AC SN	R 1 C SN	1	1	R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R 2 3 CPSN
	LI	R				R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R 2 3 CPSN
	IT	R				R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R 2 3 CPSN
	TA	R 1 AC SN	1	1	1	R 2 3 CPSN				R 2 3 CPSN	R		R 2 3 CPSN	2		R
	PM	R 1 AC SN	1	1	1	R 2 3 CPSN		R 3 P		R 2 3 CPSN	R 2 3 CPSN		R 2 3 CPSN	2		R
	LP	R				R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R
	NN	R 1 2 AC SN	2	1 2	2	R 2 3 CPSN		R 3 P		R 2 3 CPSN	2 3		R 2 3 CPSN	2		R 2 3 CPSN
	RQ	R 1 AC SN	1	1	1	R				R			R			R
	NR															
	DL															
	RD	R				R		R		R	R		R			R
	RU	R				R		R		R			R			R
EM	R				R		R		R	R		R			R	
SR																

Financial Assurance Types	Universes of Interest
<p>A - Corrective Action</p> <p>C - Closure</p> <p>P - Post-Closure</p> <p>S - Sudden Third Party Liability</p> <p>N - Non-Sudden Third Party Liability</p>	<p>R - Regulated TSDF Universe(blocks highlighted)</p> <p>1 - Permit Workload Universe</p> <p>2 - Closure Workload Universe</p> <p>3 - Post-Closure Workload Universe</p>

- Criteria**
- For all Types except Corrective Action: Active Site Flag contains a "P" (a TSDF in the Regulated TSDF Universe) and
 - Is in certain Universes and
 - For Non-Sudden Third Party Liability Only: Facility has a Land Disposal Unit (Process Code D80, D81, D83, D99, S03, S04, or T02)
 - For Corrective Action Only: Facility is permitted (has an LE of "PI") and has either a facility-wide or at least one unit with a Remedy Decision (CA400) and there is no facility -wide CA999XX code

Universes and TSDFs

A unit's Legal and Operating Status is the basis for many Universe Calculations. Figure 3 presents these universes and their definitions. The TSDF Program Universes table shows which universes a TSDF may fall into based on a particular Legal and Operating Status code combination. The second part of the table provides the descriptions of the legal status and operating status codes, and the definitions of the Universes.

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Figure 3 - TSDF Program Universes

Updated April 15, 2011

OPERATING STATUS CODES																		
	OP	CN	UC	BC	IN	CC	CP	CO	DC	CV	CR	AB	SF	PF	CA	NE	NO	
LEGAL STATUS CODES	PI	ABCD FG H K N	CD FG H K N	CD FG H K N	CD FG H K N	A CD FG IJK	C E G	A CD FG IJK	C E G	A CD FG IJK	C E G	C EFG IJK	C G I		ABCDEFG IJK *			
	PC					A CD FG IJK	C E G	A CD FG JK N	C E G	A CD FG IJK		C EFG IJK			ABCDEFG IJK			
	PT	A G K	G	G	G	A G IJK	G	A G JK	G	A G IJK	G	G	G			K		
	PR	G	H G	H G	H G							G						
	IS	ABCD FG H K	CD FG H K	CD FG H	CD FG	A CD FG IJK	C E G	A CD FG JK	C E G	A CD FG IJK	C E G		C EFG IJK			A CDEFG IJK		
	LI	A CD FG K	CD FG	CD FG	CD FG	A CD FG IJK	C E G	A CD FG JK	C E G	A CD FG IJK	C E G		C EFG IJK			A CDEFG IJK		
	IT	A G K	G	G	G	A G IJK	G	A G JK	G	A G IJK	G		G			A G IJK		
	TA**	ABCD FG H K	CD FG	CD FG	CD FG	A CD FG IJK	C E G			A CD FG IJK			C EFG IJK			DE K		
	PM	ABCD FG H K N	CD FG	CD FG H N	CD FG H N	A CD FG IJK	C E G	A CD FG JK	C E G	A CD FG IJK	C E G		C EFG IJK			DE K		
	LP	ABCD FG K	CD FG	CD FG	CD FG	A CD FG IJK	C E G	A CD FG JK	C E G	A CD FG IJK	C E G		C EFG IJK			DE K		
	NN	ABC E G H K	C E G	C E G	C E G	A C E G IJK	C E G	A C E G JK	C E G	A C E G IJK	C E G		C EFG IJK			A C EFG I K		
	RQ	AB G H K	G	G	G								C E G IJK					
	NR																	
	DL		G	G	G		G				G	G		G				
	RD	AB K				A K		A K		A K	K		K			K		
	RU	A C E G K	C D	C E	C E	A C E K	C E	A C E K	C E	A C E K	C E L		C E K	C		E K		
	EM	AB K				A K		A K		A K	K		K					
	SR	M				M		M		M	M		M					
TR																		

A - Full Enforcement Universe
 B - Operating TSDF Universe
 C - Subject to Corrective Action Universe
 D - TSDFs Potentially Subject to Corrective Action Under 3004(u)(v)
 E - TSDFs that EPA May Subject to Corrective Action Under Discretionary Authorities
 F - Corrective Action Workload Universe
 G - Permitting/Closure/Post-Closure Progress Universe

H - Permit Workload Universe
 I - Closure Workload Universe
 J - Post-Closure Workload Universe
 K - Regulated TSDF Universe
 L - Converter TSDF Universe
 M - State-regulated TSDF Universe
 N - Permit Renewal Workload Universe

See back for explanation of * and **.

LEGAL STATUS CODES

DL	Delisted
EM	Emergency Permit
IS	Interim Status
IT	Interim Status Terminated
LI	Loss of Interim Status
LP	Loss of Pre-Mod Authorization
NN	Non-Notifier/Illegal
NR	Never Regulated as a TSD
PC	Post-Closure Permitted
PI	Permitted
PM	Pre-Mod Authorization
PR	Proposed
PT	Permit Terminated/Permit Expired, not Continued
RD	Research, Development, and Demonstration Permit
RU	Permit-by-Rule
SR	State Regulated
TA	Temporary Authorization

OPERATING STATUS CODES

AB	Abandoned
BC	Before Construction
CA	Referred to Corrective Action for
CC	Clean Closed
CN	Constructed, Not Yet Managing
CO	Completed Post-Closure Care
CP	Closed with Waste in Place
CR	Conducting Activities not Requiring a
CV	Converted but Not RCRA Closed
DC	Delay of Closure
IN	Inactive/Closing, but not Yet RCRA
OP	Operating, Actively Managing RCRA-
PF	Protective Filer
SF	Referred to CERCLA
UC	Under Construction

PROGRAM UNIVERSE DESCRIPTIONS

- A - **Full Enforcement** This is the entire universe of TSDFs that could potentially undergo CEI inspection. This universe captures currently operating TSDFs as well as closed but not yet certified closed TSDFs. Not every facility in this universe will undergo an annual inspection.
- B - **Operating TSDF** This universe captures every facility that currently has an operating treatment, storage, or disposal unit.
- C - **Subject to Corrective Action Universe** This universe captures all facilities potentially subject to corrective action regardless of whether they have corrective action underway, plus any handlers showing a corrective action event for RFI or beyond. Handlers conducting corrective action under analogous state authorities are also included.
- D - **TSDFs Potentially Subject to Corrective Action Under §3004(u)/(v)** This universe captures the TSDFs that have permits and facilities in interim status that have not yet clean closed.
- E - **TSDFs that EPA May Subject to Corrective Action Under Discretionary Authorities** This universe consists of TSDFs that are only subject to corrective action under the discretionary corrective action authorities, primarily 3008(h). Not every facility in this universe will need corrective action or be required to do corrective action.
- F - **Corrective Action Workload Universe** This universe is a subset of the Subject to Corrective Action Universe. This universe does not include converters, clean closed or non/late notifiers. All handlers with ongoing corrective action, and handlers where corrective action is statutorily required to be addressed, but have not had corrective action imposed will be included in this universe.
- G - **Permitting/Closure/Post-Closure Progress Universe** This universe includes all units that are or were at some time subject to the requirement to obtain a RCRA permit to operate as a TSD.
- H - **Permit Workload Universe** This universe includes units in the permit pipeline as well as units with active permits. The permit pipeline includes any operating facility that is currently permitted or operating under interim status, and any facility with new units that are proposed or in the process of being constructed. However, operating facilities or facilities under construction that are also non-notifiers are not included in this universe.
- I - **Closure Workload Universe** This universe includes units that are closing up to the time that closure certification is verified by the agency, and also includes operating facilities or facilities under construction that are also non-notifiers. This universe does not include facilities that have completed closure and that have been certified clean closed or certified closed with waste in place, and those facilities going through post-closure care. In addition, units that have been transferred to Superfund are not included.
- J - **Post Closure Workload Universe** This universe includes closing land disposal units and storage units closing as landfills up to the time that clean closure certification is verified by the agency. Units that have been transferred to Superfund are not included.
- K - **Federally Regulated TSDF** This universe includes TSDFs subject to federal RCRA TSDF (or authorized States Hazardous Waste Program) regulations, permits, and orders.
- L - **Converter TSDF** This universe includes former TSD units which a site converted to hazardous waste activities not requiring a permit, but which have not been closed by the site as required by EPA or State.
- M - **State Regulated TSDF** This universe includes TSDFs conducting activities not included in any of the other program universes, which the State considers sufficient to classify the site as "active".
- N - **Permit Renewal Workload Universe** This universe captures facilities with current operating, post-closure, or corrective action only permits whose renewal applications have been received by the implementer but whose permits have not been renewed. This universe excludes unit groups scheduled for closure.

*If the most recent unit detail has process code SWM, a capacity of zero, and a LE/OP of PICA, the unit will be excluded from "J".

** Permitting/Closure/Post-Closure legal status of TA should only be included if Part B or a permit modification application has been submitted.