

Do not use this checklist for closure coverage. If using insurance for closure coverage, use publication #05-04-008(e).
 Do not use this checklist for post-closure or interim status facilities – contact Ecology’s Financial Assurance Officer for instructions.

**FINANCIAL ASSURANCE COMPLIANCE CHECKLIST
 LIABILITY INSURANCE CERTIFICATE/ENDORSEMENT
 FACILITIES USING 40 CFR 264.147(a)**

REVIEW FOR YEAR: _____

EFFECTIVE DATE _____
 DATE SUBMITTED _____
 POLICY NUMBER _____
 INSURANCE COMPANY _____
 FACILITY NAME _____
 LOCATION _____
 ID NUMBER _____

INITIAL REVIEW STEPS	COMMENTS
1. Have the required documents been submitted?	
a. Hazardous Waste Facility Liability Endorsement or Certificate of Liability Insurance? <i>40 CFR 264.147(a)(1)(i)</i>	
b. Duplicate original of insurance policy? <i>40 CFR 264.147(a)(1)(i)</i>	
2. Is the wording of the certificate or endorsement identical to the requirements? <i>40 CFR 264.151(i) or 264.151(j) and WAC 173-303-620(10)</i>	
3. Is the insurer licensed to transact the business of insurance in Washington State? If not, is the insurer an excess or surplus line insurer in one or more states? <i>40 CFR 264.147(a)(1)(ii)</i>	
4. If the insurer is an excess or surplus line insurer, has the proper Washington State affidavit been provided? <i>WAC 284-15-030</i>	
5. Were the required documents submitted at least 60 days prior to receipt of hazardous waste? <i>40 CFR 264.147(a)(1)(i)</i>	
6. Is the amount of the insurance at least \$1/\$2 million for sudden accidental occurrences and at least \$3/\$6 million for nonsudden accidental occurrences? <i>40 CFR 264.147(a)</i>	
SUBSEQUENT REVIEW STEPS	
7. Have all required renewal documents been submitted?	
a. Hazardous Waste Facility Liability Endorsement or Certificate of Liability Insurance? <i>40 CFR 264.147(a)(1)(i)</i>	
b. Duplicate original of insurance policy? <i>40 CFR 264.147(a)(1)(i)</i>	
8. Have there been any changes that would affect eligibility?	
9. Any other outstanding issues or concerns?	

MANDATORY LANGUAGE: Located in 40 CFR 264.151(i), 264.151(j), and WAC 173-303-620(10). Examples of mandatory language are available from Ecology's Financial Assurance Officer at (360) 407-6754.

CONCLUSION: The Department of Ecology determines that the facility has (*circle one*) **COMPLIED** / **NOT COMPLIED** in all material respects with the requirements governing financial assurance as described in 40 CFR Part 264. Reasons for noncompliance, if any, are detailed in an attached memo.

Department of Ecology Review by: _____ Date: _____