



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

MAR 28 2003

ASSISTANT ADMINISTRATOR  
FOR ENFORCEMENT AND  
COMPLIANCE ASSURANCE

**MEMORANDUM**

SUBJECT: Revised Executive Order 3500.1 - Training and Development of Individuals Who  
Lead Compliance Inspections/Field Investigations

FROM:

  
John Peter Suarez

TO:

Addressees

**Purpose**

In order to assure that regional and headquarters managers, supervisors and inspectors understand and implement their responsibilities for inspector training, I am transmitting the newly revised Executive Order 3500.1 (Attachment A). Key points associated with this order are:

- Continued compliance with this order is important to assure quality inspections and field investigations.
- Regional Administrators, Assistant Administrators, regional and headquarters managers and first-line supervisors should review their current procedures for tracking compliance with the order.
- We are instituting a more flexible approach to meeting training requirements in a framework for program-specific inspector training.
- New program-specific guidelines provide a core minimum and on-the-job training (OJT) for programs not included in the original 1988 order along with a definition of working knowledge for first-line supervisors and team leaders who supervise inspectors in more than one program.
- The program-specific training requirements were decoupled from the order to allow for changes and updates without having to revise the order.
- The majority of current first-line supervisors and Environmental Protection Agency (EPA) inspectors should have already met the requirements in the order and are expected to maintain compliance.
- With few exceptions, newly hired inspectors and first-line supervisors and inspectors who change programs have to meet training requirements in order to comply with the order.



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**Implementation** Please review the procedures and documentation your organization has in place to ensure compliance with the order. All managers and supervisors should read the revised order. If they have questions, they should contact Julie Tankersley ([tankersley.julie@epa.gov](mailto:tankersley.julie@epa.gov)), Office of Compliance (OC), at (202) 564-7002. OC is currently working on guidance to assist first-line supervisors in understanding and implementing their responsibilities under the order. We believe inspectors are generally in compliance with the Health and Safety and Basic Inspector training requirements in the order. However, some regional offices have expressed concern over the need to update the existing program-specific training requirements and resource constraints. To facilitate updating and streamlining training requirements, the EPA Inspector Management Committee developed a new framework for program-specific inspector training (Attachment B). The framework will be used by program-specific workgroups to develop consistent and flexible training requirements for all applicable programs. The framework includes core minimum training, on the job training, mentoring, supervisor evaluation and certification, and refresher training.

We are requesting your participation in the individual program-specific workgroups to update training requirements based on the framework developed by the EPA Inspector Management Committee. Please forward nominations of individuals to be members of these workgroups to Julie Tankersley by April 25, 2003. A list of programs and workgroups is attached (Attachment C). The Office of Compliance will issue the specific training requirements for each media program separately as they are completed.

The EPA Inspector Management Committee will help to ensure full implementation and to identify and resolve issues relating to compliance with the order. The Committee will provide overall direction/guidance and review documents developed by the program-specific workgroups. Members of the EPA Inspector Management Committee include senior managers from EPA regional and headquarters offices (See list in Attachment B).

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**Finding What**

**You Need**

A hard copy of the revised order is attached (Attachment A). Electronic versions of the revised order and Agency transmittal are posted on the Office of Administration and Resources Management (OARM) directives intranet site at "<http://intranet.epa.gov/rmpolicy/direct.htm>", and will be posted on the EPA Inspector Website "<http://intranet.epa.gov/oeca/inspector/>", along with this memorandum. Existing program-specific training requirements developed in 1988 are posted on the EPA Inspector Website. Updates to these requirements will be posted as they are completed by the workgroups.

I want to thank all the members of the regional and headquarters workgroup for participating in the process of revising this order. This office is committed to ensuring full and ongoing implementation of the order's requirements. As OC revises program-specific training requirements, I encourage the regions to participate fully in those workgroups. If you have questions in reference to EPA Order 3500.1 or the program-specific training requirements, please contact Julie Tankersley ([tankersley.julie@epa.gov](mailto:tankersley.julie@epa.gov)) of OC at (202) 564-7002.

Attachments: A) Executive Order 3500.1 - Training and Development of Individuals Who Lead Compliance Inspections/Field Investigations  
 B) EPA Order 3500.1 Program Specific Curriculum Final Framework/Guidance  
 C) List of Programs and Workgroups

Addressees: Regional Administrators, Regions 1 - 10  
 Regional Enforcement Division Directors, Regions 1-10  
 Regional Media Division Directors, Regions 1-10  
 Regional Science and Technology Division Directors, Regions 1-10  
 Regional Enforcement Coordinators, Regions 1-10  
 David S. Evans, Director, Oil Program Center  
 Steve Page, Director, Office of Air Quality Planning and Standards  
 Brian McLean, Director, Office of Atmospheric Programs  
 Marcia Mulkey, Director, Office of Pesticide Programs  
 Charles Auer, Director, Office of Pollution Prevention and Toxics  
 Debbie Dietrich, Director, Chemical Emergency Preparedness and Prevention Office  
 Robert Springer, Director, Office of Solid Waste  
 Cliff Rothstein, Director, Office of Underground Storage Tanks  
 Cynthia Dougherty, Director, Office of Ground Water and Drinking Water  
 James A. Hanlon, Director, Office of Wastewater Management  
 Diane Regas, Director, Office of Wetlands, Oceans, and Watersheds

cc: Phyllis P. Harris, Principal Deputy Assistant Administrator, OECA  
 Steve J. Shimberg, Associate Assistant Administrator, OECA  
 Michael Stahl, Director, OC  
 Lisa Lund, Deputy Director, OC  
 OC Division Directors and Branch Chiefs  
 Walker B. Smith, Director, ORE  
 David Nielsen, Acting Deputy Director, ORE  
 ORE Division Directors  
 Leo D'Amico, Director, OCEFT  
 OCEFT Division Directors

cc: Gerald A. Bryan, Director, NETI  
David Kling, Director, OFFEO  
Mary Kay Lynch, Director, OPPAC  
Diana Love, Director, NEIC  
Anne N. Miller, Director, OFA  
Susan E. Bromm, Director, OSRE

EPA  
**ORDER**

Classification No.: 3500.1 A1

Approval Date: 12/23/2002

Review Date: 12/23/2005

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TRAINING AND DEVELOPMENT FOR INDIVIDUALS WHO LEAD COMPLIANCE  
INSPECTIONS/FIELD INVESTIGATIONS

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1. **PURPOSE** This Order establishes consistent Agency-wide training and development programs for employees leading environmental compliance inspections/field investigations to ensure that they have working knowledge of regulatory requirements, inspection methodology, and health and safety measures. The EPA Compliance, Inspector/Field Investigator Training Guidance Document should be referenced for specific details on these programs. (Note: The basic inspector and program-specific training requirements issued separately from the Order as appendices in 1988 are still in effect. The basic inspector and program-specific curricula will be updated as necessary and compiled in the EPA Compliance Inspector/Field Investigator Training Guidance Document).
2. **POLICY** Those who lead environmental compliance inspections/field investigations must be properly trained to perform these functions in a legally and technically sound manner.
3. **APPLICABILITY** This Order applies to all Environmental Protection Agency (EPA) personnel who lead or oversee compliance inspections/field investigations on a full or part-time basis under any of EPA's statutes, and supervisors of compliance inspectors/field investigators. In addition, the Order requires that Assistant Administrators and Regional Administrators be responsible for ensuring that the training requirements found in Item 4 of this Order are included in all EPA administered contract statements of work or EPA administered Senior Environmental Employment Program cooperative agreements which govern the activities of those who lead compliance inspections or civil investigations. Please see Items 5(e)(5) and 5(f)(3) of this Order. This Order is advisory to States, Tribes and local agencies. Completion of the training requirements by state, tribal, and local compliance inspectors/field investigators defined in Item 4 of this order is highly encouraged.
4. **TRAINING PROGRAM** EPA's training program consists of three parts: Occupational Health and Safety Curriculum, Basic Inspector Curriculum, and Program-Specific Curriculum, as detailed in Items 4(a), (b), and (c) below. Refresher course requirements are in Item 4(d).

- a. **Occupational Health & Safety Curriculum** All EPA employees are required to complete applicable Occupational Health and Safety Training before engaging in any field activities. EPA's Safety, Health and Environmental Management Program (SHEMP) establishes basic, intermediate, advanced and refresher level training requirements for compliance inspectors/field investigators in its directives and guidelines.
- b. **Basic Inspector Curriculum** This curriculum provides a comprehensive overview of the knowledge and skills needed for compliance inspections/field investigations under any of EPA's statutes. It consists of a course that integrates legal, technical, and administrative subjects with communication skills. For specific information regarding applicable, recommended and required training for EPA compliance inspectors/field investigators please refer to the EPA Compliance Inspector/Field Investigator Training Guidance Document. (Please see note in Item 1 of this Order).
- c. **Program-Specific Curriculum** This curriculum establishes the required and recommended training in legal, programmatic, and technical subjects for each major media program or specific program compliance inspection/field investigation activity. The curriculum is contained in the EPA Compliance Inspector/Field Investigator Training Guidance Document. (Please see note in Item 1 of this Order). If the program-specific curriculum for each major media program or specific program compliance inspection/field investigation activity is not specified, then a minimum of 24 hours of appropriate and relevant program-specific training and completion of a minimum of 2 (8 hour) days of on-the-job training or 2 compliance inspections/field investigations (whichever is longer) must be completed. The appropriateness and relevance of the training is to be determined by the supervisor/team leader and based on the type and nature of work to be performed. Additional program-specific specialized training is recommended to further develop inspection skills.
- d. **Refresher Course Requirements** All compliance inspectors/field investigators, full-time or part-time (which may include first-line supervisors or team leaders) must complete annual refresher training as follows:
  - (1) Occupational Health and Safety: EPA's Safety, Health and Environmental Management Program (SHEMP) establishes basic, intermediate, advanced and refresher level training requirements for compliance inspectors/field Investigators in its directives and guidelines.
  - (2) OECA, program offices, or first-line supervisors are responsible for identifying any necessary refresher Basic Inspector and/or refresher Program-

Specific Curriculum on new or revised policies, regulations or legislation.

- (3) OECA, program offices, or first-line supervisors should identify the additional training necessary to become more proficient in a specific media program, qualified in additional regulations, qualified for inspecting additional industries, or to become proficient in multi-media work.

e. Exceptions to the Training Requirement

(1) Occupational Health & Safety Courses

Any exceptions to the Occupational Health and Safety Training requirements must be made in accordance with Safety, Health and Environmental Program (SHEMP) requirements.

(2) Basic Inspector Curriculum and Program-Specific Curriculum

Any exceptions to the Basic Inspector and Program-Specific Curricula must be approved by the appropriate Assistant Administrator or Regional Administrator based on an evaluation by the first-line supervisor or team leader of the compliance inspector/field investigator's knowledge, experience, and training attained prior to the effective date of this Order.

5. RESPONSIBILITIES. This section lists the primary responsibilities for implementing this Order. For guidance on carrying out these responsibilities, please refer to the EPA Compliance Inspector/Field Investigator Training Guidance Document.

a. Lead Compliance Inspectors/Field Investigators All full-time or part-time lead compliance inspectors/field investigators are responsible for:

- (1) Completing all applicable training listed in Item 4 of this Order;
- (2) Advising their first-line supervisor/team leader about the history and extent of relevant training and experience and assisting in the preparation of an Individual Development Plan to meet the requirements of this Order;
- (3) Applying and maintaining the knowledge, skills, and techniques acquired through training to ensure that compliance inspections/field investigations are accomplished in a technically and legally sound manner.

b. First-Line Supervisors or Team Leaders All Headquarters or Regional first-line supervisors or team leaders of compliance inspectors/field investigators are responsible for:

- (1) Completing the following minimum training requirements within 1 year of assuming a first-line supervisor or team leader position:
  - (i) Health and Safety requirements (knowledge and understanding), unless performing any field activities. If any EPA employee engages in field activities, they are required to complete applicable Occupational Health and Safety Training as defined in EPA's Safety, Health and Environmental Program (SHEMP) directives and guidelines.
  - (ii) Basic Inspector Curriculum, Item 4(b) of this Order.
  - (iii) Environmental Statute Review Course (CD Rom), NETI, October 1997.
  - (iv) Documented self study (such as participating in on-the-job training) of the media they are responsible for, and developing a "working knowledge," as defined in Item 6(1) of this Order.
- (2) Obtaining knowledge and understanding of Multi-media Regional Specific procedures and criminal environmental issues;
- (3) Completing all applicable training listed in Item 4 of this Order if first-line supervisors or team leaders are also responsible for conducting compliance inspections/field investigations;
- (4) Providing oversight, quality assurance and quality control of inspection/field reports. This responsibility may be delegated to a senior lead inspector with significant experience in that same program;
- (5) Ensuring quality compliance inspections/field investigations by using performance standards, periodic appraisals and appropriate assignments to provide for the development and recognition of personnel engaged in the compliance monitoring function;
- (6) Identifying employees who require training, ensuring that employees comply with the requirements of this Order, and maintaining records of action;
- (7) Identifying additional program-specific training as appropriate for the type of work that is being conducted;
- (8) Documenting the qualification for individuals to be lead inspectors, as defined in Item 6(h), after completion of their training requirements;
- (9) Reviewing and evaluating staff previously trained to determine if their of future updated training;
- (10) Documenting and placing in the compliance inspector/field investigator's



personnel file any approved exceptions to this Order;

- (11) Requiring compliance inspectors/field investigators maintain their own training records and provide these records to their first-line supervisor/team leader;
- (12) Documenting and maintaining a list of qualified compliance inspectors/field investigators;
- (13) Ensuring that compliance inspector/field investigator credentials are issued.

c. Assistant Administrator for Enforcement and Compliance Assurance (OECA)  
The Assistant Administrator for Enforcement and Compliance Assurance is responsible for:

- (1) Updating this Order and overseeing and evaluating implementation of the overall program requirements every 3 years;
- (2) Developing, updating and disseminating student manuals and instructor guides for the Basic Inspector Curriculum to the Regions and coordinating the selection of and maintaining a list of instructors from the Regions and Headquarters;
- (3) On an annual basis, coordinating with staff from Headquarters and Regional enforcement and compliance monitoring offices to ensure that compliance inspectors/field investigators meet the training requirements of this Order;
- (4) Developing a mechanism which will enable first-line supervisors, team leaders, and compliance inspectors/field investigators to track annual training accomplishments in order to meet the requirements of this Order.

d. Assistant Administrator for Administration and Resources Management (OARM)  
The Assistant Administrator for Administration and Resources Management is responsible for:

- (1) Updating and providing sufficient materials for Occupational Health and Safety Training or approving non-EPA courses to meet the requirements of EPA's Safety, Health, and Environmental Management Program (SHEMP) and reviewing Program-Specific Health and Safety Training;
- (2) Training and evaluating EPA personnel designated as instructors for delivering the Occupational Health and Safety Training;
- (3) Coordinating and disseminating a timely schedule of Occupational Health and

Safety classes, in consultation with OECA, program offices and the Regions.

- e. Assistant Administrators The Assistant Administrators of Offices which engage in compliance monitoring are responsible for:
- (1) Developing, updating, and disseminating materials and schedules for classes under the Program-Specific Curriculum, in consultation with Regions and the States;
  - (2) Implementing the requirements of this Order and the EPA Compliance Inspector/Field Investigator Training Guidance Document within their areas of jurisdiction, including periodically evaluating implementation;
  - (3) Establishing guides for first-line supervisors and team leaders of compliance inspectors/field investigators to evaluate the training and development needs of compliance inspectors/field investigators and approving requests for exceptions;
  - (4) Determining who among those compliance inspectors/field investigators based in Headquarters are subject to this Order, and reviewing and approving exceptions to the training requirements requested for these personnel;
  - (5) Ensuring in future EPA administered contracts and Senior Environmental Employment Program cooperative agreements, involving compliance inspections/civil investigations that the completion of training, as required by this Order, is incorporated into the appropriate contract statements of work or Senior Environmental Employment Program cooperative agreements;
  - (6) Establishing standing work groups, including Regions and States where appropriate, to help carry out these responsibilities and to improve the quality of the compliance monitoring function;
  - (7) Collaborating with the Regions and OECA in the development of Program-Specific Curriculum requirements;
  - (8) Providing the Regions with a list of staff who have completed Program-Specific Curriculum.
- f. Regional Administrators The Regional Administrators are responsible for:
- (1) Implementing the requirements of this Order and the EPA Compliance Inspector/Field Investigator Training Guidance Document within their areas of jurisdiction, including periodically evaluating implementation;

- (2) Determining who in the Region is subject to this Order, and reviewing and approving any requests for exceptions to the training requirements;
- (3) Ensuring in future EPA administered contracts and cooperative agreements awarded under the Senior Environmental Employment Program, involving compliance inspections/civil investigations that the completion of training, as required by this Order, is incorporated into appropriate contract statements of work or Senior Environmental Employment Program cooperative agreements;
- (4) Supporting in-house instruction for the Basic Inspector Curriculum by working with OECA to identify Regional personnel to serve as classroom instructors;
- (5) Ensuring that each program annually identifies States' and tribal inspector training needs through the State/EPA Enforcement Agreements process, or other comparable process, assisting States in identifying ways to meet their training needs, and coordinating training opportunities;
- (6) Ensuring that those compliance inspectors/field investigators located within the Regions are issued credentials;
- (7) Identifying a single point-of-contact responsible for auditing the Region to ensure the requirements of this Order are being met, and for coordinating with OECA and program offices which are responsible for regulations requiring compliance monitoring.

6. DEFINITIONS

- a. Compliance Inspector/Field Investigator This function consists of on-site field inspection/investigation activities that include leading or overseeing State, local, contractor, or other personnel conducting any of the following activities for the purpose of establishing the compliance status of facilities or sites with applicable laws, standards, regulations, permits, and/or of supporting appropriate enforcement action (administrative, civil judicial or criminal) including:
  - (1) Planning and carrying out inspections of pollution abatement equipment, relevant facility operations, maintenance practices, self monitoring practices, records, and laboratory equipment;
  - (2) Gathering and developing evidence, including but not limited to emission monitoring measurements, other analytical field procedures such as sampling, the associated quality assurance procedures, and in-depth engineering evaluations;

- (3) Maintaining field logs, recording field observations along with any supporting documentation, and data entry of inspection findings.

Any EPA employee performing these activities regardless of job title or program shall be considered a compliance inspector/field investigator for the purpose of this Order. The terms compliance inspector/field investigator will be used throughout this Order. This function does not include field activities or investigations for purposes such as research and development, which are unrelated to compliance monitoring or enforcement, or investigations that do not involve field work.

Not all individuals performing work as On-Scene Coordinators and Remedial Project Managers under the CERCLA program are covered by the definition of the compliance inspection/field investigation function. Additional program guidance has been developed to assist Regions in distinguishing these functions from other programmatic responsibilities. Please refer to the EPA Compliance Inspector/Field Investigator Training Requirements Guidance Document.

- b. Part-time Compliance Inspector/Field Investigator This includes individuals who have additional responsibilities besides conducting compliance inspections/field investigations. The time these individuals spend conducting compliance inspections/field investigations may be less than 25% of their total responsibilities.
- c. First-Line Supervisors of Inspectors This includes:
- (1) An individual who is the immediate supervisor of the day-to-day work of an individual who leads or oversees compliance inspections/field investigations.
  - (2) An individual in a team leader position, if they perform similar supervisory functions as a first-line supervisor.
- d. Leading an Inspection. Leading an inspection means independently conducting a compliance inspection/field investigation or directing an inspection/investigation with others as support staff.

- e. Lead Inspector This category includes those individuals who have satisfactorily completed ALL required training as defined in Item 4, except as exempted by Items 5(e)(4) and 5(f)(2), and can independently conduct compliance inspections/field investigations.
  - f. Curriculum. Curriculum refers to the defined content presented in a sequence of supervised self-study, formal on-the-job and/or classroom training:
    - (1) Supervised Self Study Self study means any knowledge gained through independent, personal study, such as computer-based training, and overseen by a first-line supervisor, team leader, and/or an experienced inspector/investigator.
    - (2) On-the-Job Training On-the-job training (OJT) means structured training that relates to principles, theories or work-related skills which are demonstrated and applied in the field environment during an actual compliance inspection/field investigation. Optional activities may include other training acquired during fieldwork, not part of an actual compliance inspection/field investigation, participation in an agency case development activity, development of EPA enforcement policies, or participation in a negotiations case settlement.
    - (3) Classroom/classes This refers broadly to any form of instruction, (flexible in format and size to include seminars, workshops, lecture-type or video-assisted classes, or question-and-answer sessions following prior independent self study) that foster group interaction with an instructor or an experienced inspector/investigator.
  - g. Completing Required Training Completion of required training means satisfactorily completing all applicable self study, OJT, and classroom training, as defined in Item 4 of this Order.
  - h. Working Knowledge A general definition of working knowledge is sufficient knowledge of statutory/regulatory requirements, field inspection methods, and some experience accompanying a lead inspector/investigator for a particular program. This knowledge would be required as the minimum needed to be able to evaluate the completeness and quality and sign-off on inspection reports.
7. SUNSET REVIEW DATE This Order should be reviewed three years from the approval date.

REFERENCES

- a. EPA Order 1440. *Safety, Health and Environmental Program (SHEMP)* and associated guidelines.
- b. EPA Order 1440.2, *Health and Safety Requirements for Employees Engaged in Field Activities*.
- c. EPA Compliance Inspector/Field Investigator Training Requirements Guidance Document, Office of Enforcement and Compliance Assurance, Office of Compliance. Contact: Julie Tankersley 202-564-7002, or e-mail at "[tankersley.julie@epa.gov](mailto:tankersley.julie@epa.gov)".



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

WASHINGTON, D.C. 20460

MAR 11 2003

OFFICE OF  
ENFORCEMENT AND  
COMPLIANCE ASSURANCE

MEMORANDUM

**SUBJECT:** Final Framework for Program Specific Training as Required by EPA Order 3500.1

**FROM:** Michael Alushin, Director *M. A. Alushin*  
Compliance Assessment and Media Programs Division

**TO:** Regional Enforcement Division Directors, Regions 1, 2, 4, 6 and 8  
Regional Science and Technology Division Directors, Regions 1-10  
Enforcement Coordinators, Regions 1-10

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**Purpose** The purpose of this memorandum is to transmit the final framework to be used by the Regional/Headquarters media-specific workgroups to develop program-specific training for EPA inspectors as required by EPA Order 3500.1.

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**New Framework** The EPA Inspector Management Committee developed a draft framework for media specific inspector training. The draft framework was sent to the Regions for comment. The attached five (5) page final framework is the result.

The final framework describes a new approach to program-specific inspector training. It modifies the hourly training requirement approach previously required by EPA Order 3500.1. The new approach allows a variety of options to be used to develop program specific inspector training requirements for determining when an EPA employee is qualified to lead compliance inspections. Regional/HQ workgroups will develop more specific program specific training requirements that may include some hourly training requirements. The framework includes:

1. Examples of core minimum training for RCRA, CAA-Stationary Source, and CWA-NPDES programs
2. On-the-Job Training and Mentoring

3. Supervisor Evaluation and Decision on Leading Compliance Inspections
4. Annual Certification by first-line supervisors for inspectors meeting the Order
5. Refresher Training Requirements for existing EPA inspectors

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**Background** On July 15, 1988, the Administrator transmitted a memorandum titled "Agency-Wide Program to Train, Develop, and Recognize Compliance Inspectors/Field Investigators". This was a companion memo to the June 29, 1988 memo transmitting EPA Order 3500.1. The July 15 memorandum included Appendix D-- Summaries of Program-Specific training for the following programs:

- CAA-Stationary
- CAA Mobile Sources
- CERCLA
- NPDES
- Pesticides/Toxic Substances
- Public Water Supply Supervision
- RCRA
- UIC
- Wetlands

The program specific training in Appendix D required EPA staff to comply with a specific number of hours before they could take the lead for compliance inspections. The hours ranged from ~ 100 for the wetlands inspection program to ~ 350 for the CAA inspection program.

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**Use of the Framework** The framework is to be used by Regional/HQ media specific workgroups as a guide to develop a more specific set of minimum inspector training requirements for the individual media programs (e.g., CAA-Stationary Source, RCRA, CWA-NPDES, TSCA, etc.).

**The revised program specific training requirements would replace the training requirements described in the 1988 Appendix D-- Summaries of Program-Specific Training.**

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**EPA Order 3500.1** The revised EPA Order 3500.1 was approved and became effective on December 23, 2002. It should be posted soon on the OC Inspector Website at: <http://intranet.epa.gov/oeca/oc/campd/inspector/index.html> and the Agency Directives System at: <http://intranet.epa.gov/rmpolicy/direct.htm>.

Thank you for your attention to this memorandum.



**Attachments**

cc: EPA Inspector Management Committee  
OC Division Directors  
ORE Division Directors  
OSRE Division Directors  
Field Operations Group, Regions 1-10  
Regional Compliance Monitoring Managers, Regions 1-10  
Diana Love, National Enforcement Investigations Center  
Gerald Bryan, National Enforcement Training Institute  
David Lopez, Office of Solid Waste and Emergency Response  
Rich Ackerman, ORE-Air

**EPA Order 3500.1 Program Specific Curriculum Final Framework/Guidance**  
March 11, 2003

This framework is intended to be used by Regional/HQ media specific workgroups to formulate more detailed and applicable training requirements for individual media inspection programs.

**Revised EPA Order 3500.1 states:**

*“Program-Specific Curriculum – This curriculum establishes the required training in legal, programmatic, and technical subjects for each major media program or specific program compliance inspection/field investigation activity. The curriculum is contained in the EPA Compliance Inspector/Investigator Training Guidance Document. If the program-specific curriculum for each major media program or specific program compliance inspector/field investigator activity is not specified, then a minimum of 24 hours of appropriate and relevant program-specific training and completion of a minimum of two (8-hour) days of on-the-job training or two compliance inspections/field investigations (whichever is longer) must be completed. The appropriateness and relevance of the training is to be determined by the supervisor/team leader and based on the type and nature of work to be performed. Additional program-specific specialized training is recommended to further develop inspection skills.”*

**The final framework described below was developed by the members of the EPA Inspector Management Committee:**

Barbara Finazzo: Region II, Director, Division of Environmental Science and Assessment Division  
Winston Smith, Region IV, Director, Air, Pesticides, and Toxics Management Division  
Betty Berry – Region VII, Chief, RCRA and Air Branch  
Beverly Spagg – Region IV, Chief, Air Enforcement Branch  
Antonio Quinones – Region IV, Chief, Enforcement and Investigations Branch  
Marvin Frye – Region VIII, Senior Enforcement Specialist  
Phil Wong – Region X, Investigations and Engineering Unit Manager  
Craig Kubik – NEIC, Field Investigations Branch Chief  
Linda Flick – NETI, Deputy Office Director  
Mike Alushin – OECA, OC, Director, Compliance Assessment and Media Programs Division  
*Co-Chairs:* Ken Rota – Region I Branch Chief & Ken Gigliello – CAMPD Associate Director

**The final framework includes three components:**

- Core minimum media training (e.g., self-study, computer or live training courses, videos)
- OJT and mentoring with senior inspector, and
- Supervisor evaluation and decision on leading inspections.

**The framework provides examples of what could be included in a core minimum for the RCRA, CAA, and CWA. These are ONLY examples. The media-specific workgroups should use the guidance and examples to enhance the framework by including core media-specific training such as:**

- Identifying regulations inspectors should review
- Identifying training courses inspectors should take, if routinely available either at a central location by OECA, or in a Region using already developed training materials
- Identifying additional reference materials inspectors should review
- Developing a media-specific worksheets to help first-line supervisors document training

RCRA Hazardous Waste, Universal Waste, and Used Oil	Clean Air Act - Stationary Source	Clean Water Act -NPDES
<b>1) Core Minimum:</b>	<b>1) Core Minimum:</b>	<b>1) Core Minimum:</b>
<p><b>Mandatory Self-Study/Review</b>  <i>Relevant sections of the RCRA statute such as Section 3007(a) inspection authority</i></p> <p><i>RCRA Regulations:</i>  → 40 CFR Part 260-262 (178 pages)  → 40 CFR Part 266 (111 pages)  → 40 CFR Part 268 (164 pages)  → 40 CFR Part 273 (16 pages)  → 40 CFR Part 279 (18 pages)</p> <p><i>Guidance/Reference materials:</i>  → RCRA Regional QA/QC Plan  → RCRA CBI Manual  → RCRA Inspection Manual, 1998  → RCRA ERP, 1996  → RCRA Orientation Manual, 1995</p> <p><b>Recommended self-study/review</b>  → 40 CFR Part 263 (4 pages)  → 40 CFR Parts 264-265 (434 pages)  → RCRA SQG Handbook  → RCRA On-Line (<a href="http://epa.gov/rcraonline/">http://epa.gov/rcraonline/</a>)</p> <p><b>Recommended Courses (not required)</b>  RCRA Regional QA/QC Plan  RCRA Inspector Institute  RCRA Inspector Basic CD-Rom  Advanced RCRA Inspectors Institute  RCRA Practitioners Course  Commercially available RCRA Courses</p> <p>NOTE: Media-specific workgroups can recommend specific course(s) be taken if the course(s) is available on a routine basis</p>	<p><b>Mandatory Self-Study/Review</b>  <i>Relevant sections of the CAA statute such as Section 114 (a)(2) inspection authority</i></p> <p><i>CAA Regulations:</i>  → 40 CFR Part 50.1-50.12 (4 pages)  → 40 CFR Part 51.100-232(58 pages)  → 40 CFR part 52 (General Provisions- 52 pages)  → 40 CFR Part 60, Subpart A (57 pages)  → 40 CFR Part 64 (16 pages)</p> <p><i>Guidance/Reference materials:</i>  → CAA QA/QC Regional Plan  → CAA Compliance Monitoring Strategy, 2001  → CAA CBI Manual  → CAA ERP, 2000  → Inspection Protocol and Model Reporting Requirements for Stationary Sources, 1992  → CAA Compliance Monitoring Procedures, 1986</p> <p><b>Recommended self-study/review:</b>  → 40 CFR Parts 60, 61,63 – specific industries  → Minimum Data Requirements for CAA, 1998  → MACT Implementation Strategy, 1997  → MACT Implementation Tools  → Adopt-A-MACT tools</p> <p><b>Recommended Courses (not required):</b>  CAA Regional QA/QC Plan  Basic Air Pollution Control Equipment  Baseline Source Inspections/Techniques  Visible Emission Enforcement  Principles/Practices of Air Pollution Control</p> <p>NOTE: Media-specific workgroups can recommend specific course(s) be taken if the course(s) is available on a routine basis</p>	<p><b>Mandatory Self-Study/Review</b>  <i>Relevant sections of the CWA statute such as Section 308(a)(4)(B) inspection authority</i></p> <p><i>CWA Regulations:</i>  → 40 CFR Part 122 (102 pages)</p> <p><i>Guidance/Reference materials:</i>  → CWA QA/QC Regional Plan  → NPDES Inspection Manual, 1994  → CWA CBI Manual  → CWA ERP  → NPDES FAQ's (<a href="http://www.epa.gov/npdes">www.epa.gov/npdes</a>)  → Intro. to National Pretreatment Program, 1998  → CAFO Inspectors Manual (if applicable)  → CAFO Implementation Plan (if applicable)</p> <p><b>Recommended self-study/review:</b>  → USDA/EPA Unified Strategy for Animal Feeding Operations, 1998  → Plain English Guide to Biosolids Rule  → Effluent Guidelines Plan, 2000</p> <p><b>Recommended Courses (not required)</b>  CWA Regional QA/QC Plan  NPDES Compliance Monitoring  Flow Measurement  CAFO Inspection  DMR QA  Pretreatment  Stormwater</p> <p>NOTE: Media-specific workgroups can recommend specific course(s) be taken if the course(s) is available on a routine basis</p>

RCRA Hazardous Waste, Universal Waste, and Used Oil	Clean Air Act - Stationary Source	Clean Water Act -NPDES
<p><b>2) OJT and mentoring with senior inspector</b></p>	<p><b>2) OJT and mentoring with senior inspector</b></p>	<p><b>2) OJT and mentoring with senior inspector</b></p>
<p>Depending on the experience level of inspector and the need in the Region conduct OJT at facilities such as:</p> <p><i>Small Quantity Generators, Generators, Transporters, Used Oil collection and storage facilities, permitted storage facilities, and other smaller and less complex facilities.</i></p> <p>New inspectors are required to conduct at least two (2) inspections with a senior inspector before leading an inspection. The actual number of inspections required before the new inspector is approved to lead inspections will be determined by the first-line supervisor.</p> <p>NOTES:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Inspections at Treatment, Land Disposal, or Incinerators are <b>not recommended</b> for new inspectors within the first 6 months</li> <li><input type="checkbox"/> First-line supervisors should achieve efficient use of new inspectors by encouraging OJT for specific types of inspections (e.g. dry cleaners, auto service) that would expedite the approval to lead inspections.</li> </ul>	<p>Depending on the experience level of the inspector and the need in the Region conduct OJT at facilities such as:</p> <p><i>Chrome platers, dry cleaners, printers, photographic establishments, bakeries, small manufacturing plants, and other smaller and less complex facilities.</i></p> <p>New inspectors are required to conduct at least two (2) inspections with a senior inspector before leading an inspection. The actual number of inspections required before the new inspector is approved to lead inspections will be determined by the first-line supervisor.</p> <p>NOTES:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Inspections at petroleum refineries, large chemical plants, electric utilities, and pulp and paper facilities are <b>not recommended</b> for new inspectors within the first 6 months</li> <li><input type="checkbox"/> First-line supervisors should achieve efficient use of new inspectors by encouraging OJT for specific types of inspections (e.g. dry cleaners, auto service) that would expedite the approval to lead inspections</li> </ul>	<p>Depending on the experience level of inspector and the need in the Region conduct OJT at facilities such as:</p> <p><i>CAFOs, metal finishers, POTW's, facilities subject to stormwater rules, non-contact cooling NPDES permits, and other smaller and less complex facilities.</i></p> <p>New inspectors are required to conduct at least two (2) inspections with a senior inspector before leading an inspection. The actual number of inspections required before the new inspector is approved to lead inspections will be determined by the first-line supervisor.</p> <p>NOTES:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Inspections at petroleum refineries, large chemical plants, and pulp and paper facilities are <b>not recommended</b> for new inspectors within the first 6 months</li> <li><input type="checkbox"/> First-line supervisors should achieve efficient use of new inspectors by encouraging OJT for specific types of inspections (e.g. dry cleaners, auto service) that would expedite the approval to lead inspections</li> </ul>

### 3) Supervisor Evaluation and Decision on Leading Compliance Inspections

The following general procedures should be used by first-line supervisors to decide whether an individual inspector will be approved to lead inspections. These procedures would apply to all media inspection programs including:

- Clean Air Act (Stationary Source (NESHAP, NSPS, NSR/PSD, MACT, Stratospheric Ozone, and 112(r)Risk Management Plans)
- Clean Air Act Mobile Sources
- RCRA Hazardous Waste, Universal Waste, and Used Oil
- Clean Water Act (NPDES, Stormwater, Pretreatment, CAFOs, Biosolids, CSO, and Wetlands)
- Safe Drinking Water Act (Public Water Supply, Underground Injection)
- FIFRA including Good Laboratory Practices (GLP)
- TSCA (PCB, Asbestos, core TSCA, lead paint, and GLP)
- EPCRA
- Underground Storage Tanks (UST)
- Oil Pollution Act (OPA)

#### Procedures

- First-line supervisors are responsible for reviewing the inspector's knowledge, skills, and abilities while the inspector is conducting the core minimum training and the OJT/mentoring.
- First-line supervisors should consult with senior inspector(s) and review inspection reports and other written materials prepared by the inspector.
- First-line supervisors have the flexibility to limit and approve individual inspectors to lead specific types of EPA inspections (e.g., dry cleaners, SQG's, small POTW's, etc.).
- First-line supervisors will base approval to lead inspections on the individual inspector's experience, previous training, ability to learn new material, and ability to demonstrate skills and abilities necessary to lead the inspections.
- First line supervisors are also responsible for granting exceptions to training requirements.
- EPA Order 3500.1 requires first-line supervisors to identify employees who require training, ensuring that employees comply with the Order, and maintain records of action. First-line supervisors will provide an **annual certification** to this requirement. This can be done by either:
  - Preparing a memo to the inspector's personnel file stating that the inspector meets the requirements of the Order for the specific program or programs. Copies should be sent to inspector.
  - Preparing memo to the second-line supervisor (usually a Division Director) with the same information that would go in the inspector's personnel file.

## **REFRESHER TRAINING REQUIREMENTS FOR EXISTING INSPECTORS**

**The recently revised EPA Order 3500.1 states:**

All compliance inspectors/field investigators, full or part time (which may include first-line supervisors or team leaders) must complete annual refresher training as follows:

1. Occupational Health and Safety: EPA's Safety, Health and Environmental Management Program (SHEMP) establishes basic, intermediate, and advanced level training requirements for compliance inspectors/field investigators in its directives and guidelines.
2. OECA, program offices, or first-line supervisors are responsible for identifying any necessary refresher Basic Inspector and/or Media Specific curriculum or new policies, regulations, or legislation.
3. OECA, program offices, or first-line supervisors should identify the additional training necessary to become more proficient in a specific media program, qualified in additional regulations, qualified for inspecting additional industries, or to become more proficient in multi-media work.

### **Guidance on How to Implement Refresher Training Requirements:**

The EPA Inspector Management Committee recommends the best approach to implementing these requirements is for the first-line supervisor to have the responsibility and discretion to determine the appropriate program-specific refresher training needed for individual inspectors and documented in the annual Individual Development Plan (IDP).

To assist first line supervisors, the media-specific workgroups should develop the following tools:

- Program specific guides or worksheets to document refresher training
- Potential media-specific courses offered by OECA, program offices, or the Regions that would be appropriate such as:
  - Newly promulgated regulations (e.g, MACTs, hazardous waste, etc.)
  - New or revised policies (e.g, ERP, Role in Compliance Assistance, Clean Air Act Compliance Monitoring Strategy)
  - Sector training (e.g., petroleum refining, pulp/paper, etc.)
  - Methods to measure inspection activities (e.g., Inspection Conclusion Data Sheets)

## Attachment C

### **EO 3500.1 Proposed Media-Specific Discrete Program Workgroups (Dated 2/26/03):**

#### **CAA Workgroup:**

Stationary Sources (NSPS/MACT/NESHAP)  
Stationary Source NSR/PSD  
Stratospheric Ozone including CFC's  
112(r) Risk Management Program  
Acid Rain (Continuous Emissions Monitoring)

#### **Lead Office/other Offices**

OC/CAMPD and ORE/AED  
OC/CAMPD and ORE/AED  
OC/CAMPD, ORE/AED and OAR  
OC/CAMPD and ORE/RED  
OAR and OC/CAMPD

#### **CWA-Industrial/OPA/Wetlands Workgroup:**

NPDES - Industrial  
OPA (SPCC)  
Wetlands

OC/CAMPD and ORE/WED  
OC/CAMPD, OSWER and OSRE  
OC/CAMPD, OW and ORE/WED

#### **CWA-Municipal Workgroup:**

NPDES - Municipal (CSO/SSO/POTWs)  
NPDES - Pretreatment  
NPDES - Sewage sludge disposal

OC/CASPD and OW  
OC/CASPD and OW  
OC/CASPD and OW

#### **CWA-CAFOs Workgroup:**

NPDES - CAFOs

OC/AgD and ORE/AED

#### **SDWA Workgroup:**

UIC  
Public Water Supply (PWS)

OC/CASPD and OW/OGWDW  
OC/CASPD and OW/OGWDW

#### **RCRA Workgroup:**

RCRA (Subtitle C - Hazardous waste)  
RCRA (Subtitle I - UST)

OC/CAMPD and ORE/RED  
OC/CAMPD, OUST, and OSRE

#### **TSCA-PCB/AHERA Workgroup:**

PCBs  
AHERA-Asbestos

OC/CAMPD and ORE/TPED  
OC/CAMPD and ORE/TPED

#### **TSCA-Core/Lead BasedPaint Workgroup:**

Core TSCA  
Lead Based Paint

OC/CASPD and ORE/TPED  
OC/CASPD and ORE/TPED

#### **FIFRA/TSCA-GLP Workgroup:**

Worker Protection Standards  
GLP (TSCA and FIFRA)  
All other FIFRA inspection activities

OC/AgD  
OC/AgD  
OC/AgD

#### **EPCRA Workgroup:**

312  
313

OC/CAMPD and OPPTS  
OC/CAMPD and OPPTS