ARTICLE 4. RESERVED SOLID WASTE FACILITIES; GENERAL REQUIREMENTS

R18-13-401. Solid Waste Facilities; Applicability of Article

Each solid waste facility in this state and not in Indian country is subject to the requirements described in this Article. In addition, specifically described solid waste facilities are subject to best management practices, self-certification or FACILITY plan review requirements as provided in this Chapter.

R18-13-402. Requirement for a Solid Waste Facility Notice

A. For a solid waste facility which begins operating after the effective date of this Section, the owner or operator shall file a solid waste facility notice no later than 30 days prior to beginning operation.

B. For a solid waste facility in operation on the effective date of this Section, the owner or operator shall file a solid waste facility notice within 180 days after the effective date of this Section OR 180 DAYS AFTER PUBLICATION OF THE FORM DESCRIBED IN SUBSECTION D OF THIS SECTION WHICHEVER IS LATER.

C. An updated solid waste facility notice shall be filed when there is a change in the owner, operator, or the name of the solid waste facility, or a change in the physical location of the SOLID WASTE facility or its mailing address.

D. A solid waste facility notice shall be submitted on a form prescribed by the Department.

E. A solid waste facility notice shall include the following information:
   1. The name of the solid waste facility and its mailing address.
   2. The name, address and telephone number of each owner and operator of the solid waste facility.
3. The physical location of the solid waste facility, described in both subdivisions (a) and (b), and either subdivision (c) or (d):
   a. The legal description of the property on which the SOLID WASTE facility is located, expressed by township, range, and section, and county assessor's book, map, and parcel number.
   b. Latitude and longitude expressed in degrees, minutes, and seconds, with the method the location was determined and the nearest city or town.
   c. Physical address expressed as:
      i. Street name and number;
      ii. City, town, community, or post office name;
      iii. State; and
      iv. Zip code.
   d. Driving directions from the nearest city or town.

4. A description of the SOLID waste storage and treatment equipment and methods of SOLID waste management, including types and volumes of SOLID waste handled and the length of time the SOLID waste remains on site.

5. A description of the SOLID waste management practices used at the solid waste facility, including measures taken to protect the environment and to protect the public health.

6. A diagram showing the relative location of the features of the solid waste facility.

7. A site map prepared to scale, indicating property and facility size, relative to the surrounding area.

8. A location map identifying any learning sites within a two-mile radius OF THE FACILITY.

9. The design capacity of the facility.

**R18-13-403. Siting Criteria**

For a solid waste facility which begins operating after the effective date of this Section, the applicable best management practices relating to siting are:

1. The solid waste facility is sited on a parcel zoned for that use.
2. The siting of the solid waste facility shall comply with A.R.S. § 49-767 if the solid waste facility is owned by an agency or political subdivision of this state and the solid waste facility is required to obtain solid waste facility plan approval pursuant to A.R.S. § 49-762.
3. The siting of the solid waste facility shall comply with A.R.S. § 49-772 if the solid waste facility is required to obtain solid waste FACILITY plan approval pursuant to A.R.S. § 49-762.
R18-13-404. Operational Plan

A. The owner or operator of a solid waste facility shall develop, maintain, and comply with a written operational plan that meets the requirements of this Section during the active life of the facility.

B. The operational plan required by this Section shall include the following:
   1. Evidence that the solid waste facility complies with the siting criteria described in A.A.C. R18-13-403.
   2. A plan to control run-on and run-off as described in A.A.C. R18-13-407.
   3. A waste identification and screening program as described in A.A.C. R18-13-408.
   4. A plan to control public access, provide security and prevent unauthorized dumping as required by A.A.C. R18-13-409.
   5. A plan to control wind-blown litter as required by A.A.C. R18-13-410.
   7. Evidence that the SOLID WASTE facility complies with the container and tank standards of A.A.C. R18-13-411.
   8. Contingency plans that meet the standards described in A.A.C. R18-13-412.
   9. Closure plans that meet the standards described in A.A.C. R18-13-413.
  10. Financial assurance information, including estimates for closure, post-closure care, and a copy of the financial assurance mechanism being used to meet the requirements of A.A.C. R18-13-415.
  11. A description of the on-site solid waste handling procedures to be used during the active life of the facility.
  12. A description of the design capacity of the SOLID WASTE facility, specifically identifying the capacity of the SOLID WASTE facility to store SOLID wastes received, by-product wastes, and processed wastes, and the capacity of the SOLID waste handling equipment.
  13. A schedule for conducting internal inspections and monitoring of the SOLID WASTE facility, and measures to be taken to abate or address problematic conditions detected through inspections or monitoring.
  14. Corrective action programs to be initiated under A.R.S. § 49-762.08 if soil, surface water or groundwater is contaminated.
  15. A description of operation and maintenance of installed equipment, including solid waste handling equipment, leachate and gas collection systems, groundwater monitoring systems and other pollution prevention equipment, and identifying the extent to which the equipment relates to best management practices specifically applicable to that type of solid waste facility.
  16. A plan for an alternative SOLID waste handling or disposal system during periods when the solid waste facility is not able to store or dispose of solid waste, including procedures to be followed in the case of equipment breakdown or adverse weather.
17. A training plan that assures SOLID WASTE facility personnel are trained appropriately for the activities at the SOLID WASTE facility, including safety and emergency procedures, and to comply with the requirements of this Chapter.

18. Any measures taken to ensure the protection of children at learning sites IDENTIFIED PURSUANT TO A.A.C. R18-13-402.E.8.

R18-13-405. Operating Record

A. The owner or operator of a solid waste facility shall establish and maintain during the active life of the facility an operating record for each day during which operations, monitoring, or closure activity occurs.

B. The operating record required by this Section shall include the following:
   1. The type and weight or volume of each load of solid waste received.
   2. A record of any deviations from operational plans.
   3. A record of internal inspections and monitoring, if applicable, of the SOLID WASTE facility, measures taken to abate or address conditions detected through the inspections or monitoring. Internal inspections include inspection of incoming loads as well as SOLID WASTE facility inspections.
   4. Monitoring and test results, if applicable.
   5. The training records of those operating the solid waste facility, relative to the operation of the SOLID WASTE facility.
   6. Records of all closure activities.

C. The owner or operator OF A SOLID WASTE FACILITY shall make available for Department inspection at or near the site of the solid waste facility the operating records for the current month and, at a minimum, the operating records for the previous 60 months.


A. Except as otherwise provided in subsection (C) OF THIS SECTION, the owner or operator of a solid waste facility shall submit an annual report to the Department on or before March 1, describing the operations of the previous calendar year.

B. An annual report required by this Section shall be submitted on a form prescribed by the Department and shall include all of the following:
   1. Basic solid waste facility information, including:
      a. The name of the solid waste facility and its mailing address.
      b. The name, address and telephone number of each owner and operator of the solid waste facility.
      c. The physical location of the solid waste facility.
      d. A description of the SOLID waste management practices used at the solid waste facility.
   2. The type and weight or volume of solid waste received each month.
   3. The type and weight or volume of solid waste recycled during the year.
4. The disposition of solid waste not stored or recycled.

5. An indication whether the owner, the operator, or both, **OF THE SOLID WASTE FACILITY** were required to file a certificate of disclosure under A.R.S. § 49-109 during the previous calendar year. If a certificate of disclosure has been filed during the previous calendar year, the owner or operator **OF THE SOLID WASTE FACILITY** shall attach a copy of the certificate of disclosure.

C. The owner or operator of a solid waste facility that is required to report on its activities related to the management of used oil under A.R.S. Title 49, Chapter 4, Article 7, is not required to submit an annual report under this Section describing those activities related to the management of used oil.

**R18-13-407. Storm water Run-on and Run-Off Control System**

A. Except as otherwise provided in subsection (C) **OF THIS SECTION**, the owner or operator of a solid waste facility shall design, construct, operate and maintain a system to control storm water run-on to and run-off from the **solid waste** facility, as required by this Section.

B. A system to control storm water run-on and run-off as required by this Section shall divert water from contacting solid waste and shall handle the diverted water appropriately. In addition, the system shall meet the following standards:

1. A run-on control system shall prevent flow onto the facility during the peak discharge from a 25-year, 24-hour storm.

2. A run-off control system shall:
   a. Collect the water volume resulting from a 25-year, 24-hour storm event.
   b. Control the water volume from a 25-year, 24-hour storm event by retaining the water on-site for reuse, evaporation or proper disposal.

C. To the extent that a solid waste facility is subject to the requirements of the Arizona Pollutant Discharge Elimination System Program under A.R.S. Title 49, Chapter 2, Article 3.1, the owner or operator of the solid waste facility shall comply with those requirements in lieu of complying with this Section.

**R18-13-408. Waste Identification and Screening**

A. The owner or operator of a solid waste facility shall implement a waste identification program to identify specific **SOLID** waste streams to be handled at the facility, the **SOLID** waste analysis requirements and procedures to be imposed on generators, and the **SOLID** waste verification procedures at the facility.

B. The owner or operator of a solid waste facility shall implement a waste screening program to prohibit the receipt of wastes **which** that are not authorized by law to be handled by that type of **solid waste** facility, and to segregate and properly handle wastes requiring special handling.
C. The waste screening program required by this Section shall include the following, at a minimum:

1. Random inspections of incoming loads unless the owner or operator of the solid waste facility takes other steps to ensure that incoming loads do not contain wastes which are not authorized by law to be handled by that type of solid waste facility.

2. Records of any inspections of incoming loads.

3. Training of solid waste facility personnel to recognize wastes which:
   a. Are not authorized by law to be handled by that type of solid waste facility.
   b. Require separation and special handling when received.

4. Notification to the Department within 24 hours after the discovery of wastes which are not authorized by law to be handled by that type of solid waste facility.

5. Proper handling of unauthorized waste until it is removed from the solid waste facility. Proper handling includes the provision of a safe temporary storage area that prevents commingling of the unauthorized waste or other condition that poses a threat to public health or the environment.

6. Proper handling of wastes requiring special handling.

R18-13-409. Control of Public Access; Safety and Security; Prevention of Scavenging and Unauthorized Dumping

A. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility to control public access to the solid waste facility, prevent unauthorized vehicular traffic, provide for site security both during and after hours, and prevent scavenging and unauthorized dumping of wastes.

B. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility to have a sign that identifies the facility and shows at least the name of the site, and, if applicable, hours during which the site is open for public use, what materials the facility does not accept, AND a telephone number to contact the owner or operator about the operation of the facility, and other necessary information posted at the site entrance.

C. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility to have communication capabilities to immediately summon fire, police, or emergency service personnel in the event of an emergency.
R18-13-410. Dust, Litter and Vector Control; Open Burning Prohibited

A. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility to control litter and vector breeding and attraction at the facility, and to control dust as required by 18 A.A.C. 2, Article 6, or as required by more stringent county rules for non-point sources that may apply. The owner or operator of a solid waste facility shall establish a plan to control wind-blown litter that includes equipment and methods to contain litter and a schedule and methods to collect scattered litter in a timely manner.

B. The owner or operator of a solid waste facility shall not engage in or allow open burning, unless it is permitted under A.A.C. R18-2-602, or exempt under 18 A.A.C. 2, Article 15.

R18-13-411. Containers and Tanks

A. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility so that a container used in the handling of solid waste meets the following standards:
   1. Is constructed of durable watertight materials and is designed and maintained to be leak-proof.
   2. Is maintained in good condition and have no severe rusting or apparent structural defects or deterioration.
   3. Is closed with a lid that prevents the loss of materials during storage, processing, treatment, or transport, that prevents access by vectors, and that controls litter.

B. The owner or operator of a solid waste facility shall design, construct, operate and maintain the facility so that a container or a tank used to handle liquid or semisolid solid waste shall meet the following design and construction standards:
   1. A container meets the requirements of subsection (A) OF THIS SECTION.
   2. A tank and ancillary equipment shall be leak-proof.
   3. A tank constructed so that all or any portion of the tank is below ground shall comply with the standards of 40 CFR 280.11(a).
   4. An above ground tank or a container shall be equipped with secondary containment constructed of, or lined with, materials compatible with the waste being stored and capable of containing the volume of the largest tank within its boundary, plus the precipitation from a twenty-five-year storm event. The entire containment system, including walls and floors, shall be sufficiently impervious to the liquid or semisolid solid waste to prevent any SOLID waste released into the containment system from migrating out of the system to the soil, groundwater, or surface water.
   4. Areas used to load or unload tanks or containers shall be designed to contain spills, drippage and accidental releases during loading and unloading of vessels.
5. Tanks and piping and containers shall be protected from impact by vehicles or equipment through use of curbing, grade separation, bollards or other appropriate means.

6. Tanks and containers shall be structurally suited for the proposed use.

7. Tanks, valves, fittings and ancillary piping, and containers shall be protected from failure caused by freezing.

R18-13-412. Contingency Planning

A. The owner or operator of a solid waste facility shall develop, maintain, and comply with a written contingency plan that meets the requirements of this Section.

B. A written contingency plan required by this Section shall describe the steps necessary in the event of fire, explosion, power outage, natural disaster, or other event that significantly disrupts the normal operation of the facility, or in the event of a release of waste, such as a release of explosive gases or the failure of run-off containment system.

C. A contingency plan shall contain emergency response provisions to address an imminent and substantial endangerment to public health or the environment including all of the following:
   1. Twenty-four hour emergency response measures.
   2. The name of an emergency response coordinator responsible for implementing the contingency plan.
   3. Immediate notification to the Department regarding any emergency response measure taken.
   4. A list of people to contact, including names, addresses, and telephone numbers if an imminent and substantial endangerment to public health or the environment arises.
   5. A general description of the procedures, personnel, and equipment proposed to mitigate unauthorized discharges.

D. The owner or operator of a solid waste facility may amend a contingency plan required by the Federal Water Pollution Control Act (P.L. 92500; 86 Stat. 816; 33 U.S.C. 1251, et seq., as amended), or the Resource Conservation and Recovery Act of 1976 (P.L. 94580; 90 Stat. 2796; 42 U.S.C. 6901 et seq., as amended), to meet the requirements of this Section.

E. The owner or operator of a solid waste facility shall maintain at least one copy of the contingency plan required by this Section at the location where day-to-day decisions regarding the operation of the facility are made. The owner or operator of a solid waste facility shall advise all employees responsible for the operation of the facility of the location of the contingency plan.

F. An owner or operator of a solid waste facility shall promptly revise the contingency plan upon any change to the information contained in the CONTINGENCY plan.
A. The owner or operator of a solid waste facility shall develop, maintain, and comply with written closure plans that meet the requirements of this Section.

B. A written closure plan required by this Section shall describe the steps necessary for closure of the solid waste facility and any anticipated future uses of the property following closure.

C. The owner or operator of a solid waste facility shall notify the Department of the intent to close the solid waste facility at least 90 days before closure activities begin. At least 60 days before closure activities begin, the owner or operator of the solid waste facility shall post signs to notify the general public of the proposed closure date.

D. The owner or operator of a solid waste facility that does not receive any solid waste for a period of 365 consecutive days shall immediately commence closure activities according to this Section or other applicable Section in this Chapter.

E. The owner or operator of a solid waste facility that is not subject to the closure requirements of 18 A.A.C. 13, Article 11 shall comply with the following closure requirements:
   1. Remove all solid waste.
   2. Dispose of all solid waste removed from the closing facility only at a solid waste facility regulated by the Department under this Chapter, or to a solid waste facility authorized to receive the waste by a tribal nation, EPA, or another state.
   3. Decontaminate any buildings, fences, roads, equipment or other improvements related to solid waste handling or processing, storage, treatment or disposal.
   4. Sample and analyze soil, groundwater and surface water for contamination if the owner, operator of the facility or the Department know or suspect that there has been a release to groundwater, surface water, or soil. If soil, groundwater or surface water are contaminated, the owner or operator of the solid waste facility shall conduct corrective action under A.A.C. R18-13-414.
   5. Take precautions to prevent unauthorized use of the site.
   6. Begin closure activities no later than 30 days after the date on which the facility receives the final shipment of waste.
   7. Complete closure activities within 90 days after the date on which closure activities begin, unless the Department approves a reasonable extension of the closure deadline based upon an application and demonstration by the owner or operator of good cause for the extension and that the closure will otherwise meet the requirements of this subsection.

F. The owner or operator of a solid waste facility that closes under this Section shall certify that the clean closure requirements described in subsections (E)(1) through (E)(7) OF THIS SECTION have been met within 30 days after completion of closure. The certification shall be submitted to the Department and included in the facility’s operating record.
G. Any solid waste facility which is not closed as described in subsections (E)(1) through (E)(7) of this section is considered a solid waste land disposal facility subject to SOLID WASTE FACILITY plan approval under A.R.S. § 49-762, subject to closure and post-closure under A.A.C. R18-13-1125 and 1126, and shall modify financial assurance REQUIREMENTS accordingly.

H. The owner or operator of a solid waste facility that is a solid waste landfill shall comply with the closure and post-closure requirements identified in 18 A.A.C. 13, Article 11.

R18-13-414. Corrective Actions

A. The owner or operator of a solid waste facility shall conduct corrective action in response to a release from a THE facility, if the release violates or results from a violation of a design and operation standard in this Chapter, or causes or threatens to cause a significant adverse effect on human health or the environment. Corrective action shall be conducted according IN ACCORDANCE WITH to this Section.

B. The owner or operator of a solid waste facility that is required by this Section to conduct corrective action shall conduct the corrective action in accordance with the standards described in A.R.S. § 49-282.06(A), (B)(4)(a) and (b), (C), (D), and (F).

C. The owner or operator of a solid waste facility that is required by this Section to conduct corrective action shall cause the site to be listed in the repository established for the purpose of listing remediation sites, as required by A.R.S. § 49-152 (E).


A. Beginning 180 days after the effective date of this Article, a solid waste facility may not be operated unless financial responsibility has been demonstrated for the costs of closure, post-closure care, if necessary, and any corrective action as a result of known releases from the facility.

B. A demonstration of financial responsibility made for a solid waste facility under A.R.S. Title 49, Chapter 2, Article 3, suffices in whole or in part, for any demonstration of financial responsibility required by this rule.

C. A demonstration of financial responsibility is subject to 18 A.A.C. 13, Article 18.
ARTICLE 5. RESERVED PROCEDURAL REQUIREMENTS FOR SOLID WASTE FACILITIES SUBJECT TO SELF-CERTIFICATION AND PLAN APPROVAL

R18-13-501. Requirements for Solid Waste Facilities Subject to Self-Certification

A. The owner or operator of a solid waste facility subject to A.R.S. § 49-762.01 shall establish its eligibility to operate by demonstrating to the Department compliance with the self-certification requirements described in this Section.

B. The owner or operator of a new solid waste facility subject to A.R.S. § 49-762.01 shall provide the Department with all of the following, before beginning construction:
   1. A demonstration that the facility meets the siting criteria of 18 A.A.C. R18-13-403 and any Article OF THIS CHAPTER applicable to that type of solid waste facility.
   2. A demonstration that the design of the facility meets the standards of 18 A.A.C. 13, Article 4 and any other Article OF THIS CHAPTER applicable to that type of solid waste facility. This demonstration shall include evidence that the design of the solid waste facility has been sealed by a professional engineer registered in Arizona.
   3. A copy of a public notice published in a newspaper of general circulation in the area in which the facility will be located, stating the intent of the owner or operator OF THE FACILITY to construct and operate a new facility subject to this Section, describing the type of facility and its location, and providing the name and telephone number of a contact person who is able to provide additional information about the facility.

C. The owner or operator of a new solid waste facility subject to A.R.S. § 49-762.01 shall provide the Department with all of the following, before beginning operation:
   1. A demonstration that the facility achieves the design and construction standards of Article 4 OF THIS CHAPTER and any other Article OF THIS CHAPTER applicable to that type of solid waste facility. This demonstration shall be sealed by a professional engineer registered in Arizona.
   2. A demonstration that the operational plan for the facility meets the requirements of 18 A.A.C. R18-13-404 and any Article OF THIS CHAPTER applicable to that type of solid waste facility.
   3. A demonstration that the facility will comply with the standards described in 18 A.A.C. 13, Article 4 and any other Article OF THIS CHAPTER applicable to that type of solid waste facility. This demonstration shall be sealed by a professional engineer registered in Arizona.
   4. A demonstration of the issuance of other environmental permits required by statute or rule for that type of facility.
   5. A demonstration of financial assurance that complies with 18 A.A.C. R18-13-415 and Article 18 OF THIS CHAPTER.
6. An indication whether the owner, the operator, or both, OF THE FACILITY are required to file a certificate of disclosure under A.R.S. § 49-109, and if so, attaching a copy of the certificate of disclosure.

D. The owner or operator of a solid waste facility subject to A.R.S. § 49-762.01 that is an existing facility shall provide the Department with all of the following, within 180 days after the effective date of this Section:

1. A demonstration that the facility meets the siting criteria of A.A.C. R18-13-403 and any Article OF THIS CHAPTER applicable to that type of solid waste facility.

2. A demonstration that the operational plan for the facility meets the requirements of A.A.C. R18-13-404 and any Article OF THIS CHAPTER applicable to that type of solid waste facility.

3. A demonstration that the facility complies with the standards described in 18 A.A.C. 13, Article 4 and any other Article OF THIS CHAPTER applicable to that type of solid waste facility. If the owner or operator OF THE FACILITY are unable to demonstrate compliance with the standards described in Article 4 OF THIS CHAPTER and any other Article OF THIS CHAPTER applicable to that type of solid waste facility, they shall specify the standards with which they are unable to comply and shall demonstrate the practices and methods that will be used to achieve compliance with the standards during the succeeding 180 days. These demonstrations shall be sealed by a professional engineer registered in Arizona.

4. A demonstration of the issuance of other environmental permits required by statute or rule for that type of facility.


6. An indication whether the owner, the operator, or both, OF THE FACILITY are required to file a certificate of disclosure under A.R.S. § 49-109, and if so, attaching a copy of the certificate of disclosure.

E. The owner or operator of a solid waste facility subject to A.R.S. § 49-762.01 shall comply with subsections (B)(2) and (C)(1) and(3) OF THIS SECTION when making a substantial change to the facility. The following changes to a solid waste facility are considered substantial changes:

1. An increase in the design capacity of a solid waste facility relative to the design capacity described in the solid waste facility notice and most recent self-certification submittal for that facility.

2. A change in the type of solid waste handled relative to the description of the type of wastes handled in the solid waste facility notice and self-certification submittal for that facility.

3. A material change in the waste management practices at the solid waste facility.

4. A material change in the pollution control devices at the solid waste facility.

5. A change in the system for controlling run-on and run-off.

6. A material change in the closure plan for the solid waste facility.
A change in the cost estimate for closure and post-closure care.

F. The owner or operator of a solid waste facility subject to self-certification under A.R.S. §49-762.01 may seek a change to the application of any requirement of Articles 6 through 10 OF THIS CHAPTER if the owner or operator exercises the option to request approval of a solid waste facility plan under A.R.S § 49-761 (G), rather than certifying compliance.

G. With any initial filing of information under the subsection (B) or (D) OF THIS SECTION, the owner or operator OF A SOLID WASTE FACILITY shall provide the registration fee of five hundred dollars as required by A.R.S. § 49-762.05(H). With a demonstration of compliance with self-certification requirements required because of a substantial change as described in subsection (E) OF THIS SECTION, the owner or operator shall provide a registration fee of two hundred dollars as required by A.R.S. § 49-762.05(H).

R18-13-502. Requirements for Solid Waste Facilities Subject to FACILITY Plan Approval; Application Requirements

A. The owner or operator of a solid waste facility subject to A.R.S. § 49-762 shall establish its eligibility to operate by submitting to the Department, prior to construction, an application for FACILITY plan approval which complies with this Section.

B. An application for a facility plan approval for a solid waste facility subject to A.R.S. § 49-762 shall contain:
   1. Demonstrations that the facility meets the siting criteria of any Article OF THIS CHAPTER specifically applicable to that type of solid waste facility,
   2. Engineering reports, plans and specifications that address the design standards of any Article OF THIS CHAPTER specifically applicable to that type of solid waste facility,
   3. A plan of operation meeting the requirements of any Article OF THIS CHAPTER specifically applicable to that type of solid waste facility,
   4. A closure plan meeting the requirements of any Article OF THIS CHAPTER specifically applicable to that type of solid waste facility,
   5. A post-closure care plan meeting the requirements of any Article OF THIS CHAPTER specifically applicable to that type of solid waste facility,
   6. Documentation as needed to meet the financial assurance RESPONSIBILITY requirements of A.A.C. R18-13-415 and 18 A.A.C. 13, Article 18.
   7. A site map, indicating property and facility size, relative to the surrounding area.
   8. A location map identifying any learning sites in the surrounding area WITHIN A TWO-MILE RADIUS OF THE FACILITY.
   9. A construction quality assurance plan and a construction quality control plan meeting the requirements of A.A.C. R18-13-503.
C. In addition to the requirements of subsection (B) OF THIS SECTION, an application for facility plan approval for a municipal solid waste landfill or a solid waste land disposal facility that is a non-municipal solid waste landfill, a waste disposal pile, or a surface impoundment related to a solid waste facility, shall contain technical information demonstrating that the aquifer protection standards of 18 A.A.C. 13, Article 11 will be met. The following shall be provided as attachments to the application for SOLID WASTE facility plan approval:

1. A topographic map, or other appropriate map approved by the Department, of the facility location and contiguous land area showing the known use of adjacent properties, all known water well locations found within one-half mile of the facility, and a description of well construction details and well uses, if available.

2. A facility site plan showing all known property lines, structures, water wells, injection wells, drywells and their uses, topography, and the location of points of discharge. The facility site plan shall include all known borings. If the Department determines that borings are numerous, the applicant shall satisfy this requirement with a narrative description of the number and location of the borings.

3. The facility design documents indicating proposed or as-built design details and proposed or as-built configuration of basins, ponds, waste storage areas, drainage diversion features, or other engineered elements of the facility affecting discharge. When formal as-built plan submittals are not available, the applicant shall provide documentation sufficient to allow evaluation of those elements of the facility affecting discharge, following the demonstration requirements of A.R.S.49-243 (B) through (F) and (I).

4. A summary of the known past facility discharge activities and the proposed facility discharge activities indicating all of the following:
   a. The chemical, biological, and physical characteristics of the discharge.
   b. The rate, volume, and frequency of the discharge for each facility.
   c. The location of the discharge and a map outlining the pollutant management area described in A.R.S. § 49-244(1).

5. A description of the best available demonstrated control technology employed in the facility, including:
   a. A statement of the technology, processes, operating methods, or other alternatives proposed to meet the requirements of A.R.S. § 49-243(B) through (F) and (I). The statement shall describe:
      i. The alternative discharge control measures considered.
      ii. The technical and economic advantages and disadvantages of each alternative.
      iii. The justification for selection or rejection of each alternative.
   b. An evaluation of each alternative discharge control technology relative to the amount of discharge reduction achievable, site-specific hydrologic and geologic characteristics, other environmental impacts, and water conservation or augmentation.
c. An industry-wide evaluation of the economic impact of implementation of each alternative discharge control technology.

d. A statement reflecting the consideration of factors listed in A.R.S. § 49-243(B)(1)(a) through (h);

6. Proposed points of compliance for the facility based on A.R.S. § 49-244. An owner or operator OF A SOLID WASTE FACILITY shall demonstrate that one of the following:

a. The facility will not cause or contribute to a violation of an Aquifer Water Quality Standard at the proposed point of compliance.

b. If an Aquifer Water Quality Standard for a pollutant is exceeded in an aquifer at the time of issuance of an approved facility plan, no additional degradation of the aquifer relative to that pollutant and determined at the proposed point of compliance will occur as a result of the discharge from the proposed facility. In this case, the owner or operator shall submit an Ambient Groundwater Monitoring Report that includes:
   i. Data from eight or more rounds of ambient groundwater samples collected to represent groundwater quality at the proposed points of compliance.
   ii. An AQL proposal for each pollutant that exceeds an Aquifer Water Quality Standard.

7. A hydrogeologic study that defines the discharge impact area for the expected duration of the facility. The Department may allow the owner or operator OF A SOLID WASTE FACILITY to submit an abbreviated hydrogeologic study or, if warranted, no hydrogeologic study, based upon the quantity and characteristics of the pollutants discharged, the methods of disposal, and the site conditions. The owner or operator may include information from a previous study of the affected area to meet a requirement of the hydrogeologic study, if the previous study accurately represents current hydrogeologic conditions.

a. The hydrogeologic study shall demonstrate one of the following:
   i. That the facility will not cause or contribute to a violation of an Aquifer Water Quality Standard at the applicable point of compliance.
   ii. If an Aquifer Water Quality Standard for a pollutant is exceeded in an aquifer at the time of permit issuance, that no additional degradation of the aquifer relative to that pollutant and determined at the applicable point of compliance will occur as a result of the discharge from the proposed facility;

b. Based on the quantity and characteristics of pollutants discharged, methods of disposal, and site conditions, the Department may require the owner or operator to provide any or all of the following:
   i. A description of the surface and subsurface geology, including a description of all borings.
ii. The location of any perennial, intermittent, or ephemeral surface water bodies.

iii. The characteristics of the aquifer and geologic units with limited permeability, including depth, hydraulic conductivity, and transmissivity.

iv. The rate, volume, and direction of surface water and groundwater flow, including hydrographs, if available, and equipotential maps.

v. The precise location or estimate of the location of the 100-year flood plain and an assessment of the 100-year flood surface flow and potential impacts on the facility.

vi. Documentation of the existing quality of the water in the aquifers underlying the site, including, where available, the method of analysis, quality assurance, and quality control procedures associated with the documentation.

vii. Documentation of the extent and degree of any known soil contamination at the site.

viii. An assessment of the potential of the discharge to cause the leaching of pollutants from surface soil or vadose materials.

ix. Any changes in the water quality expected because of the discharge.

x. A description of any expected changes in the elevation or flow directions of the groundwater expected to be caused by the facility.

xi. A map of the facility’s discharge impact area.

xii. The criteria and methodologies used to determine the discharge impact area.

8. A detailed proposal indicating the alert levels, discharge limitations, monitoring requirements, compliance schedules, and temporary cessation or plans that the owner or operator of a solid waste facility will use to satisfy the requirements of Article 11 of this Chapter.

9. A demonstration of the ability of the owner or the operator of the solid waste facility to maintain the technical capability necessary to carry out the terms of an approved facility plan approval. The owner or the operator shall make this demonstration by submitting all of the following information for each person principally responsible for designing, constructing, or operating the facility:

   a. Pertinent licenses or certifications held by the person.

   b. Professional training relevant to the design, construction, or operation of the facility.

   c. Work experience relevant to the design, construction, or operation of the facility.

10. Any other relevant information required by the Department to determine whether to issue an approved facility plan.
D. In addition to the requirements described in subsections (B) and (C) OF THIS SECTION, an application for a facility plan approval for a municipal solid waste landfill or a solid waste land disposal facility that is a non-municipal solid waste landfill shall contain water balance modeling. All water balance analysis shall be performed using a model having supporting documentation establishing its ability to accurately represent water balance within a landfill unit.

R18-13-503. Requirements for Solid Waste Facilities Subject to Plan Approval; Construction Quality Assurance and Construction Quality Control Plans for New or Expanded Solid Waste Facilities

A. Construction quality assurance and the construction quality control plans shall provide the detailed specifications for the design approved for a solid waste facility under this chapter. The owner or operator OF A SOLID WASTE FACILITY may submit separate construction quality assurance and construction quality control plans. For each specified phase of construction, the construction quality assurance and construction quality control plans shall include:

1. A delineation of the responsibilities for the quality assurance management organization and the quality control management organization, including the chain of command of the quality assurance inspectors and contractors and the quality control inspectors and contractors.

2. A description of the required level of experience and training for the contractor, the contractor's crew, each subcontractor and each subcontractor's crew, and quality assurance and quality control inspectors for every major phase of construction. The description shall be sufficiently detailed to demonstrate that the proposed installation methods and procedures could be properly implemented.

3. A description of the quality assurance and quality control testing protocols for every major phase of construction, which shall include all of the following:
   a. The frequency of inspection.
   b. The type and frequency of testing.
   c. The sampling and field testing procedures and equipment to be utilized.
   d. The list of construction equipment to be utilized.
   e. The calibration of the field testing equipment.
   f. The frequency of performance audits.
   g. The sampling protocol for field and laboratory testing.
   h. The laboratory procedures to be utilized.
   i. The calibration of field and laboratory equipment and the quality assurance and quality control protocols applicable to field and laboratory procedures.
   j. The limits for test failure.
   k. A description of the corrective procedures to be used upon test failure.
l. For each component of the proposed design of a new or expanded solid waste facility, a description of the manufacturer's quality control criteria and minimum standards for on-site and off-site handling, including shipping, handling, storage, installation, and numbers and types of testing required.

B. The owner or operator of a new solid waste facility or an expansion of an existing solid waste facility shall submit to the Department a report describing all the results of the activities included in the construction quality assurance and construction quality control plans within 90 days after completion of the new solid waste disposal facility or the expansion of the existing solid waste facility.

C. A new solid waste facility or an expansion of an existing solid waste facility shall not be operated until the construction quality assurance and construction quality control plans required by subsection (A) OF THIS SECTION are reviewed and approved by the Department.

R18-13-504. Denial of Plan Approval

The Director may deny a FACILITY plan approval if the Director determines upon completion of the application process that the applicant has:

1. Failed or refused to correct a deficiency in the FACILITY plan approval application;
2. Failed to demonstrate that the facility and the operation will comply with the requirements of A.R.S. Title 49, Chapter 4 and this Chapter. The Director shall base this determination on any one or more of the following:
   a. The information submitted in the FACILITY plan approval application.
   b. Any information submitted to the Department following a public hearing.
   c. Any relevant information that is developed or acquired by the Department.
3. Provided false or misleading information.

R18-13-505. Types of Changes to Approved Plans for Solid Waste Facilities Subject to FACILITY Plan Approval: Criteria for Determination

A. A Type I change is an insignificant modification to a solid waste facility with an approved FACILITY plan, that is not directly related to the physical management of solid waste or the replacement of equipment or structures with similar items, and that is not otherwise described as a type II, III or IV change.

B. A Type II change is a minor modification to a solid waste facility with an approved FACILITY plan, that is directly related to the physical management of solid waste, and that is not otherwise described as a type I, III or IV change.
C. A Type III change is a substantial change to a solid waste facility with an approved FACILITY plan, that does not require public notice, that is significant, that requires detailed review by the Department, that is equally or more protective of the public health and environment, and that is not otherwise described as a type I, II or IV change. These changes may include the following:

1. A change to a facility required by a change to a statute or rule.
2. A change to the existing approved design settings or standards that does not increase approved facility capacity, or add or remove pollution control devices.
3. An addition to the types of waste approved to be handled at the facility.
4. An addition to the types of alternative daily cover approved for use at the facility.
5. A change to the approved monitoring program for a facility, including the addition or deletion of a monitoring point or a monitoring constituent, or a change in the frequency of groundwater monitoring.
6. Any modification to the storm water run-on and run-off control system for the facility.
7. A change to the landfill gas monitoring frequency.
8. An addition of a closure plan or closure components to an approved facility plan, and any corresponding change to the facility’s financial assurance plan.
9. A change to the approved closure plan or approved closure components.
10. A change to the approved post-closure care or maintenance program, including a reduction in the post-closure care period.
11. A change to the post-closure use of the facility site.
12. A change of financial assurance mechanism.
13. An annual update approval of a financial assurance mechanism.
14. A change in the total storage, process, treatment, or disposal capacity approved for the solid waste facility, to be achieved through greater compaction of solid waste.

D. A Type IV change is a substantial change to a solid waste facility with an approved FACILITY plan that requires public notice, that is a significant change in the total storage, process, treatment or disposal capacity of the facility, and that is not otherwise described as a type I, II or III change. These changes may include the following:

1. A change in the total storage, process, treatment, or disposal design capacity approved for the solid waste facility, to be achieved by means other than greater compaction of the solid waste.
2. For a facility that is a municipal solid waste landfill or a solid waste land disposal facility, a change that is described by any of the following:
   a. A vertical or lateral expansion.
   b. A side slope increase or decrease.
   c. A change to an approved base liner system.
   d. A change to the leachate collection, recovery and disposal system.
R18-13-506. Requirement for Notification of Changes; Modification of All or Part of an Approved Facility Plan

A. The owner or operator of a solid waste facility shall notify the Department of any change that could be characterized as a Type II, III or IV change prior to initiating the change.

B. A notification of a change to a solid waste facility shall include the following:
   1. A description of the purpose and scope of the change in sufficient detail to determine the type of change.
   2. A statement of and rationale for the category of change requested.

C. The Department shall make a determination of the category of a requested change in accordance with the licensing time frames established under 18 A.A.C. 1, Article 5, Table 12. The Department may request that additional information be submitted regarding the determination of the category of a requested change.

D. If the Department determines that a change is a Type II change, the owner or operator of the solid waste facility may implement the change and modify the approved facility plan without further review by the Department.

E. If the Department determines that a change is a Type III or IV change, the owner or operator OF THE SOLID WASTE FACILITY shall submit an application for a modification of an approved facility plan that contains the application requirements described in A.A.C. R18-13-502(B), (C) and (D). An application for a modification of an approved facility plan based on Type III or IV change shall be accompanied by the fee specified in 18 A.A.C. 13, Article 21.

F. Approved Type III or IV changes which are implemented by construction at the solid waste facility are subject to the construction quality assurance and construction quality control requirements of A.A.C. R18-13-503.

G. The Director may initiate a modification of an approved facility plan pursuant to A.R.S. § 49-782.

R18-13-507. Suspension or Revocation of All or Part of an Approved Facility Plan

A. The Director may suspend or revoke all or part of an approved FACILITY plan for any of the following:
   1. An owner or operator OF A SOLID WASTE FACILITY failed to comply with any applicable provision of A.R.S. Title 49, Chapter 4; this Chapter; or any condition of an approved facility plan.
   2. An owner or operator OF A SOLID WASTE FACILITY misrepresented or omitted a fact, information, or data materially related to a solid waste FACILITY plan approval application or condition of an approved facility plan, of which the owner or operator knew or should have known.
3. The Director determines that an activity or SOLID WASTE facility subject to FACILITY plan approval is causing or will cause a violation of an Aquifer Water Quality Standard at a point of compliance.

4. A discharge permitted by an approved facility plan is causing or will cause imminent and substantial endangerment to public health or the environment; or

5. An owner or operator OF A SOLID WASTE FACILITY failed to maintain financial assurance under A.A.C. R18-13-415.

B. A suspension or revocation under this Section is subject to A.R.S. Title 41, Chapter 6, Article 10.

R18-13-508. Termination of All or Part of an Approved Facility Plan

A. At the request of the owner or operator of a solid waste facility with an approved facility plan, the Director may terminate all or part of an approved facility plan approval if the owner or operator demonstrates that the facility has closed as required by this Chapter for that type of facility, or as required by the approved facility plan for that facility.

B. The Director shall terminate all or part of an approved facility plan or a modification to an approved facility plan issued under this Chapter if the proposed construction or lateral expansion is not begun within 18 months of issuance or, if during the construction or major modification, work is suspended for more than 18 months.
ARTICLE 18. RESERVED FINANCIAL RESPONSIBILITY FOR SOLID WASTE FACILITIES

R18-13-1801. Applicability
A. An owner or operator of a solid waste facility that is not a municipal solid waste landfill shall demonstrate financial responsibility for closure, post-closure care, and corrective action for known releases by submitting and updating financial responsibility plans as required by this Article and A.R.S.§§ 49-761(J) and 49-770.
B. An owner or operator of a municipal solid waste landfill shall comply with the financial responsibility requirements of 40 CFR 258 in effect on May 1, 2004, as incorporated BY REFERENCE in A.R.S. § 49-701 761(B), and R18-13-1802(G).
C. Demonstrations of financial responsibility are subject to the fee requirements in Article 21 OF THIS CHAPTER.
D. Nothing in this Article limits a property SOLID WASTE FACILITY owner or operator’s liability for remedial action, remediation, corrective action, or response action.

A. Beginning 180 days after the effective date of this Section, a solid waste facility shall not begin operation until after the owner or operator OF THE SOLID WASTE FACILITY has submitted a financial responsibility plan to the Department and the Department has approved that plan.
B. Within 180 days after the effective date of this Section, THE OWNER OR OPERATOR OF a solid waste facility that has begun operating shall submit a financial responsibility plan to the Department. The facility may continue to operate while the Department reviews the plan.
C. A financial responsibility plan submitted under this Section shall contain the following information:
1. All of the information required in A.A.C. R18-13-402(E), or a copy of the Solid Waste Facility Notice filed under A.A.C. R18-13-402, if all of the information in the Notice is current and accurate.
2. For SOLID WASTE facility property that is currently or once was a solid waste facility, any known releases from the facility.
3. The plan for solid waste facility closure developed under A.A.C. R18-13-413 or A.A.C. R18-13-1125, including the equipment and activities that will be required.
4. The estimated cost, in current dollars, for a third party to complete site closure. The estimate shall be itemized for each major expense and shall not be reduced by any allowance for the salvage value of equipment, solid waste, or the resale value of the SOLID WASTE FACILITY property.
5. A description of any postclosure monitoring and maintenance that will be necessary after the site is closed to protect public health and the
environment, an estimate of how long postclosure monitoring, maintenance, or both will be necessary, and the cost, in current dollars, for a third party to conduct the postclosure monitoring and maintenance for the estimated period.

6. The cost, in current dollars, for any corrective action required under A.A.C. R18-13-414.

7. The financial assurance mechanism, or combination of mechanisms, proposed to assure that the total FINANCIAL RESPONSIBILITY plan costs described in subsections (C)(4), (C)(5), and (C)(6) OF THIS SECTION will be provided for in the event that the owner or operator of the SOLID WASTE facility is financially unable to, or fails to do so for any reason, including the amount covered by each financial assurance mechanism, and the institution or company that is responsible for each financial assurance mechanism. Each financial assurance mechanism shall comply with the requirements of A.A.C. R18-13-1803.

8. A letter signed by the SOLID WASTE FACILITY owner or operator’s chief financial officer stating how the owner or operator is financially capable of meeting the total FINANCIAL RESPONSIBILITY plan costs. If a financial assurance mechanism is proposed under A.A.C. R18-13-1803(A)(7)-(10), the letter shall include any other environmental obligations of the owner or operator assured by the same assets that are not recognized as liabilities on the owner or operator’s financial statement, including other solid waste facilities, and those associated with underground storage tank facilities, or hazardous waste treatment, storage, and disposal facilities under 40 CFR Parts 264 and 265, regardless of location, and how the assets are sufficient to cover all liabilities.

D. The Department shall take one of the following actions, in writing, on a financial responsibility plan submitted under this Article:

1. Approve the plan.
2. Disapprove the plan.
3. Declare the plan incomplete and describe the information necessary to make the plan complete.

E. Updates of approved financial responsibility plans. The owner or operator of a solid waste facility that has had a financial responsibility plan approved under this Article shall submit an update of the plan to the Director for approval at each of the following times, except that the Director may excuse the submittal of an update under subsection PARAGRAPH (1) or (2) OF THIS SUBSECTION if an APPROVED FINANCIAL RESPONSIBILITY PLAN update has been submitted for the facility within the previous 90 days:

1. The owner or operator of a solid waste landfill shall submit an APPROVED FINANCIAL RESPONSIBILITY PLAN update annually on the anniversary of the plan’s approval unless another date is assigned by the Department.
2. The owner or operator of a solid waste facility that is not a solid waste landfill shall submit an APPROVED FINANCIAL RESPONSIBILITY
PLAN update every three years beginning with the third anniversary of the plan’s approval unless another date is assigned by the Department.

3. Thirty days prior to the SOLID WASTE facility being sold as required under A.A.C. R18-13-1804(B).

4. With the demonstration required by A.A.C. R18-13-501(C)(3) for a substantial change at a facility described in A.A.C. R18-13-501(E), or with the notice of any proposed Type III or IV change at a facility described at A.A.C. R18-13-505(C) or (D). The updated financial responsibility plan should reflect total plan costs after the change is implemented.

5. Sixty days after the discovery of any new release from the facility that requires corrective action under A.A.C. R18-13-414.

F. An update to a financial responsibility plan shall adjust for inflation, reflect cost changes that result from any changes to the SOLID WASTE facility FINANCIAL RESPONSIBILITY plan or facility conditions, and shall include:

1. Any changes to the financial assurance mechanisms for that facility;
2. A certification that the financial assurance mechanisms are being maintained;
3. Any material changes in the financial condition of the owner or operator of the facility since the initial submittal or last update;
4. Material changes in the physical condition of the facility since the initial submittal or last update;
5. A confirmation by the chief financial officer, or an equivalent position if none exists, regarding the owner or operator’s financial capability for the total plan costs; and
6. For updates of FINANCIAL RESPONSIBILITY plans using any instrument listed in A.A.C. R18-13-1803(A)(1) through (A)(6), a demonstration that the instrument meets the requirements of subsections (J)(1) and (J)(2) of this Section.

G. The owner or operator of a solid waste facility that was issued an Aquifer Protection Permit before the effective date of this rule ARTICLE and demonstrated financial competence for closure under A.R.S. § 49-243(N), shall update that demonstration by submitting a financial responsibility plan that meets the requirements of this Article within 180 days of the effective date of this rule ARTICLE. The owner or operator shall maintain each FINANCIAL ASSURANCE mechanism approved in the demonstration OF FINANCIAL COMPETENCE under A.R.S. § 49-243(N) until it is replaced by an approved new FINANCIAL ASSURANCE mechanism.

H. If, at any time, the owner or operator of a solid waste facility determines that changes in total FINANCIAL RESPONSIBILITY plan costs or in the financial assurance mechanisms approved in the financial responsibility plan have caused the FINANCIAL ASSURANCE mechanisms to be no longer sufficient to meet the total FINANCIAL RESPONSIBILITY plan costs, or in any other way to no longer meet the requirements of R18-13-1803, the owner or operator shall provide written notice to the Department of its intent to establish additional or alternate financial assurance. The notice shall be sent by certified mail within 30 days after
such determination. The owner or operator shall submit for Department approval the additional or alternate financial assurance within 90 days after the determination. An owner or operator may acquire alternate financial assurance without determining a FINANCIAL ASSURANCE mechanism insufficient if the alternate financial assurance MECHANISM is approved by the Director.

I. The Director may require an owner or operator OF A SOLID WASTE FACILITY to submit reports of financial condition or other information, in addition to any update specified in subsection (E) OF THIS SECTION, based on the Director’s determination that changes in total FINANCIAL RESPONSIBILITY plan costs or in the financial assurance mechanisms approved in the financial responsibility plan have caused the FINANCIAL ASSURANCE mechanisms to be no longer sufficient to meet the total FINANCIAL RESPONSIBILITY plan costs, or in any other way to no longer meet the requirements of A.A.C. R18-13-1803. If the Director finds, on the basis of such reports or other information, that the financial assurance mechanisms approved in the financial responsibility plan are no longer sufficient to meet the total FINANCIAL RESPONSIBILITY plan costs or in some other way fail to meet the requirements of A.A.C. R18-13-1803, the Department shall notify the owner or operator in writing. The owner or operator shall provide additional or alternate financial assurance within 30 days after notification.

J. General requirements.
   1. A financial responsibility ASSURANCE mechanism submitted under A.A.C. R18-13-1802 shall ensure that the funds assured are sufficient to meet the total FINANCIAL RESPONSIBILITY plan costs when needed, and will be available in a timely fashion when needed.
   2. Each FINANCIAL ASSURANCE mechanism listed in A.A.C. R18-13-1803(A)(1) through (A)(6) shall provide that the period of coverage for the benefit of the Department will continue at least ninety days beyond the date when the next annual or triennial update is due.
   3. Unless otherwise required by the context, the requirements in this Article for each FINANCIAL ASSURANCE mechanism apply when the financial responsibility plan is submitted, and at all times thereafter, until the SOLID WASTE FACILITY owner or operator’s financial assurance obligation is released by the Department under R18-13-1805.


A. The financial responsibility plan shall employ one or more of the FINANCIAL ASSURANCE mechanisms as specified below in subsections (1) through (13) OF THIS SECTION, in an amount that is sufficient to cover the total FINANCIAL RESPONSIBILITY plan costs:
   1. Surety bond guaranteeing payment or performance for closure, post-closure care and corrective action. An owner or operator OF A SOLID WASTE FACILITY may use this FINANCIAL ASSURANCE mechanism if the following conditions are met:
a. The company providing the **SURETY** bond is listed as an acceptable surety on Federal bonds in Circular 570 of the U.S. Department of the Treasury;
b. The company providing the **SURETY** bond is not more than 10 percent owned by the facility owner or operator, by a direct or higher-tier parent corporation of the facility owner or operator, or by a firm whose parent corporation is also the parent corporation of the facility owner or operator, when their ownership shares are taken in the aggregate;
c. The **SURETY** bond provides for payment or performance of the items listed in **A.A.C. R18-13-1802(C)(4) through (C)(6)**, through payment into a standby trust fund, to be established by the owner, operator or surety, of an amount equal to the penal amount if the owner or operator fails to perform the required activities;
d. The penal amount of the **SURETY** bond is at least equal to the total **FINANCIAL RESPONSIBILITY** plan costs if the **SURETY** bond is the only method used to satisfy the requirements of this Article, or a pro-rata amount if used with another financial assurance mechanism.
e. The surety bond names the **Arizona Department of Environmental Quality** as beneficiary;
f. The original or a certified copy of the surety bond is submitted to the Director;
g. Under the terms of the **SURETY** bond, the surety will become liable on the **SURETY** bond obligation when the owner or operator fails to perform as guaranteed by the **SURETY** bond;
h. Under the terms of the **SURETY** bond, the surety may cancel the **SURETY** bond by sending notice of cancellation by certified mail to the owner and operator and to the Director 120 days in advance of cancellation. If the surety cancels the **SURETY** bond, the owner or operator shall obtain alternate financial assurance within 60 days of receipt of cancellation; and
i. The owner or operator may cancel the **SURETY** bond only if alternate financial assurance approved by the Director is substituted, or if the owner or operator is no longer required to demonstrate financial responsibility in accordance with R18-13-1805.

2. **Certificate of deposit.** The owner or operator of a **solid waste facility** may use this **FINANCIAL Assurance** mechanism if the following conditions are met:
a. The owner or operator submits to the Director one or more certificates of deposit made payable to or assigned to the Department to cover the owner or operator’s financial assurance obligation or a pro-rata amount if used with another financial assurance mechanism.
b. Each certificate of deposit is insured by the Federal Deposit Insurance Corporation and is automatically renewable.
c. The financial institution assigns the certificate of deposit to the Arizona Department of Environmental Quality.
d. Only the Department has access to the certificate of deposit.
e. Interest accrues to the owner or operator during the period the owner or operator gives the certificate as financial assurance, unless the interest is required to cover any of the total FINANCIAL RESPONSIBILITY plan costs.

3. Trust fund with a pay-in period. An owner or operator OF A SOLID WASTE FACILITY may use this FINANCIAL ASSURANCE mechanism if the following conditions are met:
a. The trustee is an entity with the authority to act as a trustee;
b. The trustee is not more than 10 percent owned by the owner or operator, by a direct or higher-tier parent corporation of the owner or operator, or by a firm whose parent corporation is also the parent corporation of the owner or operator, when their ownership shares are taken in the aggregate;
c. The trustee’s trust operations are regulated and examined by a federal or state agency;
d. The trust is set forth in an agreement that is approved by the Director, names the Department as beneficiary, and sets full funding in an amount at least equal to:
i. The total FINANCIAL RESPONSIBILITY plan costs, or a pro-rata amount if used with another financial assurance mechanism, or
ii. The amount specified in a compliance schedule approved in the FINANCIAL RESPONSIBILITY plan approval; and
e. The pay-in period shall be 15 months for closure and postclosure costs, and one half of the length of the corrective action plan approved under A.A.C. R18-13-412 for corrective action costs.
f. The trust fund may be terminated by the owner or operator only if the owner or operator substitutes alternate financial assurance as specified in this Section or if it is no longer required to demonstrate financial responsibility under A.A.C. R18-13-1805.

4. Letter of Credit. An owner or operator OF A SOLID WASTE FACILITY may use this FINANCIAL ASSURANCE mechanism if the following conditions are met:
a. The financial institution issuing the letter OF CREDIT has authority to issue letters of credit and its letter of credit operations are regulated and examined by a federal or state agency;
b. The financial institution is not more than 10 percent owned by the owner or operator, by a direct or higher-tier parent corporation of the owner or operator, or by a firm whose parent corporation is also the parent corporation of the owner or operator, when their ownership shares are taken in the aggregate;
c. The financial institution names the Arizona Department of Environmental Quality as sole beneficiary for the letter of credit;
d. The letter of credit is prepared by the financial institution and identifies the letter of credit issue date, expiration date, dollar sum of the letter of credit, the name and address of the Department as the beneficiary, and the name and address of the owner or operator it is issued to; and

e. The letter of credit is irrevocable and issued for at least one year. The letter of credit shall provide that the expiration date is automatically extended for a period of at least one year unless the issuing institution has cancelled the letter of credit by sending notice of cancellation by certified mail to the owner or operator and to the Director 90 days in advance of cancellation or expiration. The owner or operator shall provide alternate financial assurance within 60 days of receipt of notice of expiration or cancellation.

5. Insurance policy. The owner or operator of a solid waste facility may use this financial assurance mechanism if the following conditions are met:

   a. The insurer is a non-captive insurer authorized to transact the business of insurance in Arizona and has an AM BEST Rating of at least a B+ or the equivalent.

   b. The owner or operator submits a copy of the insurance policy to the Department, along with the certificate of insurance and any declarations and endorsements.

   c. The insurance policy guarantees that funds will be available to pay the total financial responsibility plan costs, without a deductible, or a pro-rata amount if used with another financial assurance mechanism. The policy also guarantees that once closure, postclosure, or corrective action begins, and while the activities are being conducted, the insurer is responsible for paying out funds to the Director or other entity designated by the Director up to an amount equal to the face amount of the policy.

   d. Actual payments by the insurer will not change the face amount, although the insurer’s future liability may be reduced by the amount of the payments, during the policy period.

   e. The insurance policy names the Arizona Department of Environmental Quality as additional insured.

   f. The policy provides for payment into a standby trust fund, to be established by the owner, operator, or insurer.

   g. The insurance is effective before substitution of the policy for another financial assurance instrument mechanism, and for new solid waste facilities, before they begin to operate.

   h. The policy contains a provision allowing assignment of the policy to a successor owner or operator. The transfer of the policy is conditional upon consent of the insurer and the Department.

   i. The insurance policy provides that the insurer may not cancel, terminate, or fail to renew the policy except for failure to pay the premium. The automatic renewal of the insurance policy, at
minimum, provides the insured with the option of renewal at the face amount of the expiring policy. If the owner or operator fails to pay the premium, or chooses to let the INSURANCE policy lapse, the insurer may cancel the policy by sending notice of cancellation by certified mail to the owner or operator and to the Director 90 days in advance of cancellation or termination. If the insurer cancels the INSURANCE policy, the owner or operator shall provide alternate financial assurance within 60 days of receiving the notice of cancellation.

6. Deposit of funds with the State Treasurer, if the following conditions are met:
   a. The owner or operator OF A SOLID WASTE FACILITY deposits funds with the State Treasurer, is notified by the State Treasurer that an account has been set up for financial assurance purposes payable to the Department under A.R.S. § 49-761, and provides a copy of this notice to the Department.
   b. The owner or operator OF A SOLID WASTE FACILITY pays money into the account by company, cashier, or certified check, or money order, or other method approved by the Department.
   c. The amount of the deposit is refundable if approved by the Department and the State Treasurer.

7. Certificate of self-insurance. Instead of an insurance policy under subsection (5) OF THIS SECTION, an owner or operator OF A SOLID WASTE FACILITY may request the Director to issue a certificate of self-insurance if the following conditions are met:
   a. The owner or operator files a bond with the Director for the total FINANCIAL RESPONSIBILITY plan costs, and promises to pay the Department the amount under A.A.C. R18-13-1802 (C)(4) through (C)(6) for closure, postclosure and corrective action as provided under the financial responsibility plan.
   b. The owner or operator qualifies for the corporate financial test mechanism under subsection (8)(a) or (8)(b) OF THIS SECTION.

8. Corporate financial test. An owner or operator OF A SOLID WASTE FACILITY may demonstrate financial responsibility by making the demonstration in either subsection PARAGRAPH (a) or (b) OF THIS SUBSECTION and submitting the information required in subsection PARAGRAPH (c) OF THIS SUBSECTION. The owner or operator shall not consolidate its financial statement with a parent or sibling company.
   a. The owner or operator may demonstrate compliance with subsections (i), (ii), and OR (iii) below:
      i. One of the following:
         (1) A ratio of total liabilities to tangible net worth less than 2.0 and a ratio of current assets to current liabilities greater than 1.5; or
(2) A ratio of total liabilities to tangible net worth less than 2.0 and a ratio of the sum of net annual income plus depreciation, depletion, and amortization to total liabilities greater than 0.1; or

(3) A ratio of the sum of net annual income plus depreciation, depletion, and amortization to total liabilities greater than 0.1 and a ratio of current assets to current liabilities greater than 1.5;

ii. The net working capital and tangible net worth of the owner or operator each are at least six times the total plan costs added to any other environmental obligations assured through a financial test that are not recognized as liabilities on the owner or operator’s financial statements, including other solid waste facilities, and those associated with underground storage tank facilities, or hazardous waste treatment, storage, and disposal facilities under 40 CFR Parts 264 and 265, regardless of location.

iii. The owner or operator has assets in the U.S. of at least 90 percent of total assets or six times the total FINANCIAL RESPONSIBILITY plan costs as adjusted under subsection (ii) OF THIS SUBSECTION.

b. The owner or operator may demonstrate compliance with subsections (i), (ii), and (iii) below:

i. The owner or operator’s senior unsecured debt has a current investment-grade rating as issued by Moody’s Investor Service, Inc. or Standard and Poor’s Corporation;

ii. The tangible net worth of the owner or operator is at least six times the total plan costs as adjusted in subsection (8)(a)(ii) OF THIS SECTION; and

iii. The owner or operator has assets in the U.S. of at least 90 percent of total assets or six times the total plan costs as adjusted in subsection (8)(a)(ii) OF THIS SECTION.

c. The owner or operator shall submit:

i. A letter signed by the owner or operator’s chief financial officer that identifies the criteria in subsection (a) or (b) OF THIS SUBSECTION used by the owner or operator to satisfy the financial assurance requirements of this Section, an explanation of how the owner or operator meets the criteria, and a certification of the letter’s accuracy, and

ii. A statement from an independent certified public accountant verifying that the demonstration submitted under subsection (i) OF THIS SUBSECTION is accurate based on the owner or operator’s audited financial statements for the most recent fiscal year and no adjustment to the financial statement is necessary.
iii. A copy of the financial statements used for subsection (ii) OF THIS SUBSECTION.

d. An owner or operator may use this FINANCIAL ASSURANCE mechanism to assure the amounts needed for more than one facility if the FINANCIAL ASSURANCE mechanism meets the requirements for the total of all environmental obligations at all facilities.


a. The owner or operator OF A SOLID WASTE FACILITY may use guarantees to cover the financial assurance RESPONSIBILITY obligation under this Article if the following conditions are met:

i. The owner or operator submits to the Department an affidavit certifying that the guarantee arrangement is valid under all applicable federal and state laws. If the guarantor is a corporation, the owner or operator shall include a certified copy of the corporate resolution authorizing the corporation to enter into an agreement to guarantee the owner or operator’s financial assurance obligation;

ii. The owner or operator submits to the Department documentation that explains the substantial business relationship between the guarantor and the owner or operator;

iii. The owner or operator demonstrates that the guarantor meets the conditions of the corporate financial test mechanism listed in subsection (8) OF THIS SECTION. For purposes of applying the criteria in subsection (8) OF THIS SECTION to a guarantor, substitute “guarantor” for the term “owner” or “operator” as used in subsection (8) OF THIS SECTION;

iv. The guarantee is governed by and complies with state law;

v. The guarantee continues in force until cancelled as provided below, released by the Director, or replaced by another financial assurance mechanism listed in this Section;

(1) The guarantee will remain in force unless the guarantor sends notice of cancellation by certified mail to the owner or operator and to the Director. Cancellation may not occur, however, during the 120 days beginning on the date of receipt of the notice of cancellation by both the owner or operator and the Director, as evidenced by the return receipts.

(2) If a guarantee is cancelled, the owner or operator shall, within 90 days following receipt of the cancellation notice by the owner or operator and the
vi. The guarantee provides that, if the owner or operator fails to perform closure or postclosure care of a facility covered by the guarantee, the guarantor shall perform or pay a third party to perform closure or postclosure care, as required by the FINANCIAL RESPONSIBILITY plan approval, or establish a fully funded trust fund that complies with subsections (3)(a) through (3)(d) OF THIS SECTION in the name of the owner or operator; and

vii. The guarantor names the Arizona Department of Environmental Quality as beneficiary of the guarantee.

b. Guarantee reporting. The guarantor shall notify or submit a report to the Department within 30 days of:
   i. An increase in financial responsibility during the fiscal year that affects the guarantor’s ability to meet the financial RESPONSIBILITY demonstration;
   ii. Receiving an adverse auditor’s notice, opinion, or qualification; or
   iii. Receiving a Department notification requesting an update of the guarantor’s financial condition.

10. LOCAL Government financial test.
   a. An owner or operator of a solid waste facility that is a county, city, town, or other local government entity may satisfy the requirements of subsections SUB-PARAGRAPHS (i) and (ii) OF THIS PARAGRAPH to demonstrate financial responsibility. The owner or operator shall demonstrate that it meets each of the following financial thresholds based on the owner or operator’s most recent audited annual financial statement or Consolidated Annual Financial Report (CAFR), if available, or a similar document:
      i. The LOCAL government entity shall not have operated at a deficit equal to five percent or more of total annual revenue in each of the past two fiscal years.
      ii. The total to be assured under the local government financial test must not exceed 43 percent of the LOCAL government entity’s total annual revenue. If the LOCAL government entity assures other environmental obligations
through a **LOCAL GOVERNMENT** financial test, including those associated with underground storage tank facilities under A.R.S. § 49-1006, and hazardous waste treatment, storage, and disposal facilities under 40 CFR Parts 264 and 265, it must add those costs to the total **FINANCIAL RESPONSIBILITY** plan costs under a local government financial test.

**b.** An owner or operator **OF A SOLID WASTE FACILITY** that is a state or federal agency shall demonstrate self-financial capability **FINANCIAL RESPONSIBILITY** by providing documentation that verifies the agency’s future responsibility for implementing the approved closure plan submitted under A.A.C. R18-13-1802. The documentation also shall identify a source of funding for associated costs. The documentation shall be signed by an official who is authorized to make such representations on behalf of the agency.

11. **Local government guarantee test.**

**An owner or operator **OF A SOLID WASTE FACILITY** may demonstrate financial assurance **RESPONSIBILITY** by obtaining a written guarantee provided by a **LOCAL** government entity pursuant to **subsections PARAGRAPHS (a) through (e) OF THIS SUBSECTION.**

**a.** The guarantor must meet the requirements of the local government financial test in subsection (10)(a) **OF THIS SECTION**, and must comply with the terms of a written guarantee.

**b.** The guarantor shall submit a resolution authorizing guaranty and a letter signed by its chief financial officer, that indicates the guarantor has a substantial business relationship with the owner or operator and/or will benefit directly by providing the guarantee to the owner or operator.

**c.** The guarantee shall be governed by and construed according to Arizona law.

**d.** The guarantee continues in force until cancelled as provided in subsection (9)(a)(v) **OF THIS SECTION**, released by the Department, or replaced by another financial assurance mechanism listed in this Section.

**e.** If the owner or operator’s closure, post closure, or corrective action fails to take place as established in the **FINANCIAL RESPONSIBILITY** plan, and the owner or operator fails to take necessary measures within 90 days of the Director’s notification, the guarantor shall either perform, or pay a third party to perform, necessary activities, as required by the Department, or establish a fully funded trust fund that complies with subsections (3)(a) through (3)(d) **OF THIS SECTION** in the name of the owner or operator.
f. Guarantee reporting. The guarantor shall notify or submit a report to the Department as provided in subsection (9)(b) OF THIS SECTION.

12. Political subdivision financial test. An owner or operator of a solid waste facility that is a political subdivision, other than a local government entity, shall satisfy the requirements of subsections PARAGRAPHS (a) and (b) OF THIS SUBSECTION to demonstrate financial responsibility. The political subdivision shall demonstrate that it meets each of the following financial thresholds based on the its most recent audited annual financial statement showing, as applicable, its bond rating, income stream, assets, liabilities, and assessed valuation of taxable property:

a. The political subdivision shall not have operated at a deficit equal to five percent or more of total annual revenue in each of the past two fiscal years, AND
b. The total to be assured under the political subdivision financial test must not exceed 43 percent of the entity’s total annual revenue. If the entity POLITICAL SUBDIVISION assures other environmental obligations through a POLITICAL SUBDIVISION financial test, including those associated with underground storage tank facilities under A.R.S. § 49-1006, and hazardous waste treatment, storage, and disposal facilities under 40 CFR Parts 264 and 265, it must add those costs to the total FINANCIAL RESPONSIBILITY plan costs.

13. Any other financial assurance mechanisms or combination of FINANCIAL ASSURANCE mechanisms as approved by the Department, so long as it provides for the amounts specified in R18-13-1802(C)(4), (5), and (6), or as required by a judgment or consent decree. FINANCIAL ASSURANCE Mechanisms guaranteeing performance may not be combined with other FINANCIAL ASSURANCE mechanisms.

R18-13-1804. Plan Amendment; Substitution of Financial Assurance Mechanism; Property Transfers

A. A solid waste facility owner or operator may modify a financial assurance mechanism, substitute a new financial assurance mechanism for another in the financial responsibility plan, or otherwise amend the FINANCIAL RESPONSIBILITY plan with the Department’s prior approval. The new FINANCIAL ASSURANCE mechanism or amended FINANCIAL RESPONSIBILITY plan shall meet the requirements of this Article.

B. At least 30 days before the sale or transfer of a solid waste facility or any property that is subject to a financial responsibility plan under this Article:

1. The SOLID WASTE FACILITY OR property owner or operator shall submit to the Department:
   a. Written notice of the intended sale or transfer, identifying the buyer or transferee, and the anticipated closing date.
b. An update to its financial responsibility plan.
2. The buyer or transferee shall submit to the Department a proposed financial responsibility plan as specified in A.A.C. R18-13-1802, that includes a proposed financial assurance mechanism or mechanisms that meet the requirements of this Article.

C. The Department shall respond to the submittals in subsection (B) OF THIS SECTION as provided under A.A.C. R18-13-1802(D). The seller’s financial assurance shall remain in effect until the buyer or transferee’s financial assurance is approved, and the Department releases the seller’s financial assurance.

D. The Department shall not approve any amendment, substitution or buyer’s financial responsibility plan under this Section unless all fees for the SOLID WASTE facility have been paid as described in A.A.C. R18-13-1806 and Article 21 OF THIS CHAPTER.


A. When an owner or operator OF A SOLID WASTE FACILITY meets all of the requirements for closure specified in this Chapter, it may request that the Department release it from the requirements to demonstrate financial assurance RESPONSIBILITY for closure.

B. When an owner or operator OF A SOLID WASTE FACILITY meets all of the requirements for postclosure care specified in this Chapter, it may request that the Department release it from the requirements to demonstrate financial assurance RESPONSIBILITY for postclosure.

C. When an owner or operator OF A SOLID WASTE FACILITY meets all of the requirements for corrective action specified in this Chapter, it may request that the Department release it from the requirements to demonstrate financial assurance RESPONSIBILITY for corrective action.

D. Upon request under subsection (A), (B), or (C) OF THIS SECTION, the Department shall do one of the following, in writing:
   1. Approve the request.
   2. Deny the request.
   3. Declare the request incomplete and describe the information necessary to make the request complete.


Solid waste facilities subject to FACILITY plan approval that submit financial responsibility plans or FINANCIAL RESPONSIBILITY PLAN updates under this Article shall pay fees to the Department as provided in Article 21 OF THIS CHAPTER.