

**Southwest District  
Air Resource Management  
ENFORCEMENT REFERRALS CHECKLIST**

- Facility Name: \_\_\_\_\_
- Contact Person and phone number – doesn't have to be RO/AR if that is not who you are dealing with.
- Permit Number associated with violation: \_\_\_\_\_
- Review of Permitting File, including current permit, supporting documentation, possible gold sheets.
- Review of Compliance File.
- Copy of the page of the Permit, including project number, with the issue date and expiration date.
- State Specific Condition Violated.
- Copy of the Permit page with the associated Specific Condition – if the condition references previous Specific Conditions or an AC, please include the Permit pages and/or number with this information as well.
- Sunbiz Printout – indicate if company is registered and Active in the State of Florida – [www.sunbiz.org](http://www.sunbiz.org)
- Copy of Responsible Official (RO)/Authorized Representative (AR) page from ARMS indicating the current RO/AR - Check most recent application to make sure RO/AR information in ARMS has been updated.
- Copy of Rule associated with Specific Condition (Be careful here – the Permit could have been issued under Rules that have since been updated) – write exact Rule reference on top of page and highlight Rule on page.
- Copy of Inspection Report including pictures, records, serial numbers, etc., anything that would help with enforcement case.
- Copy of the Field Warning Notice.
- Copy of the Report that is in violation (such as AOR, SOC, etc) – if the report is huge, just copy cover page which includes Department receipt date stamp and the appropriate pages associated with the violation.
- If a report is submitted late, please indicate when report was due, how many days late, if they were notified it was late, and copy of front page of the document with Department receipt date stamp.
- Indicate if there is an application in-house that has not been issued and its status (events screen) – look this information up in ARMS.
- If a test has failed, please research previously submitted tests and results for previous problems.
- If a test is late, please make sure all other permit required tests have been submitted timely. Also do a three year history of test submittals and supply this information with the referral. This information indicates a pattern of test dates.
- Include any pertinent emails between the facility and Air staff.

- Review history of Non-Compliance and Complaints, for any repeat violations.
- Create or verify that a Compliance Activity is in ARMS for the activity that noted the alleged violation – The enforcement coordinator will create a violation in ARMS associated to this activity you created and then resolution activities can be added.
- If follow-up inspections occur after the initial violation, and are solely associated with initial violation (such as collection of additional data, reviewing the completion of previously recorded deficient records, etc.), please list these inspections under the initial activity. These inspections are seen as resolution activities to the initial activity. Please note, these follow-up inspections cannot be added as a resolution activity until the enforcement coordinator creates a violation in ARMS.
- Prepare WL quoting Rule violations and/or Specific Condition violation. Please do not try to interpret the Rule or Specific Condition with your own words. I find it more helpful to pull the Rule language and Specific Condition language as is and include this in the WL.
- Verify Responsible Official (RO)/Authorized Representative (AR) listed in ARMS matches the corporate officers listed on sunbiz.org – Enforcement cases must be mailed to corporate officers, cc RO/AR if different than corporate officer listed on sunbiz.org
- WL–justified, 11 or 12 font, Book Antiqua