

Date: **Date**
 To: **(PI Name/Department)**
 From: Fire Life Safety EH&S
 Re: FDNY Laboratory Inspection – Violation Order (VO)

FDNY CORRECTIVE ACTION NOTIFICATION FORM

On **(date)** the NYC Fire Department (FDNY) conducted a laboratory inspection of **(Bldg, room)** and issued a Violation Order (VO) for the item(s) listed below. Failure to correct the violation(s) by the due date noted below may result in a Notice of Violation (NOV) - a higher level citation - being issued, and may be subject to further escalation including a mandatory court hearing and fine. Once all violations have been corrected, please sign and date this Corrective Action Notification (CAN) Form in the space provided below and email/scan to fire-life@columbia.edu. Upon receipt, EH&S will complete the formal response to the FDNY.

For assistance, please contact fire-life@columbia.edu.

VO Number	Date Due	Safety and Compliance Issue
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XXX12396	7/30/15	Location: (Bldg., room) Finding: FDNY flammable liquid limit (30 gallons) for a Type 1 laboratory was exceeded. Corrective Action: Ensure flammable liquids in excess of 30 gallons are removed from the laboratory.
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XXX12378	7/30/15	Location: (Bldg., room) Finding: Flammable liquids stored in a standard (non-explosion proof) refrigerator. Specifically, a bottle of acetone was observed in the refrigerator. Corrective Action: 1. Remove flammable chemicals from non-explosion proof refrigerator. 2. Ensure that if flammable chemicals must be refrigerated, then an explosion-proof or flammable-proof refrigerator/cold room are utilized.
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The corrective action(s) have been completed and any required documentation is attached.

Signature

P.I. Print Name

Date

Corrective action(s) confirmed by EH&S.

Signature

Print Name

Date

Date: **Date**
 To: **(PI Name/Department)**
 From: Fire Life Safety EH&S
 Re: FDNY Laboratory Inspection – Notice of Violation (NOV)

FDNY CORRECTIVE ACTION NOTIFICATION FORM

On **(date)** the NYC Fire Department (FDNY) conducted a laboratory inspection of **(Bldg, room)** and issued a Notice of Violation (NOV) for the item(s) listed below. Failure to correct the violation(s) by the due date noted below may result in a Summons and a subsequent mandatory court hearing and fine. Once all violations have been corrected, please sign and date this Corrective Action Notification (CAN) Form in the space provided below and email scan to fire-life@columbia.edu. Upon receipt, EH&S will complete the formal response to the FDNY.

For any assistance, please contact fire-life@columbia.edu.

NOV Number	Date Due	Safety and Compliance Issue
XXX12398L	7/30/15	Location: (Bldg., room) Finding: FDNY flammable liquid limit (30 gallons) for a Type 1 laboratory was exceeded. Corrective Measure: Ensure flammable liquids in excess of 30 gallons are removed from the laboratory.
XXX12379X	7/30/15	Location: (Bldg., room) Finding: Flammable liquids stored in a standard (non-explosion proof) refrigerator. Specifically, a bottle of acetone was observed in the refrigerator. Corrective Action: 1. Remove flammable chemicals from non-explosion proof refrigerator. 2. Ensure that if flammable chemicals must be refrigerated, then an explosion-proof or flammable-proof refrigerator/cold room are utilized.

The corrective action(s) have been completed and any required documentation is attached.

Signature

P.I. Print Name

Date

Corrective action(s) confirmed by EH&S.

Signature

Print Name

Date

PROCESS FOR HANDLING an FDNY NOTICE OF VIOLATION (NOV)

(Approved by EMS Steering Committee 6/13/2007 and IHSC 6/14/2007)

1. FDNY issues a Notice of Violation (NOV) to Columbia University for violations found in a [permitted] laboratory and delivers it to EH&S.
2. EH&S delivers a copy of the NOV along with a Corrective Action Notification (CAN) Form to the Principal Investigator (PI) or Department designee within 24 hours of receipt. Notification includes itemized violation(s) and required corrective measure(s). Upon request, EH&S e-mails the CAN Form to the PI or designee.
3. PI or designee signs and returns the CAN Form (via hand-delivery or e-mail) to EH&S by Date Due noted on Form.
4. EH&S visits laboratory within two weeks of NOV issuance to assist with implementation of any corrective measure(s) and verifies that violation(s) have been corrected.
5. Upon receipt of the CAN Form and verification of corrections, EH&S completes and notarizes the FDNY Certificate of Correction portion of the NOV, along with the PI or designee signature and returns the NOV to the FDNY. EH&S notifies PI or designee of completed certification of the NOV via e-mail, including the NOV Number.
6. If the same citation is identified upon an ensuing FDNY audit of the NOV, the FDNY will issue a Summons for the repeat violation which will necessitate an in-person visit to the Environmental Control Board (ECB). An EH&S representative will accompany a Department representative (i.e., Departmental safety liaison, Administrator, Laboratory Manager) to attend the mandatory ECB hearing.
7. The University will pay any fine resulting from the ECB decision unless there are recurrent violations in the same laboratory. If there are recurrent violation(s), EH&S may refer all relevant documentation concerning the NOV to the Executive Vice President for Research (EVPR) for his/her review. If the EVPR determines that the PI has been grossly negligent or in willful violation of FDNY rules, the University will take appropriate action, which may include holding the PI responsible for any fine relating to such NOV. In all other cases the University will pay the fine provided the PI has demonstrated a good faith effort to prevent recurrence and sustain compliance.
8. This process, including review of the data collection on issued Notice of Violations (NOVs) and Violation Orders (VOs), will be reviewed by EH&S on a periodic basis for effectiveness.