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GUIDANCE FOR THE STRATOSPHERIC OZONE PROTECTION PROGRAM

January 1994

Program Implementation Branch
Stratospheric Protection Division
Office of Air and Radiation
U.S. Environmental Protection Agency
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INTRODUCTION

This guidance document outlines the regulatory requirements of the Stratospheric Ozone Protection Program that pertain to the phaseout of ozone depleting substances. These regulatory requirements were promulgated by the U.S. Environmental Protection Agency (EPA or the Agency) in a final rule published on December 10, 1993 (58 FR 65018) (The Rule) and December 30, 1993 (58 FR 69233) in the *Federal Register*. The Agency has developed this guidance document to assist affected companies in complying with the program and to provide examples that illustrate definitions and issues raised by the rule. Also presented are forms and instructions for the various industry reports required by the program.

This document is intended only as guidance, does not represent final Agency action, and cannot be relied upon to impose any obligation or create any enforceable rights on any party. This document in no way changes the requirements established by the rule, and only supplements the explanation provided in the preamble to the rule.

This guidance document is divided into two parts. Part I summarizes the provisions of the rule. Part II discusses definitions and the recordkeeping and reporting requirements for producers, importers, exporters, transformers, and destroyers of the substances that are mandated by the rule. Part II also contains the suggested reporting forms and instructions needed to comply with the reporting requirements.

Further, this document does not address the federal taxes on ozone-depleting substances and on products containing or manufactured with these chemicals. All questions regarding the taxes should be directed to the IRS at 202-348-8556.

The efforts to phase out ozone-depleting chemicals includes a range of policies and requirements authorized under various sections of Title VI of the Clean Air Act Amendments. Provisions of Title VI that may be relevant to users of this document include the following listed in 40 CFR Part 82:

- (1) Phaseout of the Production and Consumption of Ozone-Depleting Substances (Sections 604, 605, and 606), final rules: 58 FR 65018 (12/10/93), and 58 FR 69235 (12/30/93);
- (2) Recycling and Reduction in Emissions of Ozone-Depleting Substances (Section 608), final rule: 58 FR 28660 (5/14/93);
- (3) Servicing of Motor Vehicle Air Conditioners (Section 609), final rule: 57 FR 31242 (7/14/92);
- (4) Bans on Nonessential Products (Section 610), final rules: 58 FR 69672 (12/30/93) and 58 FR 69638 (12/30/93);
- (5) Labeling of products Made with or Containing Controlled Substances (Section 611), final rule: 58 FR 8136 (2/11/93) and, proposed amendment: 58 FR 69568 (12/30/93);
- (6) Significant New Alternatives Policy (SNAP) Program (Section 612), proposed rule: 58 FR 28094 (5/12/93);
- (7) Federal Procurement Requirements (Section 613) Executive Order 12843 and final rule: 58 FR 54892 (10/22/93).

These documents and additional materials relevant to the phaseout may be obtained through the Stratospheric Ozone Protection Hotline at 800-296-1996. It is anticipated that the Agency will issue additional regulations under Title VI as required. Questions regarding the program requirements should be addressed to the Tracking System Program Manager at 202-233-9200. In addition, readers are requested to bring any errors in this document to the attention of the Tracking System Program Manager.

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1. OVERVIEW OF THE STRATOSPHERIC OZONE PROTECTION PROGRAM

1.1 STRATOSPHERIC OZONE PROTECTION PROGRAM

EPA's Stratospheric Ozone Protection Program was originally developed in response to the "Montreal Protocol on Substances that Deplete the Ozone Layer," an international agreement that requires nations that are Parties to the Protocol to reduce and eventually eliminate their production and consumption of ozone-depleting chemicals. The Stratospheric Ozone Protection Program (the Program) is designed to ensure that the U.S. meet its obligations to phase out these substances under the Protocol and the Clean Air Act Amendments of 1990.

It should be noted that the Montreal Protocol phases out production and consumption of ozone-depleting substances. In the context of the Program, the use of the term consumption might be somewhat misleading. It is not the "use" of these substances that is controlled through the regulations. Rather, it is their availability that is being phased out. The regulations define consumption as production plus imports minus exports. This definition originated from the Protocol and appropriately serves to establish nation-wide levels of consumption. At the same time, phasing out consumption within a nation under this definition does not directly impact on the "use" of these substances.

In order to implement this Program, EPA collected information on the amounts of these substances produced, imported, exported, transformed, and destroyed by U.S. companies. The years for which data was collected and the data that companies were required to submit varied depending on the decisions of the Parties as well as requirements of the Clean Air Act.

This information was used by the Agency to establish the U.S. production and consumption ceilings as well as to assign company specific production and import rights to companies actively doing business in these chemicals during the base year of data collection. These production and import rights are called production and consumption allowances and each allowance represents one kilogram. Companies expend allowances when they produce or import controlled ozone-depleting chemicals. These allowances can be traded among companies.

In summary, the program operates as follows:

- 1) In order to produce controlled ozone-depleting substances, companies must use both production and consumption allowances;
- 2) In order to import, companies must use consumption allowances;
- 3) No allowances are required in order to export. Rather, companies that export can apply for and be granted additional consumption allowances;
- 4) If a company exports to Article 5 countries, the company producing these chemicals can request additional production allowances of up to 10 percent of their annual allocation;
- 5) Allowances are no longer required in order to produce ozone-depleting substances for transformation or destruction;
- 6) Allowances are granted on an annual basis, and can not be carried over to the following year;
- 7) Trades; and
- 8) Transformation and destruction.

This guidance document explains the operating procedures in detail.

This guidance document is also designed to assist companies to meet the reporting requirements of the Stratospheric Ozone Protection Program. Under these requirements, companies

that produce, import, export, transform, destroy, trade production and import rights, or import used and recycled ozone-depleting substances are required to report their activities to the Environmental Protection Agency. These companies are also required to maintain records of their activities in dealing with these substances.

1.2 REGULATED CHEMICALS

The regulations to protect stratospheric ozone define two classes of ozone depleting substances. Current restrictions on production and consumption apply to class I substances only. Within class I, there are seven "groups" of chemicals. The following table lists the chemicals in each group. A list of the chemicals and their ozone depletion potential is presented in Appendix A.

CLASS I CONTROLLED SUBSTANCES

Group I

- CFCl_3 -- Trichlorofluoromethane (CFC-11)
- CF_2Cl_2 -- Dichlorodifluoromethane (CFC-12)
- $\text{C}_2\text{F}_3\text{Cl}_3$ -- Trichlorotrifluoroethane (CFC-113)
- $\text{C}_2\text{F}_4\text{Cl}_2$ -- Dichlorotetrafluoroethane (CFC-114)
- $\text{C}_2\text{F}_5\text{Cl}$ -- (Mono)chloropentafluoroethane (CFC-115)
- All isomers of the above chemicals.

Group II

- CF_2BrCl -- Bromochlorodifluoromethane (Halon 1211)
- CF_3Br -- Bromotrifluoromethane (Halon 1301)
- $\text{C}_2\text{F}_4\text{Br}_2$ -- Dibromotetrafluoroethane (Halon 2402)
- All isomers of the above chemicals.

Group III

- CF_3Cl -- Chlorotrifluoromethane (CFC-13)
- C_2FCl_5 -- (CFC-111)
- $\text{C}_2\text{F}_2\text{Cl}_4$ -- (CFC-112)
- C_3FCl_7 -- (CFC-211)
- $\text{C}_3\text{F}_2\text{Cl}_6$ -- (CFC-212)
- $\text{C}_3\text{F}_3\text{Cl}_5$ -- (CFC-213)
- $\text{C}_3\text{F}_4\text{Cl}_4$ -- (CFC-214)
- $\text{C}_3\text{F}_5\text{Cl}_3$ -- (CFC-215)
- $\text{C}_3\text{F}_6\text{Cl}_2$ -- (CFC-216)
- $\text{C}_3\text{F}_7\text{Cl}$ -- (CFC-217)
- All isomers of the above chemicals.

Group IV
CCl4 -- Carbon Tetrachloride

Group V
C2H3Cl3 -- 1,1,1-Trichloroethane (Methyl Chloroform)

All isomers of the above chemical, except 1,1,2-trichloroethane.

Group VI
CH3Br -- Methyl Bromide

Group VII
HBFCs -- Hydrobromofluorocarbons

All isomers of the above chemicals

1.3 DEFINITION OF CONTROLLED SUBSTANCE

The chemicals listed in Section 1.2 of this guidance document are considered to be controlled substances and their import restricted only when they are in bulk containers.

A bulk container is one that serves to transport the chemical and is not used directly in the application of the chemical or as part of a "use system." Iso-tanks used for transporting large volumes of chemicals are clearly bulk containers, as are 50-gallon drums and pressurized cylinders that serve only to transport the chemical. A refrigerator that contains CFC-11 in its foam insulation and uses CFC-12 as its refrigerant is not a bulk container; instead, it is considered a product or a use system. Obviously, the refrigerator does not simply store these chemicals but uses them to refrigerate food. These requirements restrict only bulk chemicals.

Section 82.3(m) of the rule explicitly defines a controlled substance in terms of the container:

[A] controlled substance means any substance listed in Appendix A [of this regulation] whether existing alone or in a mixture, but excluding any such substance or mixture that is in a manufactured product other than a container used for the transportation or storage of the substance or mixture. Any amount of a listed substance which is not part of a use system containing the substance is a controlled substance. If a listed substance or mixture must first be transferred from a bulk container to another container, vessel, or piece of equipment in order to realize its intended use, the listed substance or mixture is a controlled substance.

Although the distinction between a bulk container such as an iso-tank and a product or use system such as a refrigerator is generally clear, some containers are not obviously either bulk containers or parts of use systems. An example of a situation is provided by a 12-ounce container of CFC-12 used to recharge an automobile air-conditioner. The CFC-12, while it is in the container, is not acting and will not act as a refrigerant. The CFC must be charged into the air conditioning system before it can serve as a refrigerant. Once the refrigerant is charged into the air-conditioner, the container is discarded and serves no purpose in the operation of the air-conditioner. Since the container only serves to transport and store the chemical, EPA considers it to be a bulk container and the contained CFC-12 a controlled substance.

Some containers in which controlled substances are transported may subsequently be inserted into equipment or become part of a process in which the chemical is used. In these cases, the

container is considered a product and the chemical is not considered a controlled substance. Fire extinguishers provide an example, where the halon contained in the extinguisher is considered a product and not a controlled substance. The stored halon will eventually be discharged when the fire extinguisher is used.

Another example of a situation where the distinction between a bulk container and a product is not as clear is a reservoir or container housing CFC-113 that is inserted into a laser printer, where the CFC-113 serves as a fusing agent. Such containers may be transported independently of the laser printer, yet must be inserted into the printer in order for the CFC-113 to be used. If the printer cannot operate without the reservoir attached, then the reservoir or container is considered a necessary part of the use system. In these circumstances, the chemical is not considered a controlled substance and is not covered by any import restrictions or reporting requirements under the rule.

The One-Gallon (Four Liters) Rule Of Thumb

In some situations, it may not be clear whether a container is used directly in the application of the chemical (and is therefore a product) or serves only to store and transport the controlled substance (and is therefore a bulk container). For example, a 12-ounce bottle of a CFC-113 mixture may be used as a cleaning agent or a solvent. Under some conditions, a user could apply the solvent directly from the bottle. If this is the case, the bottle is part of the "use system" and the CFC-113 is not considered a bulk controlled substance under the regulation. However, if the user pours the solvent mixture into another container before the cleaner is applied, the Agency would consider the CFC-113 within the 12-ounce bottle a bulk controlled substance since the initial container is used only to store and transport the controlled substance.

Since the Agency, and even the importer or exporter, cannot always determine whether a container is a bulk container or part of a use system, EPA has developed the following "one-gallon rule of thumb." The importer or exporter can make a determination that, when, and only when, it is impossible to determine how a container is used in applying the chemicals because there are several known possible methods of use, chemical containers of one gallon (or the metric equivalent of four liters) or less are considered products. Chemicals in containers larger than one gallon are considered bulk and thus controlled substances. This rule of thumb only applies when the eventual use of the container is not known and cannot be determined with reasonable effort.

1.4 THE ALLOWANCE SYSTEM

Production and Consumption

The Parties to the Montreal Protocol agreed that two separate limits should be placed on Parties. The first limit restricts production of controlled substances, while the second limit restricts their consumption. The twin restrictions ensure that countries that either produce or use ozone depleting substances take steps to reduce and eventually eliminate these activities. According to the Protocol, a country's production of a specific controlled substance is defined as the total quantity of the controlled substance that is manufactured, excluding the manufacture of any of the substance that is used and entirely consumed in the manufacture of other chemicals (that is, chemically transformed), as well as any quantity that is destroyed. A country's consumption of a particular controlled substance is defined as the sum of that country's production of the substance plus its bulk imports minus its bulk exports. The 1990 Clean Air Act amendments adopted the same scheme as the Protocol to limit and phaseout production and consumption.

The term consumption, as defined by the Montreal Protocol, does not relate to how a controlled substance is used. There are no restrictions placed by the Protocol on, for example, use of controlled substances in motor vehicle air conditioning, refrigeration, or solvent cleaning applications. EPA similarly does not restrict the use of controlled substances through its allowance system, although other regulations limit the use of controlled substances in certain applications. For example, EPA has promulgated regulations under §§608 and 609 of the CAA establishing standards and requirements to recover and recycle controlled substances during the service, repair, or disposal of air conditioning and refrigeration equipment, and motor vehicle air conditioners. Under §§610 and 611, EPA has promulgated regulations prohibiting the use of controlled substances in products determined to be "nonessential" and instituting labeling provisions. Finally, under §612, EPA is examining the risks associated with the use of alternatives to class I substances, and will publish lists of acceptable and unacceptable substitutes in various sectors.

Allowances

The December 10, 1993, rule places restrictions on U.S. producers and importers similar to those that the Protocol places on the United States. Thus, companies are restricted as to their production and consumption (production plus imports minus exports) of each controlled substance. These restrictions take the form of production and consumption allowances for each chemical that are stated in kilograms. Persons must have both production allowances and consumption allowances to manufacture controlled substances but need only consumption allowances to import controlled substances. In turn, a person may receive allowances for export of these chemicals. The allowances for a particular controlled substance are expended as the company holding them produces or imports the chemical.

Section 82.3(j) of the rule defines consumption allowances as:

... the privileges granted by this subpart to produce and import class I controlled substances; however, consumption allowances may be used to produce class I controlled substances only in conjunction with production allowances...

Section 82.3(ff) defines production allowances as:

... the privileges granted by this subpart to produce controlled substances; however, production allowances may be used to produce controlled substances only in conjunction with consumption allowances...

A company that produces controlled substances must hold production allowances specific to that substance in a quantity sufficient to cover its level of production (excluding production for transformation or destruction). Furthermore, since production is also included in the calculation of consumption under both the Montreal Protocol and the rule, the company must also hold at least the same number of consumption allowances specific to that substance. For example, to produce ten kilograms of CFC-12, the company must have both ten kilograms of CFC-12 production allowances and ten kilograms of CFC-12 consumption allowances.

A company may import a controlled substance up to the number of the consumption allowances it holds specific to that substance. Unlike production, no other type of allowance is required to import a controlled substance.

Exporters are not required to obtain allowances in order to export. Indeed, an exporter may obtain additional consumption allowances from EPA after he/she exports a controlled substance. To obtain additional allowances, the company must verify that the export occurred by providing EPA with copies of invoices and bills of lading. The Agency will then grant additional consumption allowances equal to the quantity of the controlled substance exported. In general, only exports to signatories of the Protocol or the London Amendments to the Protocol are permitted.

Companies that produce or import controlled substances for transformation or destruction do not need allowances. However, under the current program, production allowances are expended for production that is exported and then transformed. Companies that produce or import controlled substances for emissive purposes but later transform or destroy the substances are eligible for allowance reimbursement. Mechanisms by which companies may obtain additional allowances by exporting and transforming controlled substances are described in Section 1.4, Changes in Allowances.

Baseline Allowances

Companies that produced or imported controlled substances in a specific baseline year determined by the Parties were granted baseline production and consumption allowances by the Agency. For chemicals in Groups I and II, the baseline year was 1986. For chemicals in Groups III, IV and V, the baseline year was 1989. For chemicals in Groups VI and VII, the baseline year was 1991. To determine the baseline year production and consumption allowances granted to each company, EPA required all companies that produced, imported, exported, or transformed controlled substances in the specific baseline year to provide EPA with detailed information on these activities. For Groups VI and VII chemicals, the amounts destroyed were also collected.

EPA used this information to allocate baseline production allowances and consumption allowances to companies that produced or imported controlled substances in the baseline year. Companies that produced controlled substances in the baseline year received production allowances equal to the amount of the chemical (in kg) that they manufactured in that year, minus the amount of their product that was transformed or destroyed in that year. Importers and producers received consumption allowances equal to the quantity of their production allowances plus their imports, minus the quantity of their product that was exported in that year. Where the producer of an export could not be determined, EPA deducted exports from each producer based on the percent share of total production by the producer.

In any given year, a company is allowed to produce and consume no more than a specified percentage of its baseline year production and consumption allowances for each controlled substance, plus or minus any allowances obtained or traded away during the control period, as discussed in Section 1.4. The percentage is reduced over time so that the United States meets its

phaseout obligations under the Montreal Protocol. The percentages for each year, as specified in the Accelerated Phaseout Regulations, are as follows:

Class I Substances

Date	Groups I and III	Group II	Group IV	Group V	Group VI	Group VII
1994	25%	0%	50%	50%	100%	100%
1995	25%	0%	15%	30%	100%	100%
1996	0%	0%	0%	0%	100%	0%
1997	0%	0%	0%	0%	100%	0%
1998	0%	0%	0%	0%	100%	0%
1999	0%	0%	0%	0%	100%	0%
2000	0%	0%	0%	0%	100%	0%
2001 and each year thereafter	0%	0%	0%	0%	0%	0%

Each company's baseline allowances were published in the Federal Register as part of the rule. Those amounts, multiplied by the appropriate percentage from the table above, give the number of allowances that each company is allotted at the beginning of each calendar year. Allowances are chemical-specific. Thus, a company that had a baseline year production of 100 kilograms of CFC-113 and a baseline year consumption of 130 kilograms of CFC-113 would receive 0.25×100 or 25 kilograms of production allowances and 0.25×130 or 32.50 kilograms of consumption allowances for CFC-113 on January 1, 1994.

During the course of the year, a company will generally expend its allowances by producing or importing controlled substances. Once an allowance is used to produce or import a controlled substance, that allowance has been "expended" and cannot be used again. A company may receive additional allowances through trades, exports of specific controlled substances, and transformation or destruction of quantities originally produced or imported for emissive purposes. At no point during the year may a company's production exceed its balance of unexpended production allowances. Similarly, at no point during the year may the sum of a company's imports and production exceed its balance of unexpended consumption allowances.

Allowances are allocated to companies for each twelve month control period (the calendar year). These allowances can be used only during the appropriate control period and cannot be carried forward or backward to other control periods.

Several examples illustrate the interrelationship between allowances.

Example 1

An importer has 20 consumption allowances for carbon tetrachloride and imports 20 kilograms of the substance. After the importer has received the shipment (and expended 20 carbon tetrachloride consumption allowances in the process), the company repackages 10 kilograms for export. After the carbon tetrachloride has been exported, the importer can report the export to EPA, and upon proof of export, the company will receive 10 additional consumption allowances for carbon tetrachloride.

Example 2

A producer has 20 production allowances and 15 consumption allowances for CFC-11. Since the producer needs both production allowances and consumption allowances to produce controlled substances, the manufacturer can produce only 15 kilograms of the chemical, thereby expending both 15 production allowances and 15 consumption allowances. If the producer then exports 5 kilograms of the controlled substance, the company can receive 5 additional consumption allowances for CFC-11 from EPA upon proof of export. With the additional 5 consumption allowances and the remaining 5 production allowances, the manufacturer can produce 5 more kilograms of CFC-11.

Example 3

An exporter does not have any allowances and does not need any allowances to export. However, the exporter would like to import 10 kilograms of methyl chloroform. The exporter may purchase consumption allowances for methyl chloroform from companies that have allowances, and then import the chemical. Alternatively, if the company exports 20 kilograms and presents proof of the export to EPA, the company can receive 20 additional consumption allowances. The exporter can then import an equal quantity of methyl chloroform, or trade the additional consumption allowances to an importer or producer.

However, the rule implements a different approach towards the phaseout of Class II substances. No allowances will be issued, rather, production and consumption will be limited to a cap equal to 3.1 percent of CFCs consumed in 1989 plus the consumption of HCFCs in the same year, both weighted by the ozone-depleting potential. In the United States, these national caps will be implemented as follows:

Class II Substances

Date	Affected Substances	Restriction
Jan 1, 2003	HCFC-141b	Ban on production and consumption, except for specified exemptions
Jan 1, 2010	HCFC-142b, HCFC-22	Production and consumption frozen at baseline levels Ban on production and consumption of virgin chemical unless used as feedstock or refrigerant in appliances manufactured prior to Jan 1, 2010

Jan 1, 2015	All Other HCFCs	Production and consumption frozen at baseline levels Ban on production and consumption of virgin chemical unless used as feedstock or refrigerant in appliances manufactured prior to Jan 1, 2020
Jan 1, 2020	HCFC-142b, HCFC-22	Ban on production and consumption, except for specified exemptions
Jan 1, 2030	All Other HCFCs	Ban on production and consumption, except for specified exemptions

EPA has not yet set baseline levels for the HCFC production and consumption restrictions.

1.5 CHANGES IN ALLOWANCES

As explained above, EPA allocated production and consumption allowances to companies that produced and imported controlled substances in the relevant baseline year. Although EPA allocates allowances to these companies only at the beginning of each year, these and other firms may obtain additional allowances under certain conditions explained in the regulation. This section discusses the ways in which companies can obtain additional allowances by engaging in various transactions. All of these transactions become official only after they are reported to EPA, on the date that EPA processes the transaction.

To facilitate the tracking of these allowances, EPA has set up a computerized database that tracks each company's expended and unexpended allowances in a company specific account. Each time a company submits a report informing the Agency of an action that affects its balance of allowances, EPA issues to the company an allowance balance statement. This statement is similar to the balance statement that a person might receive from a bank. Companies should keep track of their own allowances and should check their records against balance statements they receive from EPA.

Additional Consumption Allowances for Exporting a Controlled Substance to a Nation that is a Party to the Montreal Protocol

Companies that exported controlled substances prior to the regulation can continue to export, and new exporters may enter the market. Since exports reduce the amount of controlled substances consumed domestically, EPA has provided that a company that exports controlled substances to countries that are Parties to the Montreal Protocol may receive additional consumption allowances upon providing proof of the export to EPA. Parties to the Protocol are listed in Appendix B. The company may trade the allowances, or use them to import controlled substances. Alternatively, a company that also holds production allowances may use the additional consumption allowances to produce controlled substances.

Authorizations to Convert Potential Production Allowances to Production Allowances for Exporting a Controlled Substance to an Article 5 Party

Under the Montreal Protocol, the U.S. is allowed to produce specific class I controlled substances (in Groups I, II, III, IV, and V) in excess of its annual production limit if the purpose is to

supply Article 5 countries (specified by the Secretariat) with controlled substances used to meet their basic domestic needs (Appendix B lists the countries who are Article 5 countries). EPA has developed a system of "potential production allowances" and "authorizations to convert potential production allowances to production allowances" that allow producing companies to take advantage of this provision of the Protocol.

At the beginning of each year, each company allocated baseline production allowances receives potential production allowances equal to 10 percent of its baseline production allowances for each controlled substance.

Potential production allowances cannot be used to produce controlled substances. Companies holding potential production allowances may convert them to production allowances after they receive authorizations to convert from the Agency.

The Agency will issue authorizations to convert to any company that submits documentation of exports to Article 5 Parties. The exports must be for the purpose of satisfying the basic domestic needs of that country. An Article 5 country is a Party that is identified as a developing country by the Parties to the Montreal Protocol. Article 5 countries are listed in Appendix C. Companies must submit a request for authorizations to convert along with proof that the export has occurred. In addition, to ensure that the export is indeed only for the purpose of satisfying the basic domestic needs of the country, companies must submit a copy of a contract covering the sale of the controlled substances that contains provisions forbidding the bulk re-export of the controlled substance. The requirements for requests for authorizations to convert are presented in §82.11 of the rule.

Any firm that exports controlled substances to Article 5 Parties may apply for authorizations to convert. The exporter does not need to be a producer. However, in such circumstances the exporter is likely to trade or sell the authorizations to convert to a company that holds potential production allowances.

The Agency will assume that any producer who holds potential production allowances will immediately convert potential production allowances into production allowances when authorizations to convert are issued or traded to that producer.

Inter-Pollutant Conversions

Under §82.12 of the rule, companies may exchange allowances that they hold specific to one chemical for allowances of the same type (i.e., production or consumption) specific to another chemical within the same chemical group. Thus, a company that holds CFC-11 consumption allowances that wishes to import CFC-12 may convert its CFC-11 allowances into CFC-12 allowances, since both CFCs are in Group I. A company would not, however, be able to exchange any type of CFC-113 allowances for carbon tetrachloride allowances since these two chemicals are in the same Group. A company also would not be able to exchange CFC-115 consumption allowances for CFC-115 production allowances. Allowances are not allowed to be traded between different Groups or between different types of allowances. As a result, there cannot be any inter-pollutant transfer between the following Groups; carbon tetrachloride, methyl chloroform, and methyl bromide.

Since the controlled substances have varying abilities to destroy stratospheric ozone, it is necessary to adjust for each chemical's ozone depletion potential (ODP) when converting allowances between chemicals. Scientists have developed a relative scale for ODPs that is based on the ODP of CFC-11, which is set at 1.0. The following table shows the relative ODPs for chemicals in Groups I and III which were assigned by the Parties to the Protocol:

<u>Controlled Substance</u>	<u>ODP</u>
Group I	
CFC-11	1.0
CFC-12	1.0
CFC-113	0.8
CFC-114	1.0
CFC-115	0.6
Group III	
CFC-13	1.0
CFC-111	1.0
CFC-112	1.0
CFC-211	1.0
CFC-212	1.0
CFC-213	1.0
CFC-214	1.0
CFC-215	1.0
CFC-216	1.0
CFC-217	1.0

Similarly, the Parties to the Protocol assigned the chemical in Group IV, Carbon tetrachloride an ODP of 1.1; the chemical in Group V, Methyl chloroform an ODP of 0.1; the chemical in Group VI, Methyl Bromide an ODP of 0.7; and the chemicals in Group VII, the hydrobromofluorocarbons (HBFC-22B1), an ODP of 0.74. The chemicals in Group II, Halons, are not relevant anymore as they have been phased out as of January 1, 1994.

A trade always involves two controlled substances in the same group, one of which has its allowance balance reduced and the other has its allowance balance increased as a result of the trade. The ODP of the first controlled substance (that being traded "away") is multiplied by the number of kilograms of the trade to determine the "calculated level" of the trade. This value, when divided by the ODP of the second controlled substance, yields the number of allowances by which the "recipient" chemical's balance is increased. The number of allowances subtracted from the company's balance for chemical A equals the number of allowances traded plus one percent of that amount. The additional one percent is required by the regulations because of language in Section 607(a) of the Clean Air Act requiring that trades result in greater reductions than would have been the case in their absence.

For two chemicals, A and B, the calculations would look like this:

$$\text{Number of Allowances of A that will be Traded} \times 1.01 = \text{Number of Allowances of A Used}$$

$$\text{Number of Allowances of A to be Traded} \times \frac{\text{ODP of A}}{\text{ODP of B}} = \text{Number of Allowances of B Received}$$

Companies must report trades to EPA and EPA must issue a notice expressing no objection to the trade before allowances may be used for the production or import of the second controlled substance. Inter-pollutant trades within the same company must be reported to the Agency before being undertaken as well.

Inter-Company Transfers

Companies may also transfer their allowances to other companies. For any controlled substance and type of allowance, the number of allowances subtracted from the transferor company's balance is equal to the number of the allowances traded away plus one percent of that amount. It should be clear that when a company engages in a transfer that is both inter-company and inter-pollutant, the company trades away the additional one percent only once. The calculations are the similar to those for inter-pollutant conversions:

$$\text{Number of Allowances of A that will be Traded} \times 1.01 = \text{Number of Allowances of A Used}$$

$$\text{Number of Allowances of A to be Traded} \times \frac{\text{ODP of A}}{\text{ODP of B}} = \text{Number of Allowances of B Received}$$

EPA will review requests for inter-company transfers expeditiously. If according to Agency records the transferring firm has sufficient allowances or authorizations to cover the trade and has no outstanding compliance issues, then EPA will issue a notice of "no objection." If EPA records indicate that the firm has an insufficient balance of the allowances in question, then EPA will disallow the trade.

EPA intends to review and respond to all claims within three days. If the Agency does not respond within this period, the firms may proceed with the transfer. If, however, EPA issues a notice of no objection or fails to respond expeditiously and later discovers that the transferring firm did not hold sufficient allowances to cover the trade, both firms may be held liable for any violation of the regulation that occurred as a result of the transfer.

Trades of Production and Consumption Allowances with Parties to the Montreal Protocol

A U.S. company may receive production and consumption allowances from other countries that are Parties to the Protocol. Consumption allowances that are received by a company as a result of an international trade can only be used to produce ozone-depleting chemicals for export. This provision is required by the Protocol in order to achieve the most efficient use of production capacity. To receive a trade from another Party, the company must submit proof (diplomatic note from the U.S. embassy in country) that the Party has agreed to reduce its production limit to the lesser of three quantities:

- 1) the maximum production that the nation is allowed under the Protocol minus the amount transferred;
- 2) the maximum production that is allowed under the nation's domestic law minus the amount transferred; or
- 3) the average of the nation's actual national production level for the three years prior to the transfer minus the production allowances transferred.

The international controls on ozone depleting substances apply to *groups* of controlled substances, so a U.S. company trading allowances would receive from another Party the right to produce a given ODP-weighted quantity of Group I chemicals rather than the right to produce increased quantities of specific chemicals. The company would then need to decide to which of its

allowance accounts for Group I chemicals the trade should be applied. For example, a company receiving 100 kg of weighted Group I allowances might decide to place them all in their account for CFC-113 allowances. To convert the 100 weighted kilograms of class I allowances to CFC-113 allowances, the company would divide by the ozone depletion potential of CFC-113, or 0.8. Thus the company receiving 100 kg of Group I production and consumption allowances from another Party to the Protocol would actually receive, by its own choice, 125 CFC-113 allowances. Once the trade is approved, the Agency will add the correct number of production and consumption allowances to the recipient company's account.

For transfers to another Party, the Agency will review the transfer request and approve the transfer if it is consistent with the Montreal Protocol and U.S. domestic policy. The Agency will consider such factors as the possible creation of economic hardship, possible effects on trade, and potential environmental implications of the trade of production rights to other Parties. The Agency will consult with the Department of State, the Department of Commerce, and the United States Trade Representative concerning requests for trades to Parties to assist with these determinations.

If such trades are approved, the Agency will subtract from the company's balance the greater of two quantities:

- 1) the amount transferred, or
- 2) (U.S. allowable production) - (U.S. average production over past three years) - (the amount transferred).

If the U.S. company trades away allowances from a chemical in Group I, the other Party may increase its production of Group I chemicals by the amount of the transfer, weighted by the ODP of the chemical being traded. The same would apply for the other groups of controlled substances. Thus, for example, a U.S. company could transfer away 75 kg of CFC-13 allowances. The recipient country could then increase its weighted production of Group III substances by 75×1 (the ODP of CFC-13), or 75 weighted kilograms. Consumption allowances are not traded in this case, since they must be used to import the traded production.

If two or more U.S. companies trade away allowances for the same chemical within the same control period, EPA will divide the total offset among the companies equally. In most instances this will result in the first company receiving a credit for a portion of the offset it had already been assessed.

Additional Allowances for the Transformation or Destruction of Controlled Substances

It is possible that controlled substances were produced and production and consumption allowances expended in the manufacture of controlled substances that were subsequently transformed or destroyed. Under such circumstances, additional allowances may be requested from EPA equal to the quantity of the controlled substances transformed or destroyed. If EPA can determine that allowances had not already been granted for the transformed or destroyed production, the Agency will respond with a notice either granting or denying the additional allowances. If the transformed or destroyed controlled substances were imported, the Agency will grant additional consumption allowances; if the transformed or destroyed controlled substances were produced domestically, the Agency will grant both additional production and consumption allowances.

The number of allowances granted will equal the quantity of the controlled substance transformed or destroyed, and the allowances will only be valid for the control period in which the

transformation or destruction occurs. Such allowances will entitle the holder to either produce or import additional controlled substances; they may also be traded.

1.6 IMPORT AND EXPORT PROHIBITIONS

In Section 82.4(d), EPA prohibits the import and export of Group I and Group II, class I controlled substances to and from a foreign state that is not party to the Protocol or complying with the Protocol. EPA also prohibits the import and export of Groups III, IV, and V, class I controlled substances to and from foreign states not party to the London Amendments or complying with the London Amendments. Appendix B lists the countries who are parties to the Montreal Protocol and the London Amendments.

The rule also prohibits the import of certain products containing Group I and Group II, class I controlled substances from foreign states not party to the Montreal Protocol or complying with the Montreal Protocol. The product categories as listed in the rule are presented below:

Category 1	Automobile and truck air conditioning units
Category 2	Domestic and commercial refrigeration and air conditioning heat pump equipment
Category 3	Aerosol products
Category 4	Portable fire extinguishers
Category 5	Insulation boards, panels, and pipe covers
Category 6	Pre-polymers

1.7 EPA OFFICES RESPONSIBLE FOR THE STRATOSPHERIC OZONE PROTECTION PROGRAM

The two offices within the Office of Air and Radiation responsible for the implementation of the Stratospheric Ozone Protection Program are the Office of Atmospheric Programs and the Office of Air Quality Planning and Standards. The specific divisions within these offices are the Stratospheric Protection Division and the Stationary Source Compliance Division, respectively. These two divisions coordinate efforts to monitor businesses that are involved in the production, import, export, transformation, or destruction of ozone depleting controlled substances. The specific responsibilities of these offices are described below.

Program Implementation Branch Stratospheric Protection Division Office of Atmospheric Programs

This office is responsible for U.S. compliance with the Montreal Protocol and for policy issues related to the implementation of Title VI of the Clean Air Act. The office:

- Maintains the allowance tracking system;
- Monitors trades;
- Responds to requests for additional allowances;

- Grants authorization to convert potential production allowances; and
- Resolves policy issues.

Contact:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air and Radiation
 U.S. Environmental Protection Agency
 401 M Street, SW
 Washington, D.C. 20460
 (202) 233-9200

Stationary Source Compliance Division (SSCD)
Office of Air Quality Planning and Standards

This office is responsible for monitoring industry compliance with the regulation. The office:

- Directs inspections;
- Reviews quarterly reports;
- Provides EPA Regional offices with guidelines on performing inspections of producers, importers, exporters, and transformers; and
- Directs and coordinates compliance and enforcement activities.
- Develop applicability determinations.

Contact:

Chief, Federal Programs Section (EN-341W)
 Stationary Source Compliance Division
 Office of Air Quality Planning and Standards
 Office of Air and Radiation
 U.S. Environmental Protection Agency
 401 M Street, SW
 Washington, D.C. 20460
 (703) 308-8676

Regional Offices

The Regional offices:

- Perform on-site record inspections of records kept by affected companies.

2 REPORTING INSTRUCTIONS AND FORMS

2.1 RECORDKEEPING AND REPORTING

Part II of this guidance document outlines industry recordkeeping and reporting requirements that are part of the Stratospheric Ozone Protection Program. Producers, importers, exporters, transformers, destroyers, and certain persons dealing in recycled substances as defined by the regulation, are required to report periodically on a companywide basis to EPA. To assist the Agency in conducting inspections, producers, importers, transformers, destroyers, and certain persons dealing in recycled substances, also must maintain records as specified in the regulations of controlled substances, transformation, and destruction respectively. Companies that request additional allowances for quantities of a controlled substance used for transformation or destruction must also maintain records. During inspections, these records are used to verify quantities reported to EPA as produced, imported, transformed, or destroyed. Records and copies of reports must be kept by companies for three years.

Generally, importers and transhipers must keep records on a shipment by shipment basis (dated records), while producers are required to maintain records on a daily basis, although some producers may maintain records on a business week basis, adjusting daily production records to account for weekends and holidays. EPA has developed recordkeeping requirements that are consistent, to the extent possible, with the current recordkeeping practices of the industry. The requirements should, therefore, minimally affect individual companies.

Quarterly and yearly reports are sent by companies to EPA's Tracking System Program Manager, who after an initial check, enters them into the ODS Tracking System. The Program Manager may resolve reporting discrepancies over the telephone before entering the report. A cover letter and balance statement for each company is printed and mailed by the Program Manager to acknowledge receipt of the quarterly and end-of-year reports. The Program Manager will then deliver copies of the reports and the disks to the Stationary Source Compliance Division (SSCD).

Companies have the option of submitting an electronic version of the reports, although companies that do so must also submit a hard copy as well. Specific instructions for submitting data and generating hard copies of reports are found in the *Industry User's Manual for the Ozone Depleting Substance Reporting System*, which can be obtained from the Tracking System Program Manager. Electronic reporting is discussed in Section 2.4.

2.2 CONFIDENTIALITY OF INFORMATION

Information in reports submitted in compliance with the rule may be claimed as confidential. A company may assert a claim of confidentiality for any information it submits by clearly identifying the material as confidential. Such information will be treated in accordance with EPA's procedures for handling information claimed as confidential under 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in that subpart. If no claim of confidentiality accompanies a report when it is received by EPA, the report may be made available to the public by EPA without further notice to the company (40 CFR §2.203).

EPA utilizes the services of ICF Incorporated to assist with the operation of the computer tracking system that stores the information submitted through the reports and to provide technical assistance

and support in evaluating the data. The contractor is the designated authorized representative of the Agency and is given information claimed to be confidential. As the authorized representative, the contractor is subject to the provisions of 42 U.S.C. §7414(c) concerning any information that is entitled to protection of trade secrets, as implemented by 40 CFR §2.301(h).

2.3 CONVERSION FACTORS

All quantities must be reported in kilograms, rounded to the nearest whole kilogram. For the purposes of this rule, the generally accepted conversion factor between kilograms and pounds that should be used:

$$\text{kilograms} = \text{pounds} \times 0.4536$$

For example, if an invoice states that 10,000 pounds of a controlled substance were exported, the amount reported to EPA should be $10,000 \times 0.4536$, or 4,536 kilograms.

2.4 ELECTRONIC REPORTING

The Agency can receive reports that are faxed by submitting companies. Since these reports may contain confidential business information, faxed reports are sent to a computer dedicated to their receipt and processing. Only authorized individuals have access to this computer and can review company information and faxed reports. The fax number companies should use to report electronically is 202-233-9581. This number should only be used to file reports or submit information related to tracking allowances under the Stratospheric Ozone Protection Program. Requests for information or other correspondence should be sent to the general fax number of the Stratospheric Ozone Protection Branch, which is 202-233-9577.

EPA has developed a computer program containing electronic versions of the various forms that it makes available to companies free of charge. Quarterly and end-of-year reports, request for trades, and other requests or reports may be entered on a 5¼ inch computer floppy disk and submitted to the Agency. All companies that submit information on a disk must also submit a hard copy of the reports. Companies may obtain a copy of the program by contacting the Tracking System Program Manager at 202-233-9200.

Stratospheric Ozone Protection Program

Reporting Forms

<u>Title</u>	<u>EPA Form Number</u>	<u>Number of Pages</u>	<u>CFR Citation Number</u>
Producer Quarterly Report	7600-5-A	6	82.13(f)(3)
Importer Quarterly Report	7600-5-B	4	82.13(g)(2)
End-of-Year Export Report	7600-5-F	2	82.13(h)
Request for Additional Consumption Allowances and Authorizations to Convert	7600-5-D	3	82.10(a)(1) and 82.11(a)
Request for Allowances for Controlled Substances Intended for Emissive Purposes and Subsequently Transformed or Destroyed	7600-5-H	3	82.9(c)
Notification of Trades	7600-5-C	3	82.12
Request for Approval of Trades with Producing Countries	7600-5-G	4	82.9(b)
Annual Report of Import and Export of Recycled Halons and HCFCs	7600-5-K	2	82.13(p)
Annual Report of Second-Party Transformation and Destruction	7600-5-L	2	82.13(k)(l)
Quarterly Report of Production, Import, and Export of Class II Chemicals	7600-5-J	2	82.13(n)

* All citations are from Volume 40 of the Code of Federal Regulations.

These reporting forms represent recommended formats for providing required information to EPA. Companies may, however, provide the same information in another format if desired.

2.5 PRODUCERS AND PRODUCTION - RECORDKEEPING AND REPORTING REQUIREMENTS AND DEFINITIONS

Recordkeeping

At the request of the Agency, producers of controlled substances submitted reports explaining their recordkeeping procedures. The Agency reviewed these reports and verified that production is measured consistently among producers. Since company specific inspection procedures are based on these recordkeeping procedures, companies must notify EPA of any changes in their daily recordkeeping procedures within 60 days of the change (§82.13(f)). Notification should be sent to:

Tracking System Program Manager (6205J)
Program Implementation Branch
Stratospheric Protection Division
Office of Atmospheric Programs
Office of Air and Radiation
U.S. Environmental Protection Agency
401 M Street, SW
Washington, D.C. 20460

Section 82.13(f)(2) contains the recordkeeping and reporting requirements for producers. According to this section, every producer must maintain the following records:

- Dated records of the quantity of each controlled substance produced at each facility. A facility is defined as any piece of process equipment that converts raw materials or feedstocks into controlled substances (e.g., a reactor);
- Dated records of the quantity of controlled substances produced for use in processes that result in their transformation (in-house transformation) or for use in processes that result in their destruction (in-house destruction) and quantity sold for use in processes that result in their transformation (second-party transformation) or for use in processes that result in their destruction (second-party destruction);
- Copies of invoices or receipts documenting sale of controlled substance for use in processes resulting in their transformation (second-party transformation) or for use in processes that result in their destruction (second-party destruction);
- Dated records of the quantity of each controlled substance used at each facility as feedstock (transformation purposes) or destroyed in the manufacture of a controlled substance or in the manufacture of another substance, and any controlled substance introduced into the production process of the same controlled substance at each facility;
- Dated records identifying the quantity of each chemical not a controlled substance produced within each facility also producing one or more controlled substances;
- Dated records of the quantity of raw materials and feedstock chemicals used at each facility for the production of controlled substances;
- Dated records of the shipments of controlled substances produced at each plant. Note that these records should not include shipments of controlled substances that were not produced at the plant;

- The quantity of controlled substances, the date received, and names and addresses of the source of recyclable or recoverable materials containing controlled substances that are recovered at each plant;
- Records of the date, the controlled substance, and the estimated quantity of any spill or release of a controlled substance that equals or exceeds 100 pounds. The definition of production does not include quantities produced on site that are vented or spilled unintentionally, and these quantities should not be included in the production totals that are reported to EPA; and
- Copies of IRS certification that the controlled substance will be transformed or the verification that it will be destroyed.

Definition of Production

The definition of production for the purposes of the Stratospheric Ozone Protection Program recordkeeping and reporting requirements is specific. Production is defined as the manufacture of controlled substances from raw materials or feedstock chemicals. Specifically, §82.3(ee) defines "production" as:

...the manufacture of a substance from any raw material or feedstock chemical, but does not include: (1) the manufacture of a controlled substance that is subsequently transformed; (2) the reuse or recycling of a controlled substance; (3) amounts that are destroyed by the approved technologies; or (4) amounts that are spilled or vented unintentionally.

As mentioned above under (1) of the definition, production does not include quantities of controlled substances transformed in the manufacture of another chemical. Transform is defined in §82.3(gg) to:

... use and entirely consume (except for trace quantities) a controlled substance in the manufacture of other chemicals for commercial purposes.

Similarly, the destruction of a controlled substance is also not included in the definition of production. The term to completely destroy is defined in §82.3(g) as processes that:

... cause the expiration of a controlled substance at a destruction efficiency of 98 percent or greater, using one of the destruction technologies approved by the parties.

If the destruction of a controlled substance happens at below 98 percent, the percentage destroyed (e.g., 70 percent) would be the percentage that is excluded from the definition of production. Allowances would be used for the quantity not destroyed. The approved technologies for the destruction of a controlled substance are detailed in Section 2.8.

For example, if a company produced 3,000 kilograms of CFC-113 of which 1,500 kilograms is transformed in the production of CFC-115, the later quantity (1,500 kilograms) should be reported as production for in-house transformation. It should not be reported as part of the net production of the company, and should not result in any expenditure of the company's production and consumption allowances. If, in addition, the company destroys 1,000 kilograms of the CFC-113 produced at 98 percent efficiency or greater, that quantity (1,000 kilograms) should be reported as production for in-house destruction. It should not be reported as part of the net production of the company, and should not result in any expenditure of the company's production and consumption allowances. The

company's net production of CFC-113 should be 500 kg (3,000 minus 1,500 and 1,000 kilograms). The production and consumption allowances expended should also be 500 kilograms each.

Since production is defined as the manufacture of controlled substances from raw material, used or recovered controlled substances that are introduced into the production process at any point are not included as production. Consequently, recovered heels (i.e., amounts remaining in emptied containers) from returning tanks or cylinders, as well as used controlled substances that are introduced into the production process for reclamation, do not count as production when they re-enter bulk storage.

Measurement of Production

The Agency recognizes that although production records are maintained on a daily basis, companies generally rely on monthly production totals as a measure of actual or true production. Such measurements are based on more accurate accounting procedures that may rely upon shipping records, end-of-month cylinder and tank counts, and scale weights. The Agency has reviewed the monthly accounting procedures used by producers of controlled substances and understands that producers have different methods of measurement. The Agency suggests the following as a measurement of production:

$$[\text{Production}] = \left[\frac{\text{Bulk, Plant Wide}}{\text{Inventory at Month End}} \right] - \left[\frac{\text{Bulk, Plant Wide}}{\text{Inventory at Month Start}} \right] + \left[\frac{\text{Bulk}}{\text{Shipments}} \right] + \left[\frac{\text{Cylinder}}{\text{Fills}} \right] + [\text{Blends}] - [\text{Spills}] - \left[\frac{\text{Purchased or Transferred}}{\text{Controlled Substances}} \right] - \left[\frac{\text{Consumed}}{\text{Materials}} \right]$$

Bulk, plant-wide inventory includes product in any on-site storage tanks as well as material that has been loaded onto tank trucks and rail cars but not yet shipped. Bulk shipments include material sold to customers in tank trucks and rail cars, while distributed shipments represent the net amount of product purchased by customers. The quantity of distributed shipments is determined after the product heels have been weighed and subtracted from the gross weight of product shipped to the customer. The "cylinder fills" term in the equation includes cylinders that have been shipped, as well as cylinders that have been loaded but not yet shipped. Products that are mixed with other constituents are reflected in the "blends" term. These blends may be sold in bulk or they may be packaged in smaller containers.

The three remaining factors in the production equation, "spills," "purchased materials" and "consumed materials transformed or destroyed," must be subtracted from the sum of adjusted inventory plus shipments, fills, and blends to determine the amount produced by a company. Products purchased or transferred between plants for repackaging purposes should not be counted as production.

As mentioned in the definition of production, releases of controlled substances from accidental or unintentional spills and venting do not count as production and therefore, do not need to be reported with production. However, companies must record quantities of controlled substances spilled or vented if a spill or vent equals or exceeds 100 pounds.

In calculating production, emissions that occur in the form of leaks from flanges or valves ("fugitive emissions") are not counted as production. These leaks are not the result of carelessness, but come about through imperfect equipment connections. The Agency recognizes that fugitive emissions are difficult to quantify and are small relative to total production volumes. Given these

considerations, EPA believes it is not appropriate to count a low level of fugitive emissions as production.

Reporting

Producers are required to report quarterly to EPA on a companywide basis. Even though recordkeeping in most cases is required on a facility or plant basis, reports to EPA only require data on a companywide scale.

Producer Quarterly Report

Producers are required to send a quarterly report to EPA Headquarters postmarked within 45 days after the end of each quarter. Reporting quarters end March 31st, June 30th, September 30th, and December 31st. Section 82.13(f) sets forth the regulatory requirement for this report.

Producers who also import controlled substances must file an Importer Quarterly Report jointly with the Producer Quarterly Report. EPA will monitor both expended and unexpended consumption and production allowances through these reports.

Controlled Substances Manufactured for Second-Party Transformation

Quantities of controlled substances manufactured by one company and sold to another company for transformation purposes will not result in the expenditure of the first company's allowances. Such quantities are referred to as quantities for second-party transformation. Companies that produce controlled substances for second-party transformation should report that production in the Producer Quarterly Report in the space provided.

If a company (company A) sold a controlled substance (CFC-113) to another company (company B) for emissive uses, the CFC-113 should be reported as production by company A. However, if the CFC-113 sold to company B were for transformation purposes, company A should report the CFC-113 sold as second-party transformation. The CFC-113 sold should not be included in the net production of company A and should not result in any expenditure of the company's production and consumption allowances. Therefore, a company can exclude from its reported net production the quantity of a controlled substance that is sold for transformation purposes to another company.

Section 82.13(l) requires that persons who purchase class I controlled substances for second-party transformation purposes have to provide the producer from whom they purchased the substances with the IRS certification that the controlled substances are to be used in processes resulting in their transformation.

Controlled Substances Manufactured for Second-Party Destruction

Quantities of controlled substances manufactured by one company and sold to another company to be destroyed will not be subtracted from the first company's allowances. Such quantities are referred to as quantities for second-party destruction. Companies that produce controlled substances for second-party destruction should report that production in the Producer Quarterly Report in the space provided.

If a company (company A) sold a controlled substance (CFC-113) to another company (company B) for emissive uses, the CFC-113 should be reported as production by company A. However, if the CFC-113 sold to company B was for destruction purposes, company A should report the CFC-113 sold as second-party destruction. The destruction of CFC-113 at 98 percent or greater should be

reported as the full amount sold, while a destruction rate lower than 98 percent (e.g., 70 percent) should be reported as the percentage destroyed of the amount sold (70 percent times the amount sold). The CFC-113 sold should not be included in the net production of company A and should not result in any expenditure of the company's production and consumption allowances. Therefore, a company can exclude from its reported net production the quantity of a controlled substance that is sold for destruction purposes to another company.

Section 82.13(k) requires that persons who purchase class I controlled substances for second-party destruction purposes have to provide the producer from whom they purchased the substances with verification that the controlled substances will be used in processes that result in their destruction.

Insignificant Quantities

EPA has implemented the decision of the Parties to the Montreal Protocol to exclude insignificant quantities under certain conditions from the definition of controlled substance. Specifically, inadvertent or coincidental creation of insignificant quantities of a listed substance in Appendix A of this document: (1) during a chemical manufacturing process, (2) resulting from unreacted feedstock, or (3) from the controlled substance's use as a process agent present as a trace quantity in the chemical substance being manufactured, is not deemed a controlled substance. Therefore, the production or import of insignificant quantities do not require production and consumption allowances.

Transshipments

EPA excludes transshipment of bulk controlled substances from the consumption limits for the United States. Transshipment are continuous shipments of bulk chemicals from one party to another through the United States that are not repackaged within the United States. Companies which transship must keep records that the transshipment originated in one country destined for another country and did not enter interstate commerce in the United States.

PRODUCER QUARTERLY REPORT INSTRUCTIONS

(Form 7600-5-A)

The Producer Quarterly Report consists of four sections. Section 1 provides general information about the company filing the report. In Section 2, Company Production Data, the company provides information on production of controlled substances on a companywide basis. Section 3 contains a summary of the company's allowance balances. Finally, Section 4 summarizes information about the company's sources of recycled or recovered controlled substances.

Section 1 - Producing Company Identification

1.1 Date of Submission:

Fill in the date that the report is submitted to EPA.

1.2 Number of Pages Submitted:

Indicate the total number of pages in the quarterly report.

1.3 Producing Company:

Indicate the name of the company and the business address of the contact person for the report.

1.4 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.5 Quarter to Which this Report Applies:

Check the appropriate box.

1.6 Importer Information:

All producers who import controlled substances must file an Importer Quarterly Report in addition to the Producer Quarterly Report. Check the appropriate box to indicate the company's status as an importer.

1.7 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This person may or may not be the company contact person identified in Section 1.4.

1.8 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank. EPA will assign identification numbers to these companies on their first balance statements.

Section 2 - Company Production Data

The information requested in Section 2 is company-specific and consists of two pages. Column B is the total production in kilograms of controlled substances at the company. Companies that also produce controlled substances for in-house transformation or sell controlled substances for second-party transformation are allowed to "net out" the amounts transformed from their net production. These amounts should be entered in Column C and D respectively. Similarly, companies that also produce controlled substances for in-house destruction or sell controlled substances for second-party destruction are allowed to "net out" the amounts destroyed from their net production. These amounts should be entered in Column E and F respectively. Finally, Column G subtracts Columns C, D, E, and F from Column B to yield net production for the company.

Controlled substances purchased from another company and transformed by the reporting company do not need to be entered in the Producer Quarterly Report. However, the reporting company is required to file EPA Form 7600-5-L, "Annual Report on Transformation and Destruction".

If the company transforms or destroys a controlled substances that was originally filed for emissive uses, it can file EPA form 7500-5-H, "Request for Allowances of Controlled Substances Intended for Emissive Purposes and Subsequently Transformed or Destroyed" for allowance reimbursement.

2.1 Company Name:

Indicate the company name as it appears in Section 1.3.

2.2 Company Production Totals:

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. Information about each controlled substance should be entered in the appropriate row, next to the name of the substance.

Total Production of Controlled Substances (Column B):

In the appropriate row, please record the total quantity, in kilograms, of each controlled substance produced at this company during this quarter.

The production quantities reported in Column B should not include the quantity of a controlled substance recycled or reclaimed at the company. It should include the quantities of a controlled substance that are produced for in-house and second-party transformation and in-house and second-party destruction purposes.

In-House Transformation of Controlled Substances (Column C):

In the appropriate row, please report the total quantity, in kilograms, of each controlled substance produced for in-house transformation purposes during this quarter.

Second-Party Transformation of Controlled Substances (Column D):

In the appropriate row, please report the total quantity, in kilograms, of each controlled substance sold for second-party transformation purposes during this quarter.

In-House Destruction of Controlled Substances (Column E):

In the appropriate row, please report the total quantity, in kilograms, of each controlled substance produced for in-house destruction purposes during this quarter.

Second-Party Destruction of Controlled Substances (Column F):

In the appropriate row, please report the total quantity, in kilograms, of each controlled substance sold for second-party destruction purposes during this quarter.

Net Production of Controlled Substances (Column G):

In the appropriate row, please report the net production, in kilograms, of each controlled substance during this quarter. Net production of each controlled substance is equal to the total production at the company (Column B) minus quantities for in-house and second-party transformation (Columns C and D) as well as in-house and second-party destruction (Columns E and F).

Section 3 - Allowance Expenditure Data

3.1 Company Name:

Indicate the company name as it appears in Section 1.3.

3.2 Production and Consumption Allowances:

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. Information about each controlled substance should be entered in the appropriate row, next to the name of the substance.

Total Production Allowances for Year to Date (Column B):

Information on expended and unexpended production allowances is reported in Column B.

Expended:

Please indicate the total number of production allowances that have been expended in producing each controlled substance through the year to date, as of the end of the quarter. For any controlled substance, the number of production allowances expended equals the

quantity of that substance produced, as reported in Column G of Section 2.2 for all reporting quarters.

Unexpended:

For any controlled substance, the number of unexpended production allowances equals the number of production allowances allocated at the beginning of the control period (plus or minus any obtained or lost through trades or other transactions) minus the number of allowances expended by producing that substance. Please supply this information for all substances for which the company holds production allowances.

Total Consumption Allowances for Year to Date (Column C):

For each controlled substance, information must be reported about the number of consumption allowances that were expended or remain unexpended for the year to date, as of the end of the quarter.

Expended:

Please report the number of consumption allowances that have been expended for the year to date, as of the end of the quarter. This should equal the number that were expended by producing the controlled substance (as reported in Column G of Section 2.2 for each quarter reported) plus the number expended by importing the controlled substance.

Unexpended:

The number of unexpended consumption allowances is equal to the number allocated to the company at the beginning of the control period plus additional allowances received minus the number expended by producing or importing that substance.

3.3 Company Name:

Indicate the company name as it appears in Section 1.3.

3.4 Potential Production Allowances and Authorizations to Convert:

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. Information about each controlled substance should be entered in the appropriate row, next to the name of the substance.

Potential Production Allowances for Year to Date (Column D):

Each company must provide information about its potential production allowances in Column D.

Converted:

In the appropriate row, please report the number of potential production allowances that were converted during the year to date, as of the end of the quarter. Potential production allowances can be converted to production allowances after a company supplies proof of export to an Article 5 country to EPA and receives authorizations to convert. Producers of

controlled substances are assumed to immediately convert potential production allowances to production allowances upon receiving authorizations to convert.

Unexpended:

The number of unexpended potential production allowances equals the number allocated to the company at the beginning of the control period plus any amount obtained through trades minus those converted.

Total Authorizations to Convert Potential Production Allowances for Year to Date (Column E):

For each controlled substance, information must be provided about the number of authorizations to convert potential production allowances to production allowances that were expended and that remain unexpended.

Expended:

Please indicate the number of authorizations to convert that were expended for the year to date, as of the end of the quarter.

Unexpended:

Similarly, indicate the number of authorizations to convert that were unexpended for the year to date, as of the end of the quarter.

Section 4 - Source of Used Material Recycled at the Company

A producing company that recycles or reclaims any controlled substance must report the quantity recycled or reclaimed at each plant. The Agency does not count heels from returned containers as recycled materials, so such quantities do not need to be reported to EPA.

4.1 Company Name:

Indicate the company name as it appears in Section 1.3.

4.2 Recycled Quantity Summaries:

Enter "1" for first source number of the quarter and proceed with "2", "3", and so on, for additional shipments of recycled materials. This form may be reproduced as needed.

For each source of materials, complete the form as follows:

Source Company Name and Address:

The source company is the company that sold or provided the used controlled substances to the company submitting the report. Provide the name and complete address of the source company.

Contact Person:

Provide the name, phone number, and fax number of the person at the source company that can answer any questions about the used controlled substance.

Name of Controlled Substance:

Indicate the name of the controlled substance that was recycled or reclaimed.

Amount and Date Received:

Enter the quantity of used or recycled materials received at the plant. If a part of a mixture, report only that part of the mixture represented by the controlled substance.



U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))**
SECTION 1 PRODUCING COMPANY IDENTIFICATION

1.1 Date of Submission

1.2 Number of Pages Submitted

1.3 Producing Company

Company Name

Street Address

City

State

Zip Code

1.4 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.5 Quarter to Which This Report Applies

☐ 1st☐ 2nd☐ 3rd☐ 4th

1.6 Importer Information

Is your company an importer of controlled substances?

☐ Y☐ N

If yes, is the Importer Quarterly Report attached?

☐ Y☐ N
1.7 Signature of Reporting Company Representative

Name

Title

Signature

Date

1.8 EPA Stratospheric Ozone Protection Program ID Number

SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
Program Implementation Branch
Stratospheric Protection Division
Office of Atmospheric Programs
Office of Air & Radiation, U.S. EPA
401 M Street, SW
Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))
SECTION 2 COMPANY PRODUCTION DATA
2.1 Company Name
2.2 Company Production Totals

A	B	C	D
Chemical Name	Total Production in kg of Controlled Substance	Production in kg of Controlled Substance for In-House Transformation	Production in kg of Controlled Substance for Second-Party Transformation
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
CFC-13			
CFC-111			
CFC-112			
CFC-211			
CFC-212			
CFC-213			
CFC-214			
CFC-215			
CFC-216			
CFC-217			
Carbon Tetrachloride			
Methyl Chloroform			
Methyl Bromide			
HBFCs			


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))**
SECTION 2 COMPANY PRODUCTION DATA (Continued)
2.3 Company Name
2.4 Company Production Totals

A	E	F	G
Chemical Name	Production in kg of Controlled Substance for In-House Destruction	Production in kg of Controlled Substance for Second-Party Destruction	Net Production in kg of Controlled Substance (B-C-D-E-F)
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
CFC-13			
CFC-111			
CFC-112			
CFC-211			
CFC-212			
CFC-213			
CFC-214			
CFC-215			
CFC-216			
CFC-217			
Carbon Tetrachloride			
Methyl Chloroform			
Methyl Bromide			
HBFCs			


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))**
SECTION 3
ALLOWANCE EXPENDITURE DATA
3.1 Company Name
3.2 Production and Consumption Allowances

A	B		C	
Chemical Name	Total production allowances for year to date (as of the end of the quarter) that were:		Total consumption allowances for year to date (as of the end of the quarter) that were:	
	Expended (sum of Section 2.2, Column G for all quarters to date)	Unexpended	Expended (sum of Section 2.2, Column G for all quarters and total imports to date)	Unexpended
CFC-11				
CFC-12				
CFC-113				
CFC-114				
CFC-115				
CFC-13				
CFC-111				
CFC-112				
CFC-211				
CFC-212				
CFC-213				
CFC-214				
CFC-215				
CFC-216				
CFC-217				
Carbon Tetrachloride				
Methyl Chloroform				
Methyl Bromide				
HBFCs				


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))
SECTION 3 ALLOWANCE EXPENDITURE DATA (Continued)
3.3 Company Name
3.4 Potential Production Allowances and Authorizations to Convert

A	D	E
Chemical Name	Total potential production allowances for year to date (as of the end of the quarter) that were:	Total authorizations to convert potential production allowances for year to date (as of the end of the quarter) that were:
	Converted	<div>Unexpended</div> <div>Expended</div> <div>Unexpended</div>
CFC-11		
CFC-12		
CFC-113		
CFC-114		
CFC-115		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216		
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM

CLASS I CONTROLLED SUBSTANCE REPORT:

PRODUCER QUARTERLY REPORT (Sec 82.13(f)(3))**SECTION 4****SOURCE OF USED MATERIAL RECYCLED AT COMPANY**

(Reproduce additional sheets as needed)

4.1 Company Name

4.2 Recycled Quantity Summaries

SOURCE #

Source Company Name

Street Address

City

State

Zip Code

Contact Person

Phone Number

Fax Number

Name of Controlled Substance

Amount Received (kg)

Date Received

SOURCE #

Source Company Name

Street Address

City

State

Zip Code

Contact Person

Phone Number

Fax Number

Name of Controlled Substance

Amount Received (kg)

Date Received

SOURCE #

Source Company Name

Street Address

City

State

Zip Code

Contact Person

Phone Number

Fax Number

Name of Controlled Substance

Amount Received (kg)

Date Received

2.6 IMPORTERS AND IMPORTS - RECORDKEEPING REQUIREMENTS AND DEFINITIONS

Recordkeeping

Subsection 82.13 (g)(1) requires importers to maintain records of shipments of controlled substances. An importer must maintain records of and reports on the following:

- The quantity of each controlled substance imported, either alone or in mixtures, including the percentage of each mixture which consists of a controlled substance;
- The quantity of controlled substances other than used or recycled substances or transshipments imported for use in processes resulting in transformation (in-house transformation) or destruction (in-house destruction) and quantity sold for use in processes resulting in their transformation (second-party transformation) or destruction (second-party destruction);
- The date on which the controlled substance was imported;
- The port of entry (city where port is located) through which the controlled substance passed;
- The country from which the imported controlled substance passed;
- The commodity code for the controlled substance shipped;
- The importer number for the shipment, as listed on the U.S. Customs Entry Summary Form;
- A copy of the on-board bill of lading for the import,
- The invoice for the import,
- The quantity of used and recycled Class I and Class II controlled substances imported;
- The U.S. Customs entry form;
- Dated records documenting the sale and transfer of controlled substances for use in processes resulting in transformation or destruction; and
- Copies of IRS certifications that the controlled substance will be transformed or destruction verifications that it will be destroyed.

Definition Of Import

Import is defined in §82.3(u) as:

...to land on, bring into, or introduce into, or attempt to land on, bring into, or introduce into, any place subject to the jurisdiction of the United States whether or not such landing, bringing, or introduction constitutes an importation within the meaning of the customs laws of the United States, with the following exemptions: (1) off-loading used or excess controlled substances or controlled products from a ship during servicing, (2) bringing controlled substances into the U.S. from Mexico where the controlled substance had been admitted into Mexico in bond and was of U.S. origin, and (3)

bringing a controlled product in the U.S. when transported in a consignment of personal or household effects or in a similar non-commercial situation normally exempted from U.S. Customs attention.

All companies that import virgin substances are required to report these quantities to the Agency quarterly. Blends and mixtures of controlled substances are considered imports, and the amount of controlled substances in the mixture must be reported to EPA. Importers may not net out heels for credit when tanks are returned to overseas exporters.

It is important to emphasize that used or recycled controlled substances are not considered imports for purposes of the rule; therefore, consumption allowances are not required to import used or recycled controlled substances.

Controlled substances that are imported for transformation purposes are not included in the definition of import, and do not result in the expenditure of consumption allowances. Transformation is defined in §82.3(gg) as processes that:

...use and entirely consume (except for trace quantities) a controlled substance in the manufacture of other chemicals for commercial purpose.

Controlled substances that are imported for destruction purposes are also not included in the definition of import, and do not result in the expenditure of consumption allowances. Destruction is defined in §82.3(g) as processes that:

...cause the expiration of a controlled substance at a destruction efficiency of 98 percent or greater, using one of the destruction technologies approved by the parties.

If the destruction of a controlled substance happens at below 98 percent, the percentage destroyed (eg. 70 percent) would be the percentage that is excluded from the definition of production. Allowances would be used for the quantity not destroyed. The approved technologies for the destruction of a controlled substance are detailed in Section 2.8.

For example, if a company imported 3,000 kilograms of CFC-113 of which 1,500 kilograms is transformed in the production of CFC-115, the later quantity (1,500 kilograms) should be reported as an import for in-house transformation. It should not be reported as part of the net import of the company, and should not result in any expenditure of the company's consumption allowances. If, in addition, the company destroys 1,000 kilograms of the CFC-113 imported at 98 percent or greater, that quantity (1,000 kilograms) should be reported as import for in-house destruction. It should not be reported as part of the net import of the company, and should not result in any expenditure of the company's consumption allowances. The company's net import of CFC-113 should be 500 kg (3,000 minus 1,500 and 1,000 kilograms). The consumption allowance expended should also be 500 kilograms.

As defined in Section 82.3(u), quantities of virgin or used controlled substances off-loaded from ships during servicing are not considered to be imports. Similarly, shipments from Mexican to U.S. companies where the controlled substance had been admitted into Mexico in bond and was of U.S. origin are not considered to be imports. Both activities are exempt from the reporting requirements.

For purposes of the regulation, an import is not defined in terms of a material's passing through Customs or the completion of other official procedures. Controlled substances are considered to be imported simply if they have entered the territory of the United States. Accordingly, the import of controlled substances to a bonded warehouse within the United States is considered an import for the

purposes of the Stratospheric Ozone Protection Program, even though it is not considered an import by U.S. Customs.

Definition of an Importer

Section 82.3(v) defines "importer" as:

... any person who imports a controlled substance or a controlled product in the United States. Importer included the person primarily liable for the payment of any duties on the merchandise or an authorized agent acting on his/her behalf. The term also includes, as appropriate: (1) the consignee, (2) the importer of record, (3) the actual owner, or (4) the transferee, if the right to draw merchandise in a bonded warehouse has been transferred.

The United States Customs Service requires that an Entry Summary Form (i.e., Form 7501 or Form 7512) be completed before any goods enter the country. The Entry Summary Form identifies the Importer of Record for the shipment. This person must guarantee that the goods comply with all federal regulations and must pay any duties on the goods. Generally, the Importer of Record is also the company that places the order and pays for the goods. Some companies, however, use customs brokers and shipping agents to bring the goods through U.S. Customs. In these cases, the brokers and agents may be identified as the Importer of Record. Under the Stratospheric Ozone Protection Program, the prohibition against importing controlled substances unless sufficient consumption allowances exist to cover the import applies to the Importer of Record. It should be noted that only one party of the several parties included in the definition of importer needs to hold consumption allowances for the import of a controlled substance. Therefore, the importer of record needs to determine that the necessary allowances are being held and expended. If another party is expending allowances, then the importer of record does not have to hold consumption allowances. If there are no consumption allowances or an insufficient number of consumption allowances, but a controlled substance is nevertheless imported, the Importer of Record may face enforcement action for non-compliance with the regulation. EPA will monitor U.S. Customs records in order to identify violators.

Reporting

Importers are required to report to the EPA on a quarterly basis. Reports to the EPA only require data on a companywide scale.

Importer Quarterly Report

The regulation requires importers of controlled substances to submit quarterly reports containing a summary of transactions. Specific reporting requirements, listed in the regulation under §82.13(g), are reproduced in the attached forms for the convenience of reporting companies. Importers are required to send the quarterly reports to EPA postmarked within 45 days after the end of each quarter.

Controlled Substances Imported for Second-Party Transformation

Quantities of controlled substances imported by one company and sold to another company for transformation purposes will not result in the expenditure of the first company's allowances. Companies that import controlled substances for second-party transformation should report these imports in the Importer Quarterly Report in the space provided.

If a company (company A) imported a controlled substance (CFC-113) and sold it to another company (company B) for emissive uses, the CFC-113 should be reported as an import by company A. However, if the CFC-113 sold to company B were for transformation purposes, company A should report the CFC-113 sold as second-party transformation. The CFC-113 sold should not be included in the net import of company A and should not result in any expenditure of the company's consumption allowances. Therefore, a company can exclude from its reported net import the quantity of a controlled substance that is sold for transformation purposes to another company.

Section 82.13(l) requires that persons who purchase class I controlled substances for second-party transformation purposes have to provide the importer from whom they purchased the substances with the IRS certification that the controlled substances are to be used in processes resulting in their transformation.

Controlled Substances Imported for Second-Party Destruction

Quantities of controlled substances imported by one company and sold to another company to be destroyed will not be subtracted from the first company's allowances. Companies that import controlled substances for second-party destruction should report these imports in the Importer Quarterly Report in the space provided.

If a company (company A) imported a controlled substance (CFC-113) and sold it to another company (company B) for emissive uses, the CFC-113 should be reported as an import by company A. However, if the CFC-113 sold to company B were intended for destruction by Company B, then company A should report the CFC-113 sold as import for second-party destruction. The CFC-113 sold should not be included in the net import of company A and should not result in any expenditure of the company's consumption allowances. Therefore, a company can exclude from its reported net import the quantity of a controlled substance that is sold for destruction purposes to another company.

Section 82.13(k) requires that persons who purchase class I controlled substances for second-party destruction purposes have to provide the importer from whom they purchased the substances with a verification that the controlled substances will be used in processes that result in their destruction.

IMPORTER QUARTERLY REPORT INSTRUCTIONS

(Form 7600-5-B)

This form consists of four sections. Section 1 provides information about the company filing the report, while Section 2 provides information about specific imports of controlled substances. Each importation of a controlled substance is considered a separate transaction and should be reported on a separate transaction record summary. Companies are urged to make sufficient photocopies of the blank form. Section 3, Company Import Data, the company provides information on its imports of controlled substances on a companywide basis.

Section 1 - Importing Company Identification

1.1 Date of Submission:

Fill in the date that the report is submitted to EPA.

1.2 Number of Transactions Reported:

List the total number of individual transactions reported in Section 2.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the report, including transaction summary pages.

1.4 Quarter to Which this Report Applies:

Check the appropriate box.

1.5 Importing Company:

Indicate the name of the company and the business address of the contact person for the report.

1.6 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.7 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.6.

1.8 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Transaction Record Summaries

2.1 Company Name:

Provide the company name as reported in Section 1.5.

2.2 Transaction Summaries:

Enter "1" for first transaction of the quarter and proceed with "2", "3", and so on, for additional transactions. This form may be reproduced as needed to obtain sufficient blank copies.

For each transaction, complete the form as follows:

Source Country:

The source country is the country that exported the controlled substance to the U.S.

Chemical Name:

Enter the name of the controlled substance using its common name, such as CFC-11, CFC-12, CFC-113, and so on. If the substance imported is a component of a blend or a mixture, identify both the controlled substance and the blend (i.e., "R-500 containing CFC-12").

Port of Exit from Source Country:

Enter the port city from which the controlled substance was exported, as shown on the U.S. Customs Entry Summary Form or bill of lading.

Commodity Code of Shipment:

Indicate the 10-digit code number as identified in the Harmonized Tariff Schedule.

- 2903.40.0015 = CFC-11, CFC-12, CFC-114
- 2903.40.0020 = CFC-113, CFC-115
- 2903.40.0035 = Other fully halogenated CFCs (e.g., CFC-13, CFC-112)
- 3823.90.4710 = Mixtures containing one or more CFCs as defined in commodity codes 2903.40.0015; 2903.40.0020; and 2903.40.0035 (e.g., R-500, R-502)
- 3823.90.4750 = Mixtures containing one or more fully halogenated compounds defined in commodity codes 2903.40.0025; 2903.40.0045 (e.g., mixtures of halons)
- 2903.14.0000 = Carbon Tetrachloride
- 2903.19.5010 = 1,1,1-trichloroethane (methyl chloroform)
- 3814.00.5010 = Organic composite solvents and thinners, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
- 3822.00.1010 = Composite diagnostic or laboratory reagents, containing antigens or antisera containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
- 3822.00.5010 = Composite diagnostic or laboratory reagents, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
- 2903.30.1520 = Methyl Bromide
- 2903.40.0045 = HBFCs

These are the commodity codes designated by the U.S. Customs Service for the controlled substances. However, the actual code used should be entered here if it is different from these codes.

Importer Number:

Provide the identification number given by the U.S. Customs Service to the importing company. Usually this number appears on the Entry Summary Form as two digits, followed by a dash, then seven digits (e.g., 12-1234567).

Quantity of Commodity Imported:

Report in kilograms the quantity of the commodity imported.

Quantity of Controlled Substance Imported:

Report in kilograms the quantity of the controlled substance imported. For pure controlled substances, this will equal the quantity of the commodity imported. For mixtures containing controlled substances, multiply the percentage of controlled substance in the mixture by the quantity of commodity imported and report the result in this box.

Port of Entry into the U.S.:

Enter the port in the U.S. where the shipment landed.

Date of Import:

Indicate the import date, as shown in Block 27 of the Entry Summary Form. The date of import is the date that the ship arrives at the port, or the truck or train enters the United States.

Customs Entry Summary Number:

This number identifies the specific Entry Summary Form. It appears at the top of the page (block number 1) of U.S. Customs Form 7501. Generally, the Customs Entry Summary Number is preceded by a three-digit number that identifies the customs broker.

Section 3 - Company Import Data

The information requested in Section 3 is company-specific and consists of two pages. Column B is the total import in kilograms of controlled substances by the company. Companies that import controlled substances for in-house transformation or import and sell controlled substances for second-party transformation are allowed to "net out" the amounts transformed from their net imports. These amounts should be entered in Column C and D respectively. Similarly, companies that import controlled substances for in-house destruction or import and sell controlled substances for second-party destruction are allowed to "net out" the amounts destroyed from their net imports. These amounts should be entered in Column E and F respectively. Finally, Column G subtracts Columns C, D, E, and F from Column B, to yield the company's net imports for the quarter. In addition, Column H gives the company's total year-to-date net imports and Column I gives the company's unexpended consumption allowances as of the end of the quarter.

3.1 Company Name:

Indicate the company name as it appears in Section 1.3.

3.2 Company Import Totals:

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. Information about each controlled substance should be entered in the appropriate row, next to the name of the substance.

Total Imports of Controlled Substances (Column B):

In the appropriate row, please record the total quantity, in kilograms, of each controlled substance imported by this company during this quarter. If the substance imported was a component of a mixture (i.e., the refrigerants R-500 or R-502), report only the amount of the controlled substance in the mixture.

The import quantities reported in Column B should include the quantities of a controlled substance that are imported for in-house and second-party transformation and in-house and second-party destruction purposes.

In-House Transformation of Controlled Substances (Column C):

In the appropriate row, report the total quantity, in kilograms, of each controlled substance imported for in-house transformation purposes during this quarter.

Second-Party Transformation of Controlled Substances (Column D):

In the appropriate row, report the total quantity, in kilograms, of each controlled substance imported and sold for second-party transformation purposes during this quarter.

In-House Destruction of Controlled Substances (Column E):

In the appropriate row, report the total quantity, in kilograms, of each controlled substance imported for in-house destruction purposes during this quarter.

Second-Party Destruction of Controlled Substances (Column F):

In the appropriate row, report the total quantity, in kilograms, of each controlled substance imported and sold for second-party destruction purposes during this quarter.

Net Imports of Controlled Substances (Column G):

In the appropriate row, report net imports, in kilograms, of each controlled substance during this quarter. Net imports of each controlled substance are equal to total imports at the company (Column B) minus in-house and second-party transformation (Columns C and D) and in-house and second-party destruction (Columns E and F).

Net Year-to-Date Imports of Controlled Substances (Column H):

In the appropriate row, report net imports, in kilograms, of each controlled substance imported for the year to date, as of the end of this quarter. Again, if the substance was a component of a mixture, report only the amount of the controlled substance in the mixture.

Total Unexpended Consumption Allowances for Control Period to Date (Column I):

This column is only to be filled out by companies who import a controlled substance but who do not produce the same controlled substance. The quantity entered indicates the number of consumption allowances remaining in the control period. This number should equal the total number of consumption allowances received through the baseline allocation, plus or minus any allowances traded, plus any additional allowances received through the export of controlled substances and the transformation or destruction of quantities originally imported for emissive purposes, minus any consumption allowances expended for imports.



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
IMPORTER QUARTERLY REPORT (Sec 82.13(g)(2))
SECTION 1**IMPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission		1.2 Number of Transactions Reported		1.3 Number of Pages Submitted	
1.4 Quarter to Which This Report Applies:		<input type="checkbox"/> 1st <input type="checkbox"/> 2nd <input type="checkbox"/> 3rd <input type="checkbox"/> 4th			
1.5 Importing Company					
Company Name					
Street Address					
City					
		State		Zip Code	
1.6 Company Contact Identification					
Reporting Company Contact Person			Phone Number		Fax Number
1.7 Signature of Reporting Company Representative					
Name					
Title					
Signature			Date		
1.8 EPA Stratospheric Ozone Protection Program ID Number					

SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM

CLASS I CONTROLLED SUBSTANCE REPORT:

IMPORTER QUARTERLY REPORT (Sec 82.13(g)(2))**SECTION 2****TRANSACTION RECORD SUMMARIES**

(Reproduce additional sheets as needed)

2.1 Company Name**2.2 Transaction Summaries**

TRANSACTION # <input type="text"/>			
Source Country		Chemical Name of Controlled Substance Imported	
Port of Exit from Source Country		Commodity Code of Shipment	
Importer Number	Quantity of Commodity Imported (Kg)	Quantity of Controlled Substance Imported (Kg)	
Port of Entry into the U.S.	Date of Import	Customs Entry Summary Number	

TRANSACTION # <input type="text"/>			
Source Country		Chemical Name of Controlled Substance Imported	
Port of Exit from Source Country		Commodity Code of Shipment	
Importer Number	Quantity of Commodity Imported (Kg)	Quantity of Controlled Substance Imported (Kg)	
Port of Entry into the U.S.	Date of Import	Customs Entry Summary Number	

TRANSACTION # <input type="text"/>			
Source Country		Chemical Name of Controlled Substance Imported	
Port of Exit from Source Country		Commodity Code of Shipment	
Importer Number	Quantity of Commodity Imported (Kg)	Quantity of Controlled Substance Imported (Kg)	
Port of Entry into the U.S.	Date of Import	Customs Entry Summary Number	



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
IMPORTER QUARTERLY REPORT (Sec 82.13(g)(2))
SECTION 3**COMPANY IMPORT DATA****3.1 Company Name****3.2 Company Import Totals**

A	B	C	D
Chemical Name	Total Imports in kg of Controlled Substance	Imports in kg of Controlled Substance for In-House Transformation	Imports in kg of Controlled Substance for Second-Party Transformation
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
CFC-13			
CFC-111			
CFC-112			
CFC-211			
CFC-212			
CFC-213			
CFC-214			
CFC-215			
CFC-216			
CFC-217			
Carbon Tetrachloride			
Methyl Chloroform			
Methyl Bromide			
HBFCs			


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
IMPORTER QUARTERLY REPORT (Sec 82.13(g)(2))
SECTION 3 COMPANY IMPORT DATA (Continued)
3.3 Company Name
3.4 Company Import Totals

A	E	F	G
Chemical Name	Imports in kg of Controlled Substance for In-House Destruction	Imports in kg of Controlled Substance for Second-Party Destruction	Net Imports in kg of Controlled Substance (B-C-D-E-F)
CFC-11			
CFC-12			
CFC-113			
CFC-114			
CFC-115			
CFC-13			
CFC-111			
CFC-112			
CFC-211			
CFC-212			
CFC-213			
CFC-214			
CFC-215			
CFC-216			
CFC-217			
Carbon Tetrachloride			
Methyl Chloroform			
Methyl Bromide			
HBFCs			


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
IMPORTER QUARTERLY REPORT (Sec 82.13(g)(2))**
SECTION 3 COMPANY IMPORT DATA (Continued)
3.5 Company Name
3.6 Company Import Totals

A	H	I
Chemical Name	Net Imports in kg of Controlled Substance for Control Period to Date	Total Unexpended Consumption Allowances for Control Period to Date
CFC-11		
CFC-12		
CFC-113		
CFC-114		
CFC-115		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216		
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		

2.7 EXPORTERS AND EXPORTS - RECORDKEEPING REQUIREMENTS AND DEFINITIONS

Recordkeeping

There are no recordkeeping requirements for exporters.

Definition of Export

Section 82.3(p) defines "export" as:

... the transport of virgin, used, or recycled controlled substances from inside the United States or its territories to persons outside the United States or its territories, excluding United States military bases and ships for on-board use.

The regulation applies only to exports of bulk containers of controlled substances, and not to exports of products or use systems that contain controlled substances. An exporter of household refrigerators, for example, is not required to report to EPA the quantity of CFC-12 that is contained in the refrigerators. A discussion of what constitutes a bulk shipment of controlled substances for the purposes of the regulation can be found in Section 2.6 of this Guidance Document, "Importers and Imports - Recordkeeping Requirements and Definitions."

It is important to note that any heels returned to the U.S. must be reported as imports of controlled substances. Thus, exporters accepting returned tanks containing heels must hold consumption allowances at the time of importation.

Definition of an Exporter

The regulation defines "exporter" in §82.3(q) as:

... the person who contracts to sell controlled substances for export or transfers controlled substances to his affiliate in another country.

The exporter is the company that owns the controlled substances when they are exported, not necessarily the person that places them on the ship or in the truck. In addition, the exporter does not need to be identified as such on any form collected to monitor exports (i.e., the Export Declaration Form). Generally, the Agency will accept the exporter's business invoice as proof that the company had contracted to sell or transfer to a foreign entity the controlled substance. On-board bills of lading are also necessary to verify that the export occurred. The Shipper's Export Declaration form may be used by the Agency, however, to determine the proper recipient of the allowances in cases where it is disputed.

Reporting

End of Year Export Report

The EPA regulation requires exporters to submit a report at the end of a control period containing summaries of exports not otherwise reported to EPA (that is, those not covered under requests for additional consumption allowances or authorizations to convert). The specific information to be reported, listed at §82.13(h), is reproduced in these forms for the convenience of reporting companies. Exporters are required to send the report to EPA within 45 days after the end of each control period.

END-OF-YEAR EXPORT REPORT INSTRUCTIONS

(Form 7600-5-F)

EPA's regulations require exporters to submit a report at the end of each control period containing summaries of exports not otherwise reported to EPA (that is, those for which no request for additional consumption allowances or authorizations to convert was made). The specific information to be reported is listed in Section 82.13(h), and reproduced in these forms for the convenience of reporting companies. Exporters are required to send the report to EPA within 45 days of the end of each control period.

This form consists of two sections. Section 1 provides information about the exporting company. In Section 2 a summary is provided about each export (transaction) of a controlled substance not elsewhere reported to EPA. Section 2 may be photocopied if additional copies are needed.

In general, information provided about the recipient should pertain to the location of the plant where the controlled substance is to be used, rather than the location of the corporate headquarters. Similarly, the destination is defined for purposes of the Stratospheric Ozone Protection Program as the ultimate destination of the export, rather than any transit destinations.

Section 1 - Exporting Company Identification

1.1 Date of Submission:

Fill in the date that the report is submitted to EPA.

1.2 Number of Transactions Reported:

Indicate the number of exports or transactions of individual controlled substances included in this report.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the report.

1.4 Exporting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.5 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.6 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.5.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Transaction Summaries

A separate Section 2 should be completed for each shipment of controlled substances not elsewhere reported to EPA. Enter '1' for first transaction of the quarter and proceed with '2', '3', and so on, for additional transactions. Reproduce the blank form as needed.

For each transaction summary, provide the following information:

2.1 Recipient Identification:

Fill in the name and complete address of the foreign company that received the export.

2.2 Recipient Contact Identification:

Provide the name, telephone number, and fax number of the receiving company official who may be contacted by EPA to answer questions concerning the report.

2.3 Chemical Identification:

Controlled Substance Exported:

Identify the controlled substance by its common name, such as CFC-11, CFC-12, and so on.

Commodity Code:

Enter the 10-digit code number as identified in the Harmonized Tariff Schedule.

2903.40.0015 = CFC-11, CFC-12, CFC-114
2903.40.0020 = CFC-113, CFC-115
2903.40.0035 = Other fully halogenated CFCs (e.g., CFC-13, CFC-112)
3823.90.4710 = Mixtures containing one or more CFCs as defined in commodity codes 2903.40.0015; 2903.40.0020; and 2903.40.0035 (e.g., R-500, R-502)
3823.90.4750 = Mixtures containing one or more fully halogenated compounds defined in commodity codes 2903.40.0025; 2903.40.0045 (e.g., mixtures of halons)
2903.14.0000 = Carbon Tetrachloride
2903.19.5010 = 1,1,1-trichloroethane (methyl chloroform)
3814.00.5010 = Organic composite solvents and thinners, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
3822.00.1010 = Composite diagnostic or laboratory reagents, containing antigens or antisera containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
3822.00.5010 = Composite diagnostic or laboratory reagents, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
2903.30.1520 = Methyl Bromide
2903.40.0045 = HBFCs

These are the commodity codes designated by the U.S. Customs Service for the controlled substances. However, the actual code used should be entered here if it is different from these codes.

Quantity of Commodity Exported:

Report the quantity of the commodity that was exported, in kilograms.

Quantity of Controlled Substance Exported:

Report in kilograms the quantity of the controlled substance exported. For pure controlled substances, this will equal the quantity of the commodity exported. For mixtures containing controlled substances, multiply the percentage of controlled substance in the mixture by the quantity of commodity exported and report the result in this box.

2.4 Source and Destination:

Port of Export from the U.S.:

Indicate the port in the U.S. where the controlled substance was loaded on to the exporting vessel.

Date of Export:

Enter the export date as it appears on the bill of lading.

Name of Destination Country:

Indicate the ultimate destination as indicated on the bill of lading. In general, this should be the country where the controlled substance will be used.

Exporter EIN Number Listed on Form 7525:

Enter the "Employer Identification Number" (EIN) shown on the Shipper's Export Declaration Form. This number may or may not refer to the exporter as defined by EPA. If a shipping agent is acting on behalf of the exporter as defined by the regulation, the EIN of the agent shown on U.S. Customs Form 7525 should be reported here.


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
END-OF-YEAR EXPORT REPORT (Sec 82.13(h))**
NOTE:
**USE THIS FORM TO DOCUMENT ANY EXPORTS NOT
REPORTED ON EPA FORM 7600-5-D (REQUEST FOR
ADDITIONAL CONSUMPTION ALLOWANCES AND
AUTHORIZATIONS TO CONVERT)**
SECTION 1 EXPORTING COMPANY IDENTIFICATION

1.1 Date of Submission		1.2 Number of Transactions Reported		1.3 Number of Pages Submitted	
------------------------	--	-------------------------------------	--	-------------------------------	--

1.4 Exporting Company
Company Name
Street Address
City
State
Zip Code
1.5 Company Contact Identification

Reporting Company Contact Person	Phone Number	Fax Number
----------------------------------	--------------	------------

1.6 Signature of Reporting Company Representative
Name
Title
Signature
Date
1.7 EPA Stratospheric Ozone Protection Program ID Number
SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
END-OF-YEAR EXPORT REPORT (Sec 82.13(h))
NOTE:
USE THIS FORM TO DOCUMENT ANY EXPORTS NOT REPORTED ON EPA FORM 7600-5-D (REQUEST FOR ADDITIONAL CONSUMPTION ALLOWANCES AND AUTHORIZATIONS TO CONVERT)
SECTION 2
TRANSACTION SUMMARIES
TRANSACTION #

(Reproduce additional sheets as needed)

2.1 Recipient Identification

Company Name

Street Address

City

Postal Code

Country

2.2 Recipient Contact Identification

Company Contact Person

Phone Number

Fax Number

2.3 Chemical Identification

Controlled Substance Exported

Commodity Code

Quantity of Commodity Exported (in Kg)

Quantity of Controlled Substance Exported (in Kg)

2.4 Source and Destination

Port of Export from the U.S.

Date of Export

Name of Destination Country

Exporter EIN Number Listed on Form 7525

Request for Additional Consumption Allowances (and Authorizations to Convert for Exports to Article 5 Countries)

This form is to be submitted by companies that wish to request consumption allowances for exporting controlled substances in bulk to Parties to the Montreal Protocol. Sections 82.10 and 82.11 of the rule outline the procedures to request and obtain allowances and authorizations. The authorizations to convert granted under Section 82.11 pertain to exports to Article 5 countries. Authorizations are valid only during the control period in which the controlled substance departs the U.S. or its territories. The Agency will review forms and documentation submitted for each request and, where appropriate, issue a notice granting additional consumption allowances and authorizations to convert equal to the level of exports substantiated by the documentation.

Companies that produced class I (Groups I, II, III, IV, and V) controlled substances in the baseline year also received potential production allowances equal to ten percent of their baseline production allowances. The Agency will assume that all producers who receive authorizations to convert will automatically convert potential production allowances to production allowances. These companies can convert their potential production allowances to additional production allowances upon proof of export and receipt of authorizations to convert. A company that only exports but does not produce controlled substances may sell or trade the authorizations to convert to a company that has potential or actual production allowances.

For exports of controlled substances that are not transported by ship (e.g., those to Mexico and Canada) documentation showing as the destination a border town within the United States (such as Laredo, Texas or Buffalo, New York) is acceptable.

Some companies regularly export mixtures of CFCs (particularly CFC-113) that are identified by codes of letters, numbers, or both. The Program Manager may use information provided by the companies to check the percentage of CFC in each shipment.

An invoice and bill of lading for each transaction must accompany each request for additional consumption allowances for exports of controlled substances. The date of the export is confirmed by the bill of lading; the sale is confirmed by the invoice.

While typewritten dates and quantities are preferable, handwritten information on the invoice and bill of lading may be accepted if it is legible and consistent.

**REQUEST FOR ADDITIONAL CONSUMPTION ALLOWANCES
AND AUTHORIZATIONS TO CONVERT - FORM INSTRUCTIONS**

(Form 7600-5-D)

This form consists of three Sections. Section 1 provides general information about the company requesting additional allowances or authorizations to convert. In Section 2, the company submits information about exports (transactions) for which additional allowances or authorizations are claimed. Each export must be identified in a separate transaction summary. Section 3 provides a summary of the company's request. This form must be accompanied by an on-board bill of lading and invoice showing the net quantity shipped for each transaction.

A company that requests authorizations to convert must also attach a copy of the contract covering the sale of the controlled substance to the recipient that contains provisions forbidding the re-export of the controlled substance to any country in bulk form. The contract must also subject the recipient or any transferee of the recipient to liquidated damages equal to the resale price of the controlled substances if they are re-exported in bulk form.

In general, information provided about the recipient should pertain to the location of the plant where the controlled substance is to be used, rather than the location of the corporate headquarters. Similarly, the destination is defined for purposes of the Tracking System as the ultimate destination of the export, rather than any transit destinations.

Section 1 - Exporting Company Identification

1.1 Date of Submission:

Fill in the date that the report is submitted to EPA.

1.2 Number of Transactions Reported:

Indicate the number of transactions (individual exports) of each controlled substance included in this request.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the request.

1.4 Exporting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.5 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the request. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.6 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the request must complete and sign this section. This may or may not be the company contact person identified in Section 1.5.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Transaction Summaries

Exporters must complete this section for each export or transaction. Photocopy Section 2 if additional copies are needed. Number the transactions by entering "1" in the transaction number box for the first transaction of the quarter and proceed with "2", "3" and so on for additional transactions.

For each transaction, complete the form as follows:

2.1 Recipient Identification:

Provide the name and complete address of the company to which the export was made.

2.2 Recipient Contact Identification:

List the name, telephone number, and fax number of a person in the company to which the export was made who may be contacted by EPA to answer questions concerning the request.

2.3 Request For:

Please check if the request is for authorizations to convert, additional consumption allowances, or both (that is, check all that apply). If authorizations to convert are requested, attach a copy of the contract covering the sale of the controlled substance.

2.4 Chemical Identification:

Controlled Substance Exported:

Identify the controlled substance by its common name, such as CFC-11, CFC-12, or CFC-113.

Commodity Code:

Enter the 10-digit commodity code number as identified in the Harmonized Tariff Schedule.

2903.40.0015 = CFC-11, CFC-12, CFC-114

2903.40.0020 = CFC-113, CFC-115

2903.40.0035 = Other fully halogenated CFCs (e.g., CFC-13, CFC-112)

3823.90.4710 = Mixtures containing one or more CFCs as defined in commodity codes 2903.40.0015; 2903.40.0020; and 2903.40.0035 (e.g., R-500, R-502)

3823.90.4750 = Mixtures containing one or more fully halogenated compounds defined in commodity codes 2903.40.0025; 2903.40.0045 (e.g., mixtures of halons)

2903.14.0000 = Carbon Tetrachloride
2903.19.5010 = 1,1,1-trichloroethane (methyl chloroform)
3814.00.5010 = Organic composite solvents and thinners, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
3822.00.1010 = Composite diagnostic or laboratory reagents, containing antigens or antisera, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
3822.00.5010 = Composite diagnostic or laboratory reagents, containing 1,1,1-trichloroethane (methyl chloroform) or carbon tetrachloride
2903.30.1520 = Methyl Bromide
2903.40.0045 = HBFCs

These are the commodity codes designated by the U.S. Customs Service for the controlled substances. However, the actual code used should be entered here if it is different from the codes listed.

Quantity of Commodity Exported:

Report the quantity of the commodity that was exported, in kilograms.

Quantity of Controlled Substance Exported:

Report in kilograms the quantity of the controlled substance exported. For pure controlled substances, this will equal the quantity of the commodity exported. For mixtures containing controlled substances, multiply the percentage of controlled substance in the mixture by the quantity of commodity exported and report the result in this box.

2.5 Source and Destination:

Company that Produced Controlled Substance:

Identify the company that produced the controlled substance.

Date of Purchase from Producer or Distributor:

Enter the date the controlled substance was purchased from the source company. Producers should leave this box blank.

Port of Export from the U.S.:

Indicate the port where the controlled substance was loaded onto the exporting vessel, as shown on the Shippers Export Declaration Form (Form 7525).

Date of Export:

Enter the export date as it appears on the bill of lading.

Name of Destination Country:

Indicate the ultimate destination as indicated on the bill of lading. In general, this should be the country where the controlled substance will be used.

Exporter EIN Number Listed on Form 7525:

Enter the "Employer Identification Number" (EIN) shown on the Shipper's Export Declaration Form. This number may or may not refer to the exporter as defined by EPA. If a shipping agent is acting on behalf of the exporter as defined by the regulation, the EIN for the agent shown on Form 7525 should be reported here.

Section 3 - Request Summary

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. The number of consumption allowances or authorizations to convert being requested should be entered in the appropriate row, next to the name of the controlled substance.

Total Consumption Allowances Requested (Column B):

For each controlled substance, report the total number of consumption allowances requested by adding together quantities reported on the transaction summaries.

Total Authorizations to Convert Requested (Column C):

A company requesting additional consumption allowances because it exported a controlled substance can also request authorizations to convert potential production allowances under Section 82.9(c) if the export meets the conditions of Section 82.11(a) for exports to Montreal Protocol Article 5 Parties. For each controlled substance, report the total number of authorizations to convert requested in the submission.


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR ADDITIONAL CONSUMPTION ALLOWANCES
AND AUTHORIZATIONS TO CONVERT (Secs 82.10(a) & 82.11(a))

NOTE:

ATTACH ALL BILLS OF LADING AND
INVOICES SHOWING NET QUANTITY
SHIPPED AND DOCUMENTING THE SALE

SECTION 1 EXPORTING COMPANY IDENTIFICATION
1.1 Date of Submission
1.2 Number of Transactions Reported
1.3 Number of Pages Submitted
1.4 Exporting Company
Company Name
Street Address
City
State
Zip Code
1.5 Company Contact Identification
Reporting Company Contact Person
Phone Number
Fax Number
1.6 Signature of Reporting Company Representative
Name
Title
Signature
Date
1.7 EPA Stratospheric Ozone Protection Program ID Number
SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
Program Implementation Branch
Stratospheric Protection Division
Office of Atmospheric Programs
Office of Air & Radiation, U.S. EPA
401 M Street, SW
Washington, DC 20460

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EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR ADDITIONAL CONSUMPTION
ALLOWANCES AND AUTHORIZATIONS TO
CONVERT (Secs 82.10(a) & 82.11(a))

NOTE:

ATTACH ALL BILLS OF LADING AND
INVOICES SHOWING NET QUANTITY
SHIPPED AND DOCUMENTING THE SALE

SECTION 2**TRANSACTION SUMMARIES**TRANSACTION #

(Reproduce additional sheets as needed)

2.1 Recipient Identification

Company Name

Street Address

City

Postal Code

Country

2.2 Recipient Contact Identification

Company Contact Person

Phone Number

Fax Number

2.3 Request for: (check all that apply)☐ Authorizations to Convert☐ Additional Consumption Allowances**2.4 Chemical Identification**

Controlled Substance Exported

Commodity Code

Quantity of Commodity Exported (in Kg)

Quantity of Controlled Substance Exported (in Kg)

2.5 Source and Destination

Company that Produced Controlled Substance

Date of Purchase from Producer or Distributor

Port of Export from the U.S.

Date of Export

Name of Destination Country

Exporter EIN Number Listed on Form 7525


EPA U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR ADDITIONAL CONSUMPTION
ALLOWANCES AND AUTHORIZATIONS TO
CONVERT (Secs 82.10(a) & 82.11(a))

NOTE:

ATTACH ALL BILLS OF LADING
AND INVOICES SHOWING
NET QUANTITY SHIPPED AND
DOCUMENTING THE SALE

SECTION 3**REQUEST SUMMARY**

A	B	C
Chemical Name	Total Consumption Allowances Requested	Total Authorizations to Convert Requested
CFC-11		
CFC-12		
CFC-113		
CFC-114		
CFC-115		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216		
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		

2.8 TRANSFORMERS AND TRANSFORMATION, DESTROYERS AND DESTRUCTION - RECORDKEEPING REQUIREMENTS AND DEFINITIONS

Recordkeeping

Section 82.13(i) contains the recordkeeping and reporting requirements for transformers of controlled substances, destroyers of controlled substances, and persons who have requested additional production allowances under §82.9(c) or consumption allowances under §82.10(b). According to this section, transformers and destroyers of controlled substances and persons who have requested additional production allowances under §82.9(c) or consumption allowances under §82.10(b) must maintain the following:

- Dated records of the quantity and level of each controlled substance transformed or destroyed;
- Copies of the invoices or receipts documenting the sale or transfer of the controlled substance to the person;
- In the case where the controlled substances are transformed, dated records of the names, commercial use, and quantities of the resulting chemical(s);
- In the case where the controlled substances are transformed, dated records of shipments to purchases of the resulting chemical(s);
- Dated records of all shipments of controlled substances received by the person, and the identity of the producer or importer of the controlled substances;
- Dated records of inventories of controlled substances at each plant on the first day of each quarter; and
- Copy of the person's IRS certification of intent to transform or the purchaser's destruction verification of intent to destroy, in the case where substances were purchased for transformation or destruction purposes.

Definition of Transformation

Section 82.3(gg) defines transform as to:

... use and entirely consume (except for trace quantities) a controlled substance in the manufacture of other chemicals for commercial purposes.

Definition of Completely Destroy

Section 82.3(g) defines completely destroy as a process to:

... cause the expiration of a controlled substance at a destruction efficiency of 98 percent or greater, using one of the destruction technologies approved by the Parties.

Destruction is further defined in §82.3(o) as:

... the expiration of a controlled substance to the destruction efficiency actually achieved unless considered completely destroyed as defined in this section. Such destruction does not result in

a commercially useful end product and uses one of the following controlled processes approved by the Parties to the Protocol:

- (1) liquid injection incineration,
- (2) reactor cracking,
- (3) gaseous/fume oxidation,
- (4) rotary kiln incineration; or
- (5) cement kiln.

Distinguishing between transformation and destruction may in some cases be difficult, and EPA reserves the right to make the distinction on a case by case basis. Generally, if the intent of the process is simply to eliminate the controlled substance, it is most likely a destruction process. A process in which the controlled substance must be chemically altered as an integral step in the manufacturing or production sequence may qualify as a transformation process. The following two examples will help to illustrate this distinction for carbon tetrachloride.

Example 1: Destruction

Carbon tetrachloride is used to dissolve solid material in a manufacturing process. When it exits from the system as a waste, it goes directly to an incinerator where it is burned with HCl as a product. The HCl is neutralized but has no further commercial use. Because the carbon tetrachloride, although chemically changed, is not transformed into a commercially useful product, but simply destroyed as a waste, this case constitutes destruction.

Example 2: Transformation

Carbon tetrachloride is fed into a reactor where it decomposes, releasing chlorine. The chlorine enhances a platinum catalyst that is used to reform gasoline. Eventually, hydrogen chloride comes out in the waste stream. Because the carbon tetrachloride is chemically changed to produce free chlorine that is necessary to the commercial manufacturing process (it replenishes the catalyst), this case constitutes transformation.

Reporting

Companies that produce controlled substances for transformation purposes or destruction purposes may do so without expending production and consumption allowances. These controlled substances are reported to EPA by the producer in the producer quarterly report as production for in-house transformation or in-house destruction and are not included in the producer's net production.

Companies that sell controlled substances for transformation or destruction purposes may also do so without expending production and consumption allowances. These controlled substances are reported to EPA by the producer in the producer quarterly report as production for second-party transformation or second-party destruction and are not included in the producer's net production. Persons who purchase controlled substances for transformation (second-party transformers) or for destruction (second-party destroyers) are required by the Agency to report sales on an annual basis in the 'Annual Report of Second-Party Transformation and Destruction'.

Producers must report their sales to each of their customers and provide copies of their IRS certificates when submitting their producer quarterly reports. The certificates show the customer's intent to transform or destroy, and thus substantiate the producer's claim that the entire quantity of controlled substance produced without expending allowances will be transformed or destroyed. EPA will determine a producer's compliance by comparing the total quantity of controlled substance it reported as having manufactured for second-party transformation or second-party destruction during

the control period with the total quantity reported as purchased and transformed or destroyed by all its customers.

A company that transforms or destroys a controlled substance originally produced or imported for emissive purposes is eligible to receive additional consumption allowances. In cases where the substance was domestically produced, the company is eligible to receive additional production allowances. Therefore, producers and importers who produce or import controlled substances for emissive use (and thereby, expend production and consumption allowances) and subsequently transform or destroy the substances can request for allowance reimbursement. Because allowances apply only for a given control period, the reimbursement request must be for the same control period as the production and import of the controlled substance(s) for emissive purposes.

Request for Allowances for Controlled Substances intended for Emissive Purposes and Subsequently Transformed or Destroyed

This form is designed to facilitate Agency review of the request for allowances for transformed or destroyed controlled substances that were originally intended for emissive purposes. EPA will review the form expeditiously and grant allowances equal to the quantity of the controlled substances transformed or destroyed. EPA will grant production and consumption allowances if the material was produced domestically, and consumption allowances if the material was imported. The Agency will deny any request if the allowance request is for production or import from previous control periods or if the allowance request is incomplete.

**REQUEST FOR ALLOWANCES FOR CONTROLLED SUBSTANCES INTENDED FOR
EMISSIVE PURPOSES AND SUBSEQUENTLY TRANSFORMED OR DESTROYED
- FORM INSTRUCTIONS**

(Form 7600-5-H)

This form should be submitted by companies that transform or destroy controlled substances that were originally produced for emissive purposes.

This form consists of three sections. Section 1 provides general information about the company submitting the request. In Section 2, the company submits information about transformation or destruction of the controlled substance for which additional allowances are claimed. Section 3 summarizes the request for additional production and consumption allowances. This form must be accompanied by receipts or invoices documenting the purchase of the controlled substance.

Section 1 - Requesting Company Identification

1.1 Date of Submission:

Fill in the date that the report is submitted to EPA.

1.2 Number of Transactions Reported:

List the total number of transactions reported in Section 2.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the request.

1.4 Requesting Company Identification:

Indicate the name of the company and the business address of the contact person for the report.

1.5 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the request. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.6 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the request must complete and sign this section. This may or may not be the company contact person identified in Section 1.5.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Transaction Summaries

A separate transaction summary should be submitted for each purchase of a controlled substance transformed or destroyed. Enter "1" for first transaction of the quarter and proceed with "2", "3", and so on for each additional transaction. Reproduce this form if additional copies are needed.

For each transaction, complete the form as follows:

2.1 Supplier Identification:

Enter the name and complete address of the company that supplied the controlled substance transformed or destroyed.

2.2 Supplier Contact Identification:

Enter the name, telephone number, and fax number of the person in the supplier company who may be contacted by EPA to answer questions concerning the sale of the controlled substance.

2.3 Origin of Controlled Substance Used:

Indicate whether the controlled substance transformed or destroyed was produced domestically or imported. Additional production allowances can only be granted if the controlled substance was produced domestically.

2.4 Method by which Controlled Substance was Dispensed:

Indicate whether the controlled substance was transformed or destroyed.

2.5 Purchase Details:

Name of Controlled Substance Transformed or Destroyed:

Indicate the common chemical name of the controlled substance transformed or destroyed.

Quantity Transformed or Destroyed:

Fill in the quantity, in kilograms, of the controlled substance transformed or destroyed.

Date of Purchase of Controlled Substance:

Provide the date on which the transforming company purchased the controlled substance from the supplier.

Name of Resulting Chemical (if Controlled Substance was Transformed):

Provide the name of the chemical that resulted from the transformation of the controlled substance.

Commercial Use of Resulting Chemical (if Controlled Substance was Transformed):

Indicate the commercial use of the chemical that resulted from the transformation of the controlled substance.

Efficiency of Destruction Process (if Controlled Substance was Destroyed):

Provide the efficiency percentage of the destruction of the controlled substance.

Section 3 - Request Summary

Chemical Name (Column A):

Listed in Column A are the common names of the controlled substances. Information about each controlled substance should be entered in the appropriate row, next to the name of the substance.

Total Production Allowances Requested (Column B):

Enter the number of production allowances requested. Production allowances will only be granted if the transformed or destroyed controlled substances were produced domestically.

Total Consumption Allowances Requested (Column C):

Enter the number of consumption allowances requested. The number entered is equal to the quantity of the controlled substance transformed or destroyed, whether the controlled substance was imported or produced domestically.

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM**CLASS I CONTROLLED SUBSTANCE REPORT:**

**REQUEST FOR ALLOWANCES FOR CONTROLLED
SUBSTANCES INTENDED FOR EMISSIVE
PURPOSES AND SUBSEQUENTLY TRANSFORMED
OR DESTROYED (Sec 82.9(c))**

NOTE:

**ATTACH ALL RECEIPTS OR
INVOICES DOCUMENTING THE
PURCHASE OF THE CONTROLLED
SUBSTANCE**

SECTION 1 REQUESTING COMPANY IDENTIFICATION

1.1 Date of Submission		1.2 Number of Transactions Reported		1.3 Number of Pages Submitted	
1.4 Requesting Company					
Company Name					
Street Address					
City					
State			Zip Code		
1.5 Company Contact Identification			Company Contact Person		
Phone Number			Fax Number		
1.6 Signature of Reporting Company Representative					
Name					
Title					
Signature			Date		
1.7 EPA Stratospheric Ozone Protection Program ID Number					

SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
Program Implementation Branch
Stratospheric Protection Division
Office of Atmospheric Programs
Office of Air & Radiation, U.S. EPA
401 M Street, SW
Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM**CLASS I CONTROLLED SUBSTANCE REPORT:**

**REQUEST FOR ALLOWANCES FOR CONTROLLED
SUBSTANCES INTENDED FOR EMISSIVE
PURPOSES AND SUBSEQUENTLY TRANSFORMED OR
DESTROYED (Sec 82.9(c))**

NOTE:

**ATTACH ALL RECEIPTS OR INVOICES
DOCUMENTING THE SALE OF THE
CONTROLLED SUBSTANCE**

**ATTACH CERTIFICATION THAT
PRODUCTION/CONSUMPTION
ALLOWANCES WERE EXPENDED FOR
THE PRODUCTION OR IMPORT OF THE
CONTROLLED SUBSTANCE**

SECTION 2**TRANSACTION SUMMARIES****TRANSACTION #**

(Reproduce additional sheets as needed)

2.1 Supplier Identification

Company Name

Street Address

City

State

Zip Code

Country

2.2 Supplier Contact Identification

Company Contact Person

Phone Number

Fax Number

2.3 Origin of Controlled Substance Used

[] Produced Domestically or [] Imported

2.4 Method by which Controlled Substance was Dispensed

[] Used as a Feedstock or [] Destroyed

2.5 Purchase Details

Name of Controlled Substance Transformed or Destroyed

Date of Purchase of Controlled Substance

Quantity Transformed or Destroyed (kg)

Name of Resulting Chemical (if Controlled Substance was Transformed)

Commercial Use of Resulting Chemical (if Controlled Substance was Transformed)

Efficiency of Destruction Process (if Controlled Substance was Destroyed)


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:**
**REQUEST FOR ALLOWANCES FOR CONTROLLED
SUBSTANCES INTENDED FOR EMISSIVE
PURPOSES AND SUBSEQUENTLY TRANSFORMED OR
DESTROYED (Sec 82.9(c))**
NOTE:
**ATTACH ALL RECEIPTS OR
INVOICES DOCUMENTING THE
PURCHASE OF THE CONTROLLED
SUBSTANCE**
SECTION 3
REQUEST SUMMARY

A	B	C
Chemical Name	Total Production Allowances Requested (kg)	Total Consumption Allowances Requested (kg)
CFC-11		
CFC-12		
CFC-113		
CFC-114		
CFC-115		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216		
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		

2.9 DOMESTIC ALLOWANCE TRANSFERS

Inter-company and Inter-pollutant Transfers

Under the rule, a company that intends to transfer allowances or authorizations to another company or to another chemical must submit a transfer claim to EPA before the transfer takes place. The attached form is designed to facilitate Agency review of the claim. Section 82.12 of the rule presents the reporting requirements applicable to the transfer claim. A company should complete a transaction summary for each trade involving a different type of allowance or a different transferee.

EPA will review the transfer claim within three days of receiving it and respond with either a "no objection" notice, if according to EPA's records, the transferring company has sufficient allowances or authorizations to cover the trade, or a "disallowance" notice if the transferring company does not have sufficient allowances. If EPA does not act upon the transfer within the three-day review period, the trading companies may proceed with the transaction. In cases where the Agency issues a notice of no objection or fails to respond expeditiously, if EPA later determines that insufficient allowances or authorizations existed to cover the trade, the companies may face enforcement action.

Section 607(c) of the Clean Air Act requires that trades:

... result in greater total reduction in production in each year of class I and class II substances than would occur in that year in the absence of such transactions.

In other words, the *total* number of allowances held by all parties after a trade must be less than the total number of allowances held before the trade. The Agency, therefore, assesses an offset of one percent of the total amount traded and subtracts the offset from the balance of the company trading away allowances. This offset applies only to inter-company and inter-pollutant trades of production and consumption allowances involving domestic companies. The offset does not apply, however, in the case where producers or importers are being reimbursed for production or consumption allowances expended in producing or importing controlled substances for emissive purposes which are subsequently transformed or destroyed.

NOTIFICATION OF TRADES - FORM INSTRUCTIONS

(Form 7600-5-C)

This form consists of three sections. Section 1 provides information about the company notifying EPA of a trade. Section 2 provides information about the trades (transactions) the company proposes to make. Section 3 lists the company's unexpended balances of allowances and authorizations to convert prior to the trades reported. A separate transaction summary must be completed for each trade, either inter-company or inter-pollutant. Note that inter-pollutant trades can only be made between controlled substances in the same group.

Section 1 - Reporting Company Identification

1.1 Date of Submission:

Fill in the date that the notification is submitted to EPA.

1.2 Number of Transactions Reported:

List the total number of transactions reported in Section 2. A separate Section 2 must be completed for each trade being reported.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the request.

1.4 Reporting Company:

Indicate the name of the company transferring the allowances or authorizations to convert and the business address of the contact person for the report.

1.5 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the notification. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.6 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the information reported must complete and sign this section. This may or may not be the company contact person identified in Section 1.5.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Transaction Summaries

Companies notifying EPA of trades in allowances or authorizations to convert must complete this section for each trade (transaction). Reproduce blank copies of Section 2 if needed. Enter "1" for first transaction of the quarter and proceed with "2", "3", and so on, for additional transactions.

For each transaction, complete the form as follows:

2.1 Transferee Identification:

Provide the name and address of the transferee company (the company receiving allowances or authorizations as a result of the trade). Identify a contact person and provide telephone and fax numbers. If a company is trading allowances internally between two controlled substances, the transferee company will be the same company identified in Section 1.4.

2.2 Type of Allowances or Authorizations Being Transferred:

Check each of the types of allowances or authorizations being transferred.

2.3 Type of Allowances Transferred:

Indicate whether the allowances being transferred are those for the current year only (current year allowances) or are baseline allowances. A transfer of baseline allowances permanently reduces the number of allowances that the transferor will receive in future allocations. Only one box should be checked.

2.4 Chemical Transferring From:

Indicate the common name of the controlled substance that is having its allowances reduced as a result of the trade (i.e., CFC-11 or CFC-113).

2.5 Ozone Depletion Potential (ODP):

Indicate the ozone depletion potential of the chemical listed in Section 2.4. ODPs of the class I controlled substances are listed in Appendix A.

2.6 Number of Allowances or Authorizations of Chemical in Section 2.4 Being Transferred:

Indicate the number of allowances or authorizations of the chemical listed in 2.4 that are being transferred.

2.7 Calculated Level of Chemical in Section 2.4 Being Transferred:

Trades of controlled substances are made on the basis of calculated level. The calculated level of a quantity of controlled substance is equal to its mass in kilograms multiplied by its ozone depletion potential (ODP), a measure of the substance's ability to destroy stratospheric ozone. Calculate the calculated level of the chemical being transferred by multiplying the ODP listed in Section 2.5 by the quantity transferred listed in Section 2.6; report the result in Section 2.7.

2.8 Chemical Transferring To:

Indicate the common name of the controlled substance which will have its balance of allowances or authorizations increased as a result of the trade (i.e., CFC-11 or CFC-113).

2.9 Ozone Depletion Potential (ODP):

Report the ODP of the chemical listed in Section 2.8. Again, ODPs of the class I controlled substances are listed in Appendix A.

2.10 Number of Allowances or Authorizations of Chemical in Section 2.8 Being Received:

The number of allowances received is equal to the calculated level of allowances or authorizations being transferred divided by the ODP of the chemical that is having its allowances increased as a result of the trade. Calculate the number of allowances being received by dividing the calculated level reported in Section 2.7 by the ODP listed in Section 2.9.

2.11 Is this trade for the purpose of reimbursing a producer for allowances expended in transformation or destruction?:

This entry is only applicable to quantities initially produced for emissive purposes. Indicate whether the trade is for the purpose of reimbursing a producer for allowances expended in transformation or destruction by checking the appropriate box. If the answer is "yes," enter "0" in Section 2.13 and continue to Section 2.14. If "no," please continue to Section 2.12.

2.12 Is this a trade of potential production allowances or authorizations to convert?:

Please indicate whether this is a trade of potential production allowances or authorizations to convert by checking the appropriate box. If the answer is "yes," enter "0" in Section 2.13 and continue to Section 2.14. If "no," please calculate the amount of the environmental offset by multiplying the number of allowances traded (Section 2.6) by 0.01 and enter the result in Section 2.13.

2.13 Amount of Offset:

Enter the amount of offset indicated by the instructions for Sections 2.11 or 2.12.

2.14 Number of Allowances Subtracted from Transferrers' Balance of Chemical Transferred From:

Calculate the number of allowances or authorizations to convert that are to be subtracted from the transferor's balance of the chemical listed in Section 2.4 by adding together Sections 2.6 and 2.13. List the result in Section 2.14.

Section 3 - Unexpended Balance Summary

3.1 Balance of Unexpended Allowances Prior to Trades Reported:

In the appropriate row, report the company's balance of unexpended allowances and authorizations to convert prior to the trades being reported. Information on production allowances should be provided in Column B, that on consumption allowances in Column C, that on potential production allowances in Column D, and that on authorizations to convert in Column E.

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
NOTIFICATION OF TRADES (Sec 82.12)

SECTION 1**REPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Number of
Transactions
Reported1.3 Number of
Pages Submitted**1.4 Reporting Company**

Company Name

Street Address

City

State

Zip Code

1.5 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.6 Signature of Reporting Company Representative

Name

Title

Signature

Date

1.7 EPA Stratospheric Ozone Protection Program ID Number**SEND COMPLETED FORMS TO:**

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
NOTIFICATION OF TRADES (Sec 82.12)
SECTION 2**TRANSACTION SUMMARIES**
TRANSACTION #
 (Reproduce additional sheets as needed)
2.1 Transferee Identification

Transferee Company Name

Transferee Contact Person

Street Address

City

State

Zip Code

Phone Number

Fax Number

2.2 Type of Allowances or Authorizations Being Transferred (check all that apply)☐ Production☐ Consumption☐ Potential Production☐ Authorizations to Convert**2.3 Type of Allowances Transferred (check only one)**☐ Current Year Allowances☐ Baseline Year Allowances**2.4 Chemical Transferring From****2.5 ODP****2.6 Number of Allowances or Authorizations of Chemical in Section 2.4 Being Transferred (kg)****2.7 Calculated Level of Chemical in Section 2.4 Being Transferred (Section 2.5 x Section 2.6)****2.8 Chemical Transferring To****2.9 ODP****2.10 Number of Allowances or Authorizations of Chemical in Section 2.8 Being Received (Section 2.7 x Section 2.9) (kg)****2.11 Is this trade for the purpose of reimbursing a producer for allowances expended in transformation or destruction?**☐ Yes If yes, please enter Amount of Offset in Section 2.13 as zero and continue to Section 2.14.☐ No If no, please continue to Section 2.12.**2.12 Is this a trade of potential production allowances or authorizations to convert?**☐ Yes If yes, please enter Amount of Offset in Section 2.13 as zero and continue to Section 2.14.☐ No If no, please calculate Amount of Offset (Section 2.6 x 0.01) and enter resulting value in Section 2.13.**2.13 Amount of Offset (kg)****2.14 Number of Allowances Subtracted from Transferor's Balance of Chemical Transferred From (Section 2.6 + Section 2.13) (kg)**



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
NOTIFICATION OF TRADES (Sec 82.12)

SECTION 3**UNEXPENDED BALANCE SUMMARY****3.1 Balance of Unexpended Allowances Prior to Trades Reported**

A	B	C	D	E
Chemical Name	Production Allowances (kg)	Consumption Allowances (kg)	Potential Production Allowances (kg)	Authorizations to Convert (kg)
CFC-11				
CFC-12				
CFC-113				
CFC-114				
CFC-115				
CFC-13				
CFC-111				
CFC-112				
CFC-211				
CFC-212				
CFC-213				
CFC-214				
CFC-215				
CFC-216				
CFC-217				
Carbon Tetrachloride				
Methyl Chloroform				
Methyl Bromide				
HBFCs				

2.10 TRADES WITH PROTOCOL PARTIES

A company can increase its production and consumption allowances by trading from another Party to the Protocol or decrease its production allowances by trading to another Party to the Protocol.

Trades to Another Party

A company may trade its production allowances to another Party. The trading company's production allowances will be reduced by the greater of two quantities:

- 1) the amount transferred, or
- 2) (U.S. allowable production) - (U.S. average production over past three years) - (the amount transferred).

If more than one company trades away the same type of allowances during one control period, the difference between U.S. allowable production and U.S. average production over the past three years will be prorated and divided among the companies.

For transfers to another Party, the Agency will review the transfer request and approve the transfer if it is consistent with the Montreal Protocol and domestic policy. The Agency will consider such factors as the possible creation of economic hardship, possible effects on trade, potential environmental implications of the trade of production to other Parties, and the total amount of unexpended production allowances held by United States entities. The Agency will also consult with the Department of State, the Department of Commerce, and the United States Trade Representative concerning requests for trades to Parties.

If the U.S. company trades away allowances from a chemical in Group I, the other Party may increase its production of Group I chemicals by the amount of the transfer, weighted by the ODP of the chemical being traded. The same would apply for the other groups of controlled substances. Thus, for example, a U.S. company could transfer away 75 kg of CFC-113 allowances. The recipient country could then increase its weighted production of Group I substances by 75×0.8 (the ODP of CFC-113), or 60 weighted kilograms.

Trades from Another Party

To receive a trade from another Party, the company must submit proof that the Party has agreed to reduce its production limit to the lesser of three quantities:

- 1) the maximum production that the nation is allowed under the Protocol minus the amount transferred;
- 2) the maximum production that is allowed under the nation's domestic law minus the amount transferred; and
- 3) the average of the nation's actual national production level for the three years prior to the transfer minus the production allowances transferred.

The international controls on ozone depleting substances apply to *groups* of controlled substances, so a U.S. company trading to receive allowances, in the case of a trade involving Group I chemicals, receives from another Party the right to produce a given ODP-weighted quantity of Group I chemicals rather than the right to produce specific quantities of the five chemicals in that group. The

company, therefore, must decide to which of its allowance accounts for Group I chemicals the trade should be applied. For example, a company receiving 100 kg of weighted Group I production allowances might decide to place them all in its account for CFC-113 production allowances. To convert the 100 weighted kilograms of Group I allowances to CFC-113 allowances, the company must divide by the ozone depletion potential of CFC-113, or 0.8. Thus the company receiving 100 Group I production allowances from another Party to the Protocol would, by its choice, actually receive 125 CFC-113 production allowances. Once the trade is approved, the Agency will add the correct number of production allowances to the recipient company's accounts.

Once the trade is approved, the Agency will also grant an identical number of consumption allowances to the recipient company if the increased production is intended for export (to a Party). Therefore, a company that trades from another Party to the Protocol receives both production and consumption allowances.

For trades to the United States, the transferring Party must submit a document from that nation's embassy in the United States stating that it has revised its production limits according to the conditions stated in Section 616 of the 1990 Clean Air Act Amendments. An official letter from the Party's embassy in Washington serves as proof that the Party intends to decrease its production of controlled substances consistent with U.S. law.

**REQUEST FOR APPROVAL OF TRADES WITH PROTOCOL PARTIES
FORM INSTRUCTIONS**

(Form 7600-5-G)

The attached form, designed to facilitate Agency review of requests for trades to or from a Protocol Party, consists of three sections. Section 1 provides information about the U.S. company involved in the trade. Section 2 concerns trades to a Protocol Party, while Section 3 concerns trades from a Protocol Party. A company will generally complete Section 1 and either Section 2 or Section 3 of the form, depending on whether it is requesting a trade to or from a Protocol Party. Multiple submissions are allowed.

Section 1 - Requesting Company Identification

1.1 Date of Submission:

Fill in the date that the request is submitted to EPA.

1.2 Number of Transactions Reported:

Provide the number of requests for trades of individual controlled substances included in this report.

1.3 Number of Pages Submitted:

Indicate the total number of pages in the request.

1.4 Requesting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.5 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the request. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.6 Signature of the Requesting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.5.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Trade to a Protocol Party

Companies trading production to other Protocol Parties must complete this section for each proposed trade (transaction). Photocopy Section 2 if additional copies are needed. Number the transactions by entering "1" in the transaction number box for the first transaction submitted and proceed with "2", "3", and so on for each additional transaction.

For each transaction, complete the form as follows:

2.1 Protocol Party Information:

Name of Protocol Party:

Provide the name of the country to which the production will be transferred. The country must be a Party to the Montreal Protocol.

Country Contact:

In the appropriate boxes, provide the name, title, complete address, phone, and fax number of the country contact person. This person should be able to answer questions EPA might have regarding the trade.

2.2 Type of Allowances Transferred:

Indicate whether the allowances being transferred are those for the current year only (current year allowances) or are baseline allowances. A transfer of baseline allowances permanently reduces the number of allowances that the transferor will receive in future allocations. Only one box should be checked.

2.3 Information on Controlled Substance Allowances Being Traded:

Chemical Name (Column A):

Common names of the class I controlled substances are listed in Column A according to their group. Information on the number of kilograms and calculated levels of each controlled substance being traded should be entered in the appropriate row, next to the chemical name.

Amount in Kilograms (Column B):

For each controlled substance, enter the number of allowances, in kilograms, being traded to the producing country.

Ozone Depletion Potential (Column C):

Ozone depletion potentials of class I substances are listed in Column C.

Calculated Level (Column D):

Compute the calculated level of each controlled substance being traded. The calculated level is equal to the number of kilograms being traded multiplied by the ozone depletion potential of the controlled substance (that is, Column B x Column C).

Total Calculated Level Being Transferred (Column E):

Compute the total calculated level being traded for each group of controlled substances and enter the result into the appropriate box in Column E. The total calculated level is equal to the sum of the calculated levels for each controlled substance being traded in a specific group. For example, the calculated level of Group 1 substances being traded is equal to the sum of the calculated levels of CFC-11, CFC-12, CFC-113, CFC-114, and CFC-115 being traded.

2.4 Information on Controlled Substance Allowances Being Traded, (continued):

Section 82.9(b)(4) Offset (Column F):

The company filing the trade request must revise its production limit if the trade is approved. Companies can obtain from the EPA Program Manager the amount to be entered in Column F. This information is not required, however. If the company does not provide the information on the form, EPA will calculate the offset and inform the company of its new balance of allowances.

For trades to another Party, the trading company's production limit will be reduced consistent with U.S. law. If, in one control period, more than one company trades to another Party production of a specific controlled substance, the offset amount will be recalculated and divided between the companies based on each company's share of the total quantity traded. Thus, the first company to trade will receive an allowance credit if a second company trades within the same control period.

Total Allowances Subtracted from Company Balance (Column G):

Again, if the company chooses to do so, it may request from EPA the quantity of the Section 82.9(b)(4) offset. For any controlled substance, then, the total allowances subtracted from a company's balances would equal the amount traded (Column B) plus the offset (Column F). If this information is not provided by the company, EPA will calculate the total number of allowances to be subtracted from the company's balances and inform the company.

Section 3 - Trade From a Protocol Party

Companies receiving production from other Protocol Parties must complete this section for each proposed trade (transaction). Photocopy Section 3 if additional copies are needed. Number the transactions, continuing from the last transaction number in Section 2. Each submission must be accompanied by an official letter from the Party's principal diplomatic representative in that country's U.S. embassy. The letter must attest that the appropriate authority within the country will revise its production limits as required by U.S. law if the trade is approved by EPA.

For each transaction, complete the form as follows:

3.1 Protocol Party Information:

Name of Protocol Party:

Provide the name of the country that will reduce its production (that is, from which production will be traded). The country must be a Party to the Montreal Protocol.

Country Contact:

In the appropriate boxes, provide the name, title, complete address, phone, and fax number of the country contact person. This person should be able to answer questions EPA might have regarding the trade.

3.2 Type of Allowances Transferred:

Indicate whether the allowances being transferred are those for the current year only (current year allowances) or are baseline allowances. A transfer of baseline allowances permanently increases the number of allowances that the transferor will receive in future allocations. Only one box should be checked.

3.3 Information on Controlled Substance Being Traded:

Chemical Group (Column A):

The chemical groups into which class I controlled substances are divided are listed in Column A. Information on the calculated levels of each group being traded should be entered in the appropriate box by group number.

Total Calculated Level Being Transferred (Column B):

For each group of controlled substances, indicate the total calculated level being traded to the U.S. company. The quantity should be stated in kilograms.

Breakdown of Calculated Level Being Transferred (Column C):

The calculated level for each group being traded must be divided into specific controlled substances. For each appropriate controlled substance (listed in Column F), indicate, in kilograms, the breakdown of the total quantity traded. The sum of the calculated levels of each controlled substance within a group should equal the total calculated level being traded for that group. For example, if a company received 10,000 kg of calculated level of Group I controlled substances by trading with a producing country, it would indicate in Column C how many kilograms of that total should be attributed to CFC-11, CFC-12, CFC-113, CFC-114, and CFC-115.

Please be aware that any changes made after the request has been processed will be treated as inter-pollutant trades and will be subject to EPA's one percent environmental offset. (See EPA Form 7600-5-C, Notification of Trades, and its accompanying instructions).

Ozone Depletion Potential (Column D):

Ozone depletion potentials of class I substances are listed in Column D.

Amount in Kilograms (Column E):

For each controlled substance, enter the number of production and consumption allowances being received (in kilograms). The number of production and consumption allowances being received (that will be added to the company's account balance) equals the calculated level of the controlled substance (Column C) divided by the ozone depletion potential (Column D).

Chemical Name (Column F):

Common names of the class I controlled substances are listed in Column F. Information on the number of kilograms and calculated levels of each controlled substance being traded should be entered in the appropriate row, next to the chemical name.

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM**CLASS I CONTROLLED SUBSTANCE REPORT:****REQUEST FOR APPROVAL OF TRADES WITH
PROTOCOL PARTIES (Sec 82.9(b))****SECTION 1****REQUESTING COMPANY IDENTIFICATION****1.1 Date of
Submission****1.2 Number of
Transactions
Reported****1.3 Number of
Pages Submitted****1.4 Requesting Company**

Company Name

Street Address

City

State

Zip Code

1.5 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.6 Signature of Reporting Company Representative

Name

Title

Signature

Date

1.7 EPA Stratospheric Ozone Protection Program ID Number**SEND COMPLETED FORMS TO:**

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).


EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR APPROVAL OF TRADES WITH
PROTOCOL PARTIES (Sec 82.9(b))**
SECTION 2 TRADE TO A PROTOCOL PARTY
TRANSACTION #

(Reproduce additional sheets as needed)

2.1 Protocol Party Information
Name of Protocol Party
Contact Person
Title
Address
Phone Number
Fax Number
2.2 Type of Allowances Transferred
☐ Current Year Allowances

☐ Baseline Year Allowances

2.3 Information on Controlled Substance Allowances Being Traded

A		B	C	D	E
Chemical Name		Amount in Kilograms	Ozone Depletion Potential	Calculated Level	Total Calculated Level Being Transferred
Group I	CFC-11		1.0		
	CFC-12		1.0		
	CFC-113		0.8		
	CFC-114		1.0		
	CFC-115		0.6		
Group III	CFC-13		1.0		
	CFC-111		1.0		
	CFC-112		1.0		
	CFC-211		1.0		
	CFC-212		1.0		
	CFC-213		1.0		
	CFC-214		1.0		
	CFC-215		1.0		
	CFC-216		1.0		
	CFC-217		1.0		
Group IV	Carbon Tetrachloride		1.1		
Group V	Methyl Chloroform		0.1		
Group VI	Methyl Bromide		0.7		
Group VII	HBFCs		0.74		

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR APPROVAL OF TRADES WITH
PROTOCOL PARTIES (Sec 82.9(b))

SECTION 2**TRADE TO A PROTOCOL PARTY (CONT.)****TRANSACTION #**

(Reproduce additional sheets as needed)

2.3 Information on Controlled Substance Allowances Being Traded (continued)

A		F	G
Chemical Name		Section 82.9(b)(4) Offset (kg)	Total Allowances Subtracted from Company Balance (Column B + Column F)
Group I	CFC-11		
	CFC-12		
	CFC-113		
	CFC-114		
	CFC-115		
Group III	CFC-13		
	CFC-111		
	CFC-112		
	CFC-211		
	CFC-212		
	CFC-213		
	CFC-214		
	CFC-215		
	CFC-216		
Group IV	Carbon Tetrachloride		
	Methyl Chloroform		
Group VI	Methyl Bromide		
Group VII	HBFCs		

This information is not required, but may be obtained from the Tracking System Program Manager. If the information is not included here, EPA will calculate the offset and the number of allowances to be subtracted from the company's existing balance of allowances and inform the company.

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
REQUEST FOR APPROVAL OF TRADES WITH
PROTOCOL PARTIES (Sec 82.9(b))

NOTE:

ATTACH NOTICE FROM RELEVANT
COUNTRY'S EMBASSY IN THE U.S.
APPROVING THIS TRADE

SECTION 3**TRADE FROM A PROTOCOL PARTY****TRANSACTION #**

(Reproduce additional sheets as needed)

3.1 Protocol Party Information

Name of Protocol Party

Contact Person

Title

Address

Phone Number

Fax Number

3.2 Type of Allowances Transferred☐ Current Year Allowances☐ Baseline Year Allowances**3.3 Information on Controlled Substance Being Traded**

A	B	C	D	E	F
Chemical Group	Total Calculated Level Being Transferred (kg)	Breakdown of Calculated Level Being Transferred (kg)	Ozone Depletion Potential	Number of Allowances Received (kg) (Consumption and Production)	Chemical Name
Group I			1.0		CFC-11
			1.0		CFC-12
			0.8		CFC-113
			1.0		CFC-114
			0.6		CFC-115
Group III			1.0		CFC-13
			1.0		CFC-111
			1.0		CFC-112
			1.0		CFC-211
			1.0		CFC-212
			1.0		CFC-213
			1.0		CFC-214
			1.0		CFC-215
			1.0		CFC-216
			1.0		CFC-217
Group IV			1.1		Carbon Tetrachloride
Group V			0.1		Methyl Chloroform
Group VI			0.7		Methyl Bromide
Group VII			0.74		HBFCs

2.11 USED OR RECYCLED SUBSTANCES - RECORDKEEPING AND REPORTING REQUIREMENTS

Section 82.3(kk) defines "used or recycled" controlled substances as:

...controlled substances that have been recovered from their intended use systems.

Recordkeeping

Section 82.13(o) contains the recordkeeping requirements for all persons who import or export used or recycled controlled substances. According to this section, these persons must label their bill of lading or invoice indicating that the controlled substance is used or recycled.

Reporting

Section 82.13(p) contains the reporting requirements for persons who import or export used or recycled Class I, Group II, controlled substances (Halons) and Class II controlled substances (HCFCs). According to this section, importers and exporters must report their annual level within 45 days of the end of the control period. The Agency requires importers and exporters to report these instances in the "Annual Report of Import and Export of Recycled Halons and HCFCs".

The Agency does not require that imports and exports of other used or recycled controlled substances be reported.

**ANNUAL REPORT OF IMPORT AND EXPORT OF RECYCLED HALONS AND HCFCs
- FORM INSTRUCTIONS**

(Form 7600-5-K)

The attached form, designed to facilitate Agency records of the import and export of recycled Halons and class II Chemicals (HCFCs) consists of two sections. Section 1 provides information about the company which imported or exported Halons or HCFCs. Section 2 summarizes the imports and exports by the company by controlled substance.

Section 1 - Reporting Company Identification

1.1 Date of Submission:

Fill in the date when the report is submitted to EPA.

1.2 Number of Pages Submitted:

Indicate the total number of pages in the report. This should normally be two pages, unless additional information is provided.

1.3 Reporting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.4 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.5 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.4.

1.6 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Import and Export Summary

Chemical Name:

Listed in Column A are Halons and HCFCs. Information on each chemical should be entered in the appropriate row, next to the name of the substance.

Imports of Recycled Substance:

In the corresponding block, enter the quantity in kilograms of recycled chemical imported in the calendar year.

Exports of Recycled Substance:

In the corresponding block, enter the quantity in kilograms of recycled chemical exported in the calendar year.



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STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
ANNUAL REPORT OF IMPORT AND EXPORT OF RECYCLED HALONS AND HCFCs (Sec 82.13(p))
SECTION 1
COMPANY IDENTIFICATION

1.1 Date of Submission

1.2 Number of Pages Submitted

1.3 Company Information

Company Name

Street Address

City

State

Zip Code

1.4 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.5 Signature of Reporting Company Representative

Name

Title

Signature

Date

1.6 EPA Stratospheric Ozone Protection Program ID Number

SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM

ANNUAL REPORT OF IMPORT AND EXPORT OF RECYCLED HALONS AND HCFCS (Sec 82.13(p))

SECTION 2.1

HALONS

Chemical Name	Imports of Recycled Controlled Substance in kg	Exports of Recycled Controlled Substance in kg
Halon-1211		
Halon-1301		
Halon-2402		

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STRATOSPHERIC OZONE PROTECTION PROGRAM**ANNUAL REPORT OF IMPORT AND EXPORT OF RECYCLED HALONS AND HCFCs (Sec 82.13(p))****SECTION 2.2****HCFCs**

Chemical Name	Imports of Recycled Controlled Substance in kg	Exports of Recycled Controlled Substance in kg
HCFC-21		
HCFC-22		
HCFC-31		
HCFC-121		
HCFC-122		
HCFC-122		
HCFC-123		
HCFC-124		
HCFC-131		
HCFC-132b		
HCFC-133a		
HCFC-141b		
HCFC-142b		
HCFC-151		
HCFC-221		
HCFC-222		
HCFC-223		
HCFC-224		
HCFC-225ca		
HCFC-225cb		
HCFC-226		
HCFC-231		
HCFC-232		
HCFC-233		
HCFC-234		
HCFC-235		
HCFC-241		
HCFC-242		
HCFC-243		
HCFC-244		
HCFC-251		
HCFC-252		
HCFC-253		
HCFC-261		
HCFC-262		
HCFC-271		

2.12 SECOND-PARTY TRANSFORMATION AND SECOND-PARTY DESTRUCTION - RECORDKEEPING AND REPORTING REQUIREMENTS

Recordkeeping

Section 82.13(l) contains the recordkeeping requirements for second-party transformers of controlled substances. According to this section, second-party transformers of controlled substances shall provide the producer or importer with the IRS certification that the controlled substances are to be used in processes resulting in their transformation.

Section 82.13(k) contains the recordkeeping requirements for second-party destroyers of controlled substances. According to this section, second-party destroyers of controlled substances shall provide the producer or importer from whom they purchase controlled substances to be destroyed with a verification that controlled substances will be used in processes that result in their destruction. If, at any time, any aspects of this verification change, the person must submit a revised verification reflecting such changes to the producer from whom that person purchases controlled substances intended for destruction. The verification shall include the following:

- Identity and address of the person intending to destroy controlled substances;
- Indication of whether those controlled substances will be completely destroyed, as defined in Section 82.3 of this rule, or less than completely destroyed, in which case the destruction efficiency at which such substances will be destroyed must be included;
- Period of time over which the person intends to destroy controlled substances; and
- Signature of the verifying person.

Reporting

The Annual Report of Second-Party Transformation and Second-Party Destruction

This form is required by the Agency to record second-party transformation and second-party destruction. Even though producers do not have to expend allowances for production of controlled substances for second-party transformation and destruction, this report helps the Agency to keep track of substances produced for these purposes.

**ANNUAL REPORT OF SECOND-PARTY TRANSFORMATION
AND SECOND-PARTY DESTRUCTION
- FORM INSTRUCTIONS**

(Form 7600-5-L)

The Agency requires second-party transformers and second-party destroyers of class I substances to report annually within 45 days after the end of the control period. The collected information is used by EPA to prepare reports required by the Montreal Protocol.

This form consists of two sections. Section 1 provides general information about the company submitting the request. Section 2 summarizes the transformation and destruction by controlled substance.

Section 1 - Reporting Company Identification

1.1 Date of Submission:

Fill in the date when the report is submitted to EPA.

1.2 Number of Pages Submitted:

Indicate the total number of pages in the report. This should normally be two pages, unless additional information is provided.

1.3 Reporting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.4 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.5 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.4.

1.6 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Second-Party Transformation and Destruction Summary

Chemical Name:

Listed in Column A are the common names of class I chemicals. Information on each chemical should be entered in the appropriate row, next to the name of the substance.

Second-Party Transformation of Controlled Substance:

In the corresponding block, enter the quantity in kilograms of each class I chemical which is transformed (second-party) in the calendar year.

Second-Party Destruction of Controlled Substance:

In the corresponding block, enter the quantity in kilograms of each class I chemical which is destroyed (second-party) in the calendar year.



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS I CONTROLLED SUBSTANCE REPORT:
ANNUAL REPORT OF SECOND-PARTY TRANSFORMATION AND SECOND-PARTY DESTRUCTION (Sec 82.13(k,l))
SECTION 1
COMPANY IDENTIFICATION

1.1 Date of Submission

1.2 Number of Pages Submitted

1.3 Company Information

Company Name

Street Address

City

State

Zip Code

1.4 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.5 Signature of Reporting Company Representative

Name

Title

Signature

Date

1.6 EPA Stratospheric Ozone Protection Program ID Number
SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

Information in reports submitted in compliance with the final rule may be claimed as confidential. A company may assert a claim of confidentiality for information submitted by clearly marking that information as confidential. Such information shall be treated in accordance with EPA's procedures for information claimed as confidential at 40 CFR Part 2, Subpart B, and will only be disclosed by the means set forth in the subpart. If no claim of confidentiality accompanies the report when it is received by EPA, it may be made public without further notice to the company (40 CFR 2.203).

**EPA**

U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM**CLASS I CONTROLLED SUBSTANCE REPORT:****ANNUAL REPORT OF SECOND-PARTY TRANSFORMATION
AND SECOND-PARTY DESTRUCTION (Sec 82.13(k,l))****SECTION 2****TRANSFORMATION AND DESTRUCTION SUMMARY**

A	B	C
Chemical Name	Second-Party Transformation of Controlled Substance in kg	Second-Party Destruction of Controlled Substance in kg
CFC-11		
CFC-12		
CFC-113		
CFC-114		
CFC-115		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216		
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		

2.13 CLASS II REPORTING REQUIREMENTS

Class II substances listed in Appendix A have ODP's that, while generally lower than the ODPs of the class I substances, are not zero. Production and consumption of these substances are not controlled under current regulations. Baseline allowances for companies producing or importing class II substances have not yet been calculated, nor have these companies been given production and consumption allowances. EPA is reserving the baseline for class II chemicals. Information on production, import, and export of class II substances is collected by the Agency, however, so that the U.S. can meet its reporting requirements to the United Nations Environment Programme. This information is also required by §603 of the Clean Air Act Amendments of 1990.

**QUARTERLY REPORT OF PRODUCTION, IMPORT, AND
EXPORT OF CLASS II CHEMICALS INSTRUCTIONS
- FORM INSTRUCTIONS:**

(Form 7600-5-J)

Section 82.13(n) requires producers, importers, and exporters of class II substances to report production, imports, and exports respectively, on a quarterly basis within 45 days after the end of each quarter. The information collected is used by EPA to prepare reports required by the Montreal Protocol and the Clean Air Act Section 603.

Section 1 - Reporting Company Identification

1.1 Date of Submission:

Fill in the date when the report is submitted to EPA.

1.2 Number of Pages Submitted:

Indicate the total number of pages in the report. This should normally be two pages, unless additional information is provided.

1.3 Reporting Company:

Indicate the name of the company and the business address of the contact person for the report.

1.4 Company Contact Identification:

List the name, telephone number, and fax number of the company official who may be contacted by EPA to answer questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.

1.5 Quarter to Which this Report Applies:

Check the appropriate box.

1.6 Signature of Reporting Company Representative:

The company official who is attesting to the accuracy of the report must complete and sign this section. This may or may not be the company contact person identified in Section 1.4.

1.7 EPA Stratospheric Ozone Protection Program ID Number:

To validate the submission for EPA's records, the company must indicate its EPA Stratospheric Ozone Protection Program identification number as assigned by the Stratospheric Protection Division. Companies that have not yet been assigned a number should leave this space blank.

Section 2 - Information on Class II Chemicals

Information on Class II Chemicals:

Chemical Name:

Listed in Column A are the common names of the class II chemicals. Information on each chemical should be entered in the appropriate row, next to the name of the substance.

Production:

In the corresponding block, enter the quantity in kilograms of each class II chemical produced in the calendar year. This should not include amounts of controlled substances that are transformed into other substances.

Imports:

In the appropriate block, enter the quantity in kilograms of each class II substance imported during the calendar year.

Exports:

In the appropriate block, enter the quantity in kilograms of each class II substance exported during the calendar year.



U.S. Environmental Protection Agency

STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS II CONTROLLED SUBSTANCE REPORT:
QUARTERLY REPORT OF PRODUCTION, IMPORT,
AND EXPORT OF CLASS II CHEMICALS (Sec 82.13(n))

SECTION 1**REPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Number of Pages Submitted

1.3 Reporting Company

Company Name

Street Address

City

State

Zip Code

1.4 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.5 Quarter to Which This Report Applies

☐ 1st☐ 2nd☐ 3rd☐ 4th**1.6 Signature of Reporting Company Representative**

Name

Title

Signature

Date

1.7 EPA Stratospheric Ozone Protection Program ID Number

SEND COMPLETED FORMS TO:

Tracking System Program Manager (6205J)
 Program Implementation Branch
 Stratospheric Protection Division
 Office of Atmospheric Programs
 Office of Air & Radiation, U.S. EPA
 401 M Street, SW
 Washington, DC 20460

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EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM
CLASS II CONTROLLED SUBSTANCE REPORT:
QUARTERLY REPORT OF PRODUCTION, IMPORT, AND
EXPORT OF CLASS II CHEMICALS (Sec 82.13(n))**
SECTION 2
INFORMATION ON CLASS II CHEMICALS

Chemical Name	Production (kg)*	Imports (kg)	Exports (kg)
HCFC-21			
HCFC-22			
HCFC-31			
HCFC-121			
HCFC-122			
HCFC-123			
HCFC-124			
HCFC-131			
HCFC-132b			
HCFC-133a			
HCFC-141b			
HCFC-142b			
HCFC-151			
HCFC-221			
HCFC-222			
HCFC-223			
HCFC-224			
HCFC-225ca			
HCFC-225cb			
HCFC-226			
HCFC-231			
HCFC-232			
HCFC-233			
HCFC-234			
HCFC-235			
HCFC-241			
HCFC-242			
HCFC-243			
HCFC-244			
HCFC-251			
HCFC-252			
HCFC-253			
HCFC-261			
HCFC-262			
HCFC-271			

* Excluding quantities that are used and entirely consumed in the manufacture of other chemicals, or quantities reused or recycled.

APPENDIX A

THE LIST OF CONTROLLED SUBSTANCES AND THEIR ODPs

CLASS I	ODP
---------	-----

A. Group I

CFCl_3 -- Trichlorofluoromethane (CFC-11)	1.0
CF_2Cl_2 -- Dichlorodifluoromethane (CFC-12)	1.0
$\text{C}_2\text{F}_3\text{Cl}_3$ -- Trichlorotrifluoroethane (CFC-113)	0.8
$\text{C}_2\text{F}_4\text{Cl}_2$ -- Dichlorotetrafluoroethane (CFC-114)	1.0
$\text{C}_2\text{F}_5\text{Cl}$ -- (Mono)chloropentafluoroethane (CFC-115)	0.6

All isomers of the above chemicals.

B. Group II

CF_2BrCl -- Bromochlorodifluoromethane (Halon 1211)	3.0
CF_3Br -- Bromotrifluoromethane (Halon 1301)	10.0
$\text{C}_2\text{F}_4\text{Br}_2$ -- Dibromotetrafluoroethane (Halon 2402)	6.0

All isomers of the above chemicals.

C. Group III

CF_3Cl -- Chlorotrifluoromethane (CFC-13)	1.0
C_2FCl_5 (CFC-111)	1.0
$\text{C}_2\text{F}_2\text{Cl}_4$ (CFC-112)	1.0
C_3FCl_7 (CFC-211)	1.0
$\text{C}_3\text{F}_2\text{Cl}_6$ (CFC-212)	1.0
$\text{C}_3\text{F}_3\text{Cl}_5$ (CFC-213)	1.0
$\text{C}_3\text{F}_4\text{Cl}_4$ (CFC-214)	1.0
$\text{C}_3\text{F}_5\text{Cl}_3$ (CFC-215)	1.0
$\text{C}_3\text{F}_6\text{Cl}_2$ (CFC-216)	1.0

APPENDIX A (CONT.)

THE LIST OF CONTROLLED SUBSTANCES AND THEIR ODPS

C. Group III (Cont.)

C_3F_7Cl (CFC-217) 1.0

All isomers of the above chemicals.

D. Group IV

CCl_4 -- Carbon Tetrachloride 1.1

E. Group V

$C_2H_3Cl_3$ -- 1,1,1-Trichloroethane (Methyl Chloroform) 0.1

All isomers of the above chemical, except 1,1,2-trichloroethane.

F. Group VI

CH_3Br -- Methyl Bromide 0.7

G. Group VII

HBFCs -- Hydrobromofluorocarbons (HBFC-22B1) 0.74

All isomers of the above chemicals

CLASS II

$CHFCI_2$ -- Dichlorofluoromethane (HCFC-21) [res.]

CHF_2Cl -- Chlorodifluoromethane (HCFC-22) 0.05

CH_2FCI -- Chlorofluoromethane (HCFC-31) [res.]

C_2HFCI_4 (HCFC-121) [res.]

$C_2HF_2Cl_3$ (HCFC-122) [res.]

$C_2HF_3Cl_2$ (HCFC-123) 0.02

C_2HF_4Cl (HCFC-124) 0.02

$C_2H_2FCI_3$ (HCFC-131) [res.]

APPENDIX A (CONT.)

THE LIST OF CONTROLLED SUBSTANCES AND THEIR ODPS

CLASS II (CONT.)

$C_2H_2F_2Cl_2$	(HCFC-132b)	[res.]
$C_2H_2F_3Cl$	(HCFC-133a)	[res.]
$C_2H_3FCl_2$	(HCFC-141b)	0.12
$C_2H_3F_2Cl$	(HCFC-142b)	0.06
C_2H_4FCI	(HCFC-151)	[res.]
C_3HFCI_6	(HCFC-221)	[res.]
$C_3HF_2Cl_5$	(HCFC-222)	[res.]
$C_3HF_3Cl_4$	(HCFC-223)	[res.]
$C_3HF_4Cl_3$	(HCFC-224)	[res.]
$C_3HF_5Cl_2$	(HCFC-225ca)	[res.]
	(HCFC-225cb)	[res.]
C_3HF_6Cl	(HCFC-226)	[res.]
$C_3H_2FCl_5$	(HCFC-231)	[res.]
$C_3H_2F_2Cl_4$	(HCFC-232)	[res.]
$C_3H_2F_3Cl_3$	(HCFC-233)	[res.]
$C_3H_2F_4Cl_2$	(HCFC-234)	[res.]
$C_3H_2F_5Cl$	(HCFC-235)	[res.]
$C_3H_3FCl_4$	(HCFC-241)	[res.]
$C_3H_3F_2Cl_3$	(HCFC-242)	[res.]
$C_3H_3F_3Cl_2$	(HCFC-243)	[res.]
$C_3H_3F_4Cl$	(HCFC-244)	[res.]

APPENDIX A (CONT.)

THE LIST OF CONTROLLED SUBSTANCES AND THEIR ODPS

CLASS II (CONT.)

$C_3H_4FCl_3$	(HCFC-251)	[res.]
$C_3H_4F_2Cl_2$	(HCFC-252)	[res.]
$C_3H_4F_3Cl$	(HCFC-253)	[res.]
$C_3H_5FCl_2$	(HCFC-261)	[res.]
$C_3H_5F_2Cl$	(HCFC-262)	[res.]
C_3H_6FCl	(HCFC-271)	[res.]

All isomers of the above chemicals.

APPENDIX B

PARTIES TO THE PROTOCOL (AS OF DECEMBER 10, 1993)

PARTIES	MONTREAL PROTOCOL	LONDON AMENDMENTS	COPENHAGEN AMENDMENTS
Algeria	✓	✓	
Antigua & Barbuda	✓	✓	✓
Argentina	✓	✓	
Australia	✓	✓	
Austria	✓	✓	
Bahamas	✓	✓	✓
Bahrain	✓		
Bangladesh	✓		
Barbados	✓		
Belarus	✓		
Belgium	✓	✓	
Benin	✓		
Bosnia & Herzegovina	✓		
Botswana	✓		
Brazil	✓	✓	
Brunei	✓		
Bulgaria	✓		
Burkina Faso	✓		
Cameroon	✓	✓	
Canada	✓	✓	
Central African Republic	✓		
Chile	✓	✓	
China	✓	✓	
Costa Rica	✓		
Cote Ivoire	✓		
Croatia	✓		
Cuba	✓		
Cyprus	✓		
Czech Republic	✓		
Denmark	✓	✓	
Dominica	✓	✓	
Dominican Republic	✓		
Ecuador	✓	✓	
Egypt	✓	✓	
El Salvador	✓		
European EC	✓	✓	
Fiji	✓		
Finland	✓	✓	
France	✓	✓	
Gambia	✓		
Germany	✓	✓	

APPENDIX B (CONT.)

PARTIES TO THE PROTOCOL (AS OF DECEMBER 10, 1993)

PARTIES	MONTREAL PROTOCOL	LONDON AMENDMENTS	COPENHAGEN AMENDMENTS
Ghana	✓	✓	
Greece	✓	✓	
Grenada	✓		
Guatemala	✓		
Guinea	✓	✓	
Hungary	✓		
Iceland	✓	✓	
India	✓	✓	
Indonesia	✓	✓	
Iran	✓		
Ireland	✓	✓	
Israel	✓	✓	
Italy	✓	✓	
Jamaica	✓	✓	
Japan	✓	✓	
Jordan	✓		
Kenya	✓		
Kiribati	✓		
Korea, Republic of	✓	✓	
Kuwait	✓		
Lebanon	✓	✓	
Libyan Arab Jamahiriya	✓		
Liechtenstein	✓		
Luxembourg	✓	✓	
Malawi	✓		
Malaysia	✓	✓	✓
Maldives	✓	✓	
Malta	✓		
Marshall Islands	✓	✓	✓
Mauritius	✓	✓	
Mexico	✓	✓	
Monaco	✓	✓	
Namibia	✓		
Netherlands	✓	✓	
New Zealand	✓	✓	✓
Nicaragua	✓		
Niger	✓		
Nigeria	✓		
Norway	✓	✓	✓
Pakistan	✓	✓	
Panama	✓		

APPENDIX B (CONT.)

PARTIES TO THE PROTOCOL (AS OF DECEMBER 10, 1993)

PARTIES	MONTREAL PROTOCOL	LONDON AMENDMENTS	COPENHAGEN AMENDMENTS
Papua New Guinea	✓	✓	
Paraguay	✓	✓	
Peru	✓	✓	
Philippines	✓	✓	
Poland	✓		
Portugal	✓	✓	
Romania	✓	✓	
Russian Federation	✓	✓	
Saint Kitts/Nevis	✓		
Samoa	✓		
Saudi Arabia	✓	✓	
Senegal	✓	✓	
Seychelles	✓	✓	
Singapore	✓	✓	
Slovenia	✓	✓	
Solomon Islands	✓	✓	
South Africa	✓	✓	
Spain	✓	✓	
Sri Lanka	✓	✓	
Sudan	✓		
Swaziland	✓		
Sweden	✓	✓	✓
Switzerland	✓	✓	
Syrian Arab Republic	✓		
Tanzania	✓	✓	
Thailand	✓	✓	
Togo	✓		
Trinidad and Tobago	✓		
Tunisia	✓	✓	
Turkey	✓		
Tuvalu	✓		
Uganda	✓		
Ukrainian SSR	✓		
United Arab Emirates	✓		
United Kingdom	✓	✓	
United States	✓	✓	
Uruguay	✓		
Uzbekistan	✓		
Venezuela	✓	✓	
Zambia	✓		
Zimbabwe	✓		

APPENDIX C

ARTICLE 5 PARTIES (AS OF DECEMBER 10, 1993)

Argentina	Malawi
Bangladesh	Malaysia
Botswana	Maldives
Brazil	Mexico
Burkina Faso	Nigeria
Cameroon	Panama
Chile	Philippines
China	Republic of Korea
Costa Rica	Slovenia
Cyprus	Sri Lanka
Cuba	Syrian Arab Republic
Ecuador	Thailand
Egypt	Togo
Fiji	Trinidad & Tobago
Gambia	Tunisia
Ghana	Turkey
Guatemala	Uganda
Guinea	Uruguay
India	Venezuela
Indonesia	Yugoslavia
Iran	Zambia
Jordan	
Kenya	
Libyan Arab Jamahiriya	

APPENDIX D

CONTROL PERIOD CALENDAR

January 1:	Begin 1st Quarter of Control Period
February 14:	Producer/Importer/Production, Import, and Export of Class II Chemicals Quarterly Reports due for 4th Quarter of Previous Control Period End-of-Year Export Report due for Previous Control Period Annual Report of Import and Export of Recycled Halons and HCFCs Annual Report of Second Party Transformation and Second Party Destruction due for Previous Control Period
March 31:	End 1st Quarter of Control Period
April 1:	Begin 2nd Quarter of Control Period
May 15:	Producer/Importer/Production, Import, and Export of Class II Chemicals Quarterly Reports due for 1st Quarter of Control Period
June 30:	End 2nd Quarter of Control Period
July 1:	Begin 3rd Quarter of Control Period
August 14:	Producer/Importer/Production, Import, and Export of Class II Chemicals Quarterly Reports due for 2nd Quarter of Control Period
September 30:	End 3rd Quarter of Control Period
October 1:	Begin 4th Quarter of Control Period
November 14:	Producer/Importer/Production, Import, and Export of Class II Chemicals Quarterly Reports due for 3rd Quarter of Control Period
December 31:	End 4th Quarter, End Control Period

