

EPA  
440  
1996.1

# 33205343

**GUIDANCE DOCUMENT  
FOR THE  
STRATOSPHERIC OZONE PROTECTION PROGRAM  
AFTER JANUARY 1, 1996**

U.S. EPA Headquarters Library  
Mail code 3201  
1200 Pennsylvania Avenue NW  
Washington DC 20460

Program Implementation Branch (6205J)  
Stratospheric Protection Division  
Office of Air and Radiation  
U.S. Environmental Protection Agency  
Washington, D.C. 20460

## INTRODUCTION

The U.S. Environmental Protection Agency amended the regulation governing the accelerated phaseout of ozone-depleting substances (ODSs) in the Federal Register on May 10, 1995, in order to facilitate a smooth phaseout. Authority for the regulation is found under sections of Title VI of the Clean Air Act Amendments of 1990 (CAA).

This guidance document is designed to assist companies in complying with the reporting and recordkeeping requirements of the Stratospheric Ozone Protection Program. Forms and instructions for completing reports are included. The forms provided are *recommended forms* for submitting the required information to EPA. Companies may, however, provide the same information in another format if desired.

This document is guidance. It 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 final rule published in the Federal Register, 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 that pertain to all class I controlled substances except methyl bromide. (Provisions governing methyl bromide are reflected in the earlier *Guidance Document* published January 1994.) Part II discusses the recordkeeping and reporting requirements for producers, importers, exporters, transformers, destroyers, essential-use holders, laboratory suppliers and laboratories that deal in ODSs controlled in the rule. Part II also contains the suggested forms and instructions needed to comply with the reporting requirements.

### Contacts

Information on Federal taxes for ozone-depleting chemicals and on products containing or manufactured with these chemicals can be obtained from the Internal Revenue Service (IRS) at 202-622-3130.

The Stratospheric Ozone Protection Hotline, at 1-800-296-1996, can be contacted for documents and other materials relevant to the accelerated phaseout and other parts of Title VI of the Clean Air Act Amendments of 1990.

Questions regarding the regulatory requirements of the phaseout and the Stratospheric Ozone Protection Program should be addressed to the Tracking System Program Manager at 202-233-9140. Readers are requested to bring errors in this document to the attention of the Tracking System Program Manager. Reporting forms and written communication should be directed to:

#### U.S. Postal Address

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
401 M St., SW  
Washington, D.C. 20460

#### Express Mail Address

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
501 3rd St., NW  
Washington, D.C. 20005

#### Faxes: (202)-233-9577

233-9637  
233-9665

# TABLE OF CONTENTS

INTRODUCTION .....	i
Contacts .....	ii
1. OVERVIEW OF THE STRATOSPHERIC OZONE PROTECTION PROGRAM	
1.1 Stratospheric Ozone Protection Program .....	iv
1.2 Controlled Substances .....	iv
1.3 Definition of Controlled Substance .....	vi
1.4 The Post-Phaseout Program .....	vi
1.5 EPA Offices Responsible for the Stratospheric Ozone Protection Program .....	xi
2. REPORTING INSTRUCTIONS AND FORMS	
2.1 Recordkeeping and Reporting .....	1
2.2 Confidentiality of Information .....	2
2.3 Conversion Factors .....	2
2.4 Reporting by Diskette .....	2
2.5 Reporting by Fax .....	2
Reporting Forms - Post-Phaseout Stratospheric Protection Division .....	3
2.6 Producers of Class I Substances - Recordkeeping and Reporting Requirements .....	4
2.7 Importers and Imports of Class I Controlled Substances - Recordkeeping and Reporting Requirements .....	12
2.8 Essential Use Holders and Laboratory Suppliers - Recordkeeping and Reporting Requirements .....	22
2.9 Class II Chemicals: Production, Import and Export - Recordkeeping and Reporting Requirements .....	29
2.10 Used Class I Controlled Substances - Petition to Import .....	33
2.11 Transformation and Destruction Credits - Request to Obtain Credits .....	34

2.12	Trade of Article 5 Allowances .....	34
2.13	Essential-Use Exemption for Laboratory and Analytical Applications - Certification .....	42
2.14	Exporters and Exports - Recordkeeping and Reporting Requirements .....	46
2.15	Transformation and Destruction - Recordkeeping and Reporting Requirements .....	53
2.16	Second-Party Transformation and Second-Party Destruction - Recordkeeping and Reporting Requirements .....	53
APPENDIX A:	LIST OF CONTROLLED SUBSTANCES .....	58
APPENDIX B:	PARTIES TO THE MONTREAL PROTOCOL, LONDON AMENDMENTS, AND COPENHAGEN AMENDMENTS .....	60
APPENDIX C:	ARTICLE 5 PARTIES .....	66
APPENDIX D:	CONTROL PERIOD CALENDAR .....	67

## 1. OVERVIEW OF THE STRATOSPHERIC OZONE PROTECTION PROGRAM: AFTER JANUARY 1, 1996

### 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 signatory nations (Parties) to reduce and eventually eliminate their production and consumption of ozone-depleting substances. The Stratospheric Ozone Protection Program (the Program) is designed to ensure that the U.S. meets its obligations to phase out and control these substances under the Protocol and the Clean Air Act Amendments of 1990.

### 1.2 CONTROLLED SUBSTANCES

The Program defines two classes of ozone-depleting substances in the following list. The ozone depletion potentials (ODPs) for these chemicals are presented in Appendix A.

All chemicals in class I, except Group VI (methyl bromide) are phased out beginning January 1, 1996. The phaseout signifies a virtual elimination of production and importation of these chemicals in the United States.

#### CLASS I CONTROLLED SUBSTANCES

##### Group I

- $\text{CFCl}_3$  -- Trichlorofluoromethane (CFC-11)
- $\text{CF}_2\text{Cl}_2$  -- 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

- $\text{CF}_2\text{BrCl}$  -- Bromochlorodifluoromethane (Halon 1211)
- $\text{CF}_3\text{Br}$  -- Bromotrifluoromethane (Halon 1301)
- $\text{C}_2\text{F}_4\text{Br}_2$  -- Dibromotetrafluoroethane (Halon 2402)
- All isomers of the above chemicals.

---

<sup>1</sup> Several minor revisions to the original 1988 EPA rule implementing controls and the phaseout of ozone-depleting substances were issued on the following dates: February 9, 1989 (54 FR 6376), April 3, 1989 (54 FR 13502), July 5, 1989 (54 FR 28062), July 12, 1989 (54 FR 29337), February 13, 1990 (55 FR 5005), June 15, 1990 (55 FR 24490), June 22, 1990 (55 FR 25812), January 22, 1991 (56 FR 2420), March 6, 1991 (56 FR 9518), July 30, 1992 (57 FR 33754), December 10, 1993 (58 FR 65018), December 30, 1993 (58 FR 69235), December 20, 1994 (59 FR 65478), and January 31, 1996 (61 FR 1284).

Group III

$\text{CF}_3\text{Cl}$  -- Chlorotrifluoromethane (CFC-113)  
 $\text{C}_2\text{FCl}_3$  -- (CFC-111)  
 $\text{C}_2\text{F}_2\text{Cl}_4$  -- (CFC-112)  
 $\text{C}_3\text{FCl}_4$  -- (CFC-211)  
 $\text{C}_3\text{F}_2\text{Cl}_3$  -- (CFC-212)  
 $\text{C}_3\text{F}_3\text{Cl}_2$  -- (CFC-213)  
 $\text{C}_3\text{F}_4\text{Cl}$  -- (CFC-214)  
 $\text{C}_3\text{F}_5$  -- (CFC-215)  
 $\text{C}_3\text{F}_4\text{Cl}_2$  -- (CFC-216)  
 $\text{C}_3\text{F}_5\text{Cl}$  -- (CFC-217)

All isomers of the above chemicals.

Group IV

$\text{CCl}_4$  -- Carbon Tetrachloride

Group V

$\text{C}_2\text{H}_3\text{Cl}_3$  -- 1,1,1-Trichloroethane (Methyl Chloroform)

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

Group VI

$\text{CH}_3\text{Br}$  -- Methyl Bromide

Group VII

HBFCs -- Hydrobromofluorocarbons

All isomers of the above chemicals

**CLASS II CONTROLLED SUBSTANCES: HCFCs -- HYDROCHLOROFLUOROCARBONS**

$\text{CHFC}_2$  -- (HCFC-21) Dichlorofluoromethane  
 $\text{CHF}_2\text{Cl}$  -- (HCFC-22) Chlorodifluoromethane  
 $\text{CH}_2\text{FCl}$  -- (HCFC-31) Chlorofluoromethane  
 $\text{C}_2\text{HFCl}_2$  -- (HCFC-121)  
 $\text{C}_2\text{HF}_2\text{Cl}$  -- (HCFC-122)  
 $\text{C}_2\text{HF}_3\text{Cl}_2$  -- (HCFC-123)  
 $\text{C}_2\text{HF}_4\text{Cl}$  -- (HCFC-124)  
 $\text{C}_2\text{H}_2\text{FCl}_3$  -- (HCFC-131)  
 $\text{C}_2\text{H}_2\text{F}_2\text{Cl}_2$  -- (HCFC-132b)  
 $\text{C}_2\text{H}_2\text{F}_3\text{Cl}$  -- (HCFC-133a)  
 $\text{C}_2\text{H}_3\text{FCl}_2$  -- (HCFC-141b)  
 $\text{C}_2\text{H}_3\text{F}_2\text{Cl}$  -- (HCFC-142b)  
 $\text{C}_3\text{HCFCl}_2$  -- (HCFC-221)  
 $\text{C}_3\text{HF}_2\text{Cl}_3$  -- (HCFC-222)  
 $\text{C}_3\text{HF}_3\text{Cl}_2$  -- (HCFC-223)  
 $\text{C}_3\text{HF}_4\text{Cl}$  -- (HCFC-224)  
 $\text{C}_3\text{HF}_5\text{Cl}_2$  -- (HCFC-225ca)

All isomers of the above chemicals

$\text{C}_3\text{HF}_2\text{Cl}$  -- (HCFC-225cb)  
 $\text{C}_3\text{HF}_3\text{Cl}_2$  -- (HCFC-226)  
 $\text{C}_3\text{H}_2\text{FCl}_3$  -- (HCFC-231)  
 $\text{C}_3\text{H}_2\text{F}_2\text{Cl}_2$  -- (HCFC-232)  
 $\text{C}_3\text{H}_2\text{F}_3\text{Cl}$  -- (HCFC-233)  
 $\text{C}_3\text{H}_2\text{F}_4\text{Cl}_2$  -- (HCFC-234)  
 $\text{C}_3\text{H}_2\text{F}_5\text{Cl}$  -- (HCFC-235)  
 $\text{C}_3\text{H}_3\text{FCl}_2$  -- (HCFC-241)  
 $\text{C}_3\text{H}_3\text{F}_2\text{Cl}$  -- (HCFC-242)  
 $\text{C}_3\text{H}_3\text{F}_3\text{Cl}_2$  -- (HCFC-243)  
 $\text{C}_3\text{H}_3\text{F}_4\text{Cl}$  -- (HCFC-244)  
 $\text{C}_3\text{H}_4\text{FCl}_3$  -- (HCFC-251)  
 $\text{C}_3\text{H}_4\text{F}_2\text{Cl}_2$  -- (HCFC-252)  
 $\text{C}_3\text{H}_4\text{F}_3\text{Cl}$  -- (HCFC-253)  
 $\text{C}_3\text{H}_5\text{FCl}_2$  -- (HCFC-261)  
 $\text{C}_3\text{H}_5\text{F}_2\text{Cl}$  -- (HCFC-262)  
 $\text{C}_3\text{H}_6\text{FCl}$  -- (HCFC-271)

### 1.3 DEFINITION OF CONTROLLED SUBSTANCE

Chemicals listed in Section 1.2 of this guidance document are considered controlled substances under the regulation, whether alone or in a mixture, if they are not in a manufactured product and are in bulk containers. A bulk container is one that serves to transport the chemical and is not directly used 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 has CFC-11 in its foam insulation and CFC-12 as its refrigerant is not a bulk container; instead, it is considered a product or a use system. The refrigerator does not simply store these chemicals but uses them to refrigerate food.

### 1.4 THE POST-PHASEOUT PROGRAM

On January 1, 1996, the phaseout of class I controlled substances (except methyl bromide) went into effect, which means a virtual halt to the production and import of these chemicals in the United States.<sup>2</sup>

Even though the production and import of class I controlled substances (except methyl bromide) ends on January 1, 1996, EPA does not restrict the use of these substances if they were produced or imported before this date through the use of allowances. Class I controlled substances produced or imported through the use of allowances prior to 1996 (1994 for halons) can continue to be used by industry and the public after the phaseout.

Although the use of class I controlled substances is not restricted through the accelerated phaseout program, other regulations published under Title VI of the Clean Air Amendments of 1990 limit their use in certain applications. For example, EPA 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 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.

#### Halt to U.S. Production and Import - The Accelerated Phaseout

Beginning January 1, 1996, there are no production allowances or consumption allowances for class I controlled substances (except methyl bromide). Prior to January 1, 1996, a person could produce class I controlled substances only if they had production allowances and consumption allowances. To import class I controlled substances prior to January 1, 1996, a person was required to have consumption allowances. Thus, there is no production or import except for very limited exceptions after the beginning of 1996.

**NOTE:** The term "consumption" for the purposes of this guidance document, the CAA and the Montreal Protocol means "production plus import minus export."

---

<sup>2</sup> After January 1, 1996, a very small amount of class I controlled substances can be produced or imported under very specific exemptions (see below).

### Exceptions to the Phaseout

Although production allowances and consumption allowances for class I controlled substances will no longer be allocated after January 1, 1996 (except for methyl bromide), exceptions for the manufacture of these substances may continue, if they are:

- either transformed or destroyed,
- exported to Article 5 countries,
- produced for essential uses as authorized by the Protocol and CAA and consistent with essential-use allowances, or
- produced with destruction or transformation credits.

Class I controlled substances (except methyl bromide) may be imported, without the need for consumption allowances after January 1, 1996, if they are:

- either transformed or destroyed,
- previously used, or
- imported using essential-use allowances.

To track and monitor these exceptions to the phaseout, the Program establishes the following types of allowances and credits, as well as the reporting and recordkeeping requirements generally described below and in Part II. (Part II describes the requirement in more detail but a company should still refer to the actual regulation to ensure thorough compliance):

- (1) Article 5 allowances,
- (2) essential-use allowances, and
- (3) destruction and transformation credits.

### Control Period

The Program operates within a control period equal to one calendar year. Allowances and credits are only usable during the specific control period (i.e., from January 1, 1996 to December 31, 1996).

### Post-Phaseout Tracking System

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

### Production for Export to Article 5 Countries

Companies allocated baseline production allowances in the rule published in the Federal Register on May 10, 1995, may produce fifteen (15) percent of their baseline after January 1, 1996 (except methyl bromide) explicitly for export to Article 5 countries. Appendix B lists Article 5 countries.



Each company with baseline production allowances for class I controlled substances in Groups I through V and Group VII is given "Article 5 allowances" equal to 15 percent of the baseline production allowances. Companies with baseline production allowances for class I, Group VI controlled substances may produce 10 percent of baseline production allowances for export to Article 5 countries.

#### Inter-Pollutant Trades of Article 5 Allowances

Companies allocated Article 5 allowances may make inter-pollutant trades. A company may trade Article 5 allowances from one chemical to another chemical within a Group, as listed above. After the last day of the control period (i.e., December 31, 1996) companies may use *only* these inter-pollutant trades to reconcile the account balances of unexpended Article 5 allowances. These inter-pollutant trades may occur within 45 days after the end of the control period.

#### Inter-Company Trades of Article 5 Allowances

Article 5 allowances may be traded among companies in the U.S. All of the transactions become official only after they are reported to EPA, on the date that EPA processes the transaction. As with the inter-pollutant trades described above, the number of Article 5 allowances subtracted from a company's balance in an inter-company trade is equal to the number of Article 5 allowances (on an ODP-weighted basis) that are traded plus one percent of this quantity. The additional one percent "off-set" is required by the regulation because section 607(a) of the CAA states that trades must result in greater reductions than would occur in their absence. If the trade combines an inter-company trade and an inter-pollutant trade, the one percent offset is subtracted from the transferor's balance only once.

#### Trades of Article 5 Allowances with Parties

After the January 1, 1996 phaseout, companies may trade Article 5 allowances to or from Parties to the Protocol as permitted in Article 2, paragraph 5 of the Protocol. These international trades allow greater global flexibility in meeting the demand in Article 5 countries for ozone-depleting substances to meet basic domestic needs.

To receive a trade from another Party, a U.S. company must submit proof (a diplomatic note from the diplomatic representative in the nation's embassy within the United States) that the Party has agreed to reduce its Article 5 production limit.

U.S. companies may transfer Article 5 allowances to a company in another Party. A company must submit a transfer request to EPA. 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.

### Import and Export Prohibitions of ODSs

In Section 82.4, 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.

### Import Prohibition of Products

The rule 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 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

### Production and Import for Transformation and Destruction

Companies that produce or import controlled substances for transformation or destruction do not need allowances; therefore, these activities may continue after January 1, 1996. However, a person must submit to EPA an Internal Revenue Service (IRS) certificate of intent to use a chemical as a feedstock before producing or importing class I controlled substances to be transformed. To produce or import a class I controlled substance that will be destroyed a person must provide EPA with a destruction verification.

### Petitioning EPA to Import Used Controlled Substances

An importer must petition EPA to import any shipment of controlled substance that was previously used. The petition must be submitted to EPA at least 15 working days before the shipment is to leave the country of export.

Part II describes the information required in a petition. These instructions are in Section... Upon receipt of the petition by EPA's Stratospheric Protection Division, EPA has 15 working days to review the petition for the import of the used controlled substance. If EPA does not respond to the petition within the 15 working days, the import is automatically allowed. The petition must accompany the shipment through U.S. Customs. EPA will notify the U.S. Customs Service and the Internal Revenue Service of the approved shipment, as well as denied shipments.

### Exporting Class I Controlled Substances

Exporters are not required to have allowances in order to export. Companies may only export to countries that signed the Montreal Protocol or the London Amendments to the Protocol. Exports must be reported to EPA at the end of the control period.

### Requirements for Returning Heels to the United States

Heels are the amount of a controlled substance remaining in a vessel or container after the majority is off-loaded or discharged. The industry rule-of-thumb is that a heel is up to ten percent of the volume of a container. Any container returning to the U.S. with more than 10 percent of its volume filled with a controlled substance must expend destruction and transformation credits or essential-use allowances to be imported, otherwise its entry into the U.S. is a violation of the regulation.

A heel that is less than 10 percent of the volume of a container can be returned to the U.S. without the need to expend destruction and transformation credits, as long as the person bringing the heel to the U.S. certifies the material will be included in a future shipment, or be recovered for transformation, destruction or a non-emissive use. A person bringing a heel back into the U.S. must provide EPA with a certification with the quarterly importer report described in Part II. In addition, the person who brings heels back to the U.S. must report at the end of the control period on the final disposition of each heel.

### Transformation and Destruction Credits

Only persons nominated by the United States to the Montreal Protocol for an essential-use exemption from the phaseout of a controlled substance are eligible to receive Transformation and Destruction Credits. The credits are granted to a person for the destruction or transformation of a class I controlled substance (except methyl bromide) taken from a use system in the United States. The credits granted are equal to the amount of controlled substance destroyed or transformed minus a 15 percent offset. The credits may be used by the person to produce or import the class I controlled substance for which they were nominated to the Protocol for an essential-use exemption. The person holding the credits may confer them to a producer or importer. Both the holder of the credits and producer or importer are subject to reporting requirements.

### Class II Controlled Substances

The rule implements a different approach towards the phaseout of Class II substances. No allowances are issued under the current regulation; rather, production and consumption will be limited to a cap equal to 2.8 percent of CFCs consumed in 1989 plus the consumption of HCFCs in 1989, 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	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	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 remaining production and consumption, except for specified exemptions
Jan 1, 2030	All Other HCFCs	Ban on remaining production and consumption, except for specified exemptions

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

**1.5 EPA OFFICES - STRATOSPHERIC OZONE PROTECTION PROGRAM**

**Office of Air and Radiation (OAR), Office of Atmospheric Programs (OAP), Stratospheric Protection Division (SPD)**

The program office 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 tracking system;
- Monitors trades;
- Resolves policy issues;
- Reviews quarterly reports; and
- Coordinates compliance monitoring.

Contact: Stratospheric Protection Division  
U.S. Environmental Protection Agency (6205J)  
401 M Street, S.W.  
Washington, D.C. 20460  
(202) 233-9410

### **Office of Enforcement and Compliance Assurance (OECA)**

- Directs inspections, provides EPA Regional offices with guidelines on performing inspections of producers, importers, exporters, and transformers.

Contact: Chemical, Commercial Services, and Municipal Division  
Office of Compliance  
U.S. Environmental Protection Agency  
401 M Street, SW  
Washington, D.C. 20460  
(202)-564-7047

### **Office of Regulatory Enforcement (ORE)**

- Directs and coordinates enforcement activities.

Contact: Air Enforcement Division  
Office of Regulatory Enforcement  
U.S. Environmental Protection Agency  
401 M Street, SW (2242A)  
Washington, D.C. 20460  
(202)-564-2817

### **EPA Regional Offices**

The Regional offices:

- Perform on-site inspections of records kept by affected companies; and
- Provide guidance on compliance with regulatory requirements.

## PART 2 - REPORTING INSTRUCTIONS AND FORMS

### 2.1 RECORDKEEPING AND REPORTING

Part II of this guidance document outlines industry recordkeeping and reporting requirements for the Stratospheric Ozone Protection Program.

The EPA reporting forms included in this document are recommended formats for providing the required information. Companies may, however, provide the same information in another format.

Producers, importers, exporters, transformers, destroyers, essential-use holders, laboratory suppliers and laboratories that deal in ozone-depleting substances (ODSs) controlled in the rule are required to report periodically on a company-wide basis to EPA and to maintain records.

#### Recordkeeping

During inspections, records are used to verify quantities reported to EPA as produced, imported, exported, transformed, destroyed, occupied in essential uses, and supplied to or used in laboratories. Records and copies of reports must be kept by companies for three years.

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.

#### Reporting

Quarterly and yearly reports are sent by companies to EPA's Tracking System Program Manager, who after an initial check, enters them into the Tracking System. The Program Manager may resolve reporting discrepancies over the telephone before entering the report into the Tracking System. 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.

Quarterly reports must be sent to EPA Headquarters postmarked within 45 days after the end of each quarter. Quarters end March 31st, June 30th, September 30th, and December 31st; therefore quarterly reports are due on:

May 15th,  
August 15th,  
November 15th and  
February 15th (of the following calendar year)

Companies may obtain a copy of a computer program to create diskettes for the submission of Tracking System reports. Companies that submit reports on diskette must also submit a hard copy.

## 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. The generally accepted conversion factor between kilograms and pounds, for the purposes of this rule, are:

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

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

## 2.4 REPORTING BY DISKETTE

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 3½ inch computer diskette 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 202-233-9410.

## 2.5 REPORTING BY FAX

Companies may fax reports to the Tracking System Program Manager at (202)-233-9637 or (202)-233-9577. If the report is faxed, a hard copy should not be sent by mail. However, a company that faxes a report should followed up with a phone call to (202)-233-9192 to ensure EPA received all the information.

# POST-PHASEOUT STRATOSPHERIC OZONE PROTECTION PROGRAM

## REPORTING FORMS

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

<u>Title</u>	<u>EPA Form Number</u>	<u>Number of Pages</u>	<u>Page Number</u>	<u>CFR Number*</u>
<b>QUARTERLY REPORTS</b>				
Producer Quarterly Report	7600-5-PA	4	8	82.13(f)(3)
Importer Quarterly Report	7600-5-PB	4	18	82.13(g)(4)
Essential Use Holder and Laboratory Supplier Quarterly Report	7600-5-PZ	4	25	82.13(u) and 82.13(v)
Quarterly Report of Production, Import, and Export of Class II Chemicals	7600-5-PJ	2	31	82.13(n)
<b>MISCELLANEOUS REPORTS</b>				
Petition to Import Used Substances	no form	—	33	82.13(g)(2)
Petition to Obtain Transformation and Destruction Credits	no form	—	34	82.9(f)
Notification of Trade of Article 5 Allowances	7600-5-PC	3	39	82.12(a)
Laboratory Certification Report	7600-5-PE	2	44	82.13(w)
<b>ANNUAL REPORTS</b>				
Annual Export Report	7600-5-PF	3	50	82.13(h)
Annual Report of Second-Party Transformation and Destruction	7600-5-PL	2	56	82.13(m) 82.13(n)

\* All citations are from the May 10, 1995, Federal Register.



## 2.6 PRODUCERS OF CLASS I SUBSTANCES - RECORDKEEPING AND REPORTING REQUIREMENTS

A detailed discussion of producers' recordkeeping requirements, as well as a review of definitions can be found in the January 1994, *Guidance for the Stratospheric Ozone Protection Program*. Section 82.3 of the rule published in the Federal Register on May 10, 1995, defines terms such as "production," "transformation," and "destruction."

### Recordkeeping

Section 82.13(f)(2) contains recordkeeping requirements for producers. Section 82.13(f)(1)(v) requires companies to notify EPA of any changes in their daily recordkeeping procedures within 60 days of the change.

### Reporting - Producer Quarterly Report

Section 82.13(f) sets forth the regulatory requirement for quarterly reports. Producers are required to report quarterly to EPA on a company-wide basis. Reports to be submitted to EPA require data on a company-wide scale, even though recordkeeping, in most cases, is required on a facility or plant basis.

Producers who also import controlled substances must file an Importer Quarterly Report with the Producer Quarterly Report.

### Production using Article 5 Allowances

Companies allocated baseline production allowances in §82.6 may produce up to fifteen (15) percent of the baseline explicitly for export to Article 5 countries for their domestic use. The amount produced for export to Article 5 countries is reported each quarter and deducted from that company's balance of Article 5 allowances.

### Production using Transformation/Destruction Credits Conferred

Only persons nominated by the U.S. for an essential-use exemption can obtain transformation and destruction credits. A person with transformation and destruction credits may confer these credits to a producer in a letter that requests the manufacture of a specified quantity. Producers report the quarterly quantity produced and submit a copy of the letter conferring the credits.

### Production for Global Laboratory Essential Use Exemption

Production for the global laboratory essential use exemption must meet the purity criteria specified in Appendix G of the rule published in the Federal Register on May 10, 1995.

Quarterly reports of total amounts produced under the global laboratory essential use exemption must be accompanied by a list of the distributors of laboratory supplies and the laboratories customers and the amount each requested during that quarter. In addition, the report must be accompanied by copies of the certifications from distributors of laboratory supplies and laboratories that ordered class I controlled substances (except Group VI). The certification should state that the controlled substance

is purchased solely for the laboratory applications and will not be resold or used in manufacturing as in §82.13(f)(3)(xii) and (xiii).

#### Production using Essential-Use Allowances Conferred

Holders of essential-use allowances may confer to a producer, in a letter, the right to produce a specific quantity of a specified class I controlled substance. The letter should also certify that the controlled substance is purchased solely for the specified essential use.

Producers must report quarterly the quantity manufactured for essential uses (the non-laboratory essential uses) and submit a list of essential-use holders from whom orders were placed and the quantity of specific essential-use substance requested and produced. In addition, the producer should submit a copy of the letter conferring the right to produce the material and certifying its purchase solely for the specified essential use.

#### Production for In-House or Second-Party Transformation

Producers must report quarterly the quantities of class I controlled substances produced for in-house and second-party transformation.

Section 82.13(l) requires a person who purchases class I controlled substances for second-party transformation to provide the producer with an IRS certification of intent to use the substance as a feedstock.

Copies of the IRS certificates of intent to use the controlled substance as a feedstock must accompany the quarterly report whether sold for second-party transformation in the U.S. or for second-party transformation overseas. For each purchaser, *only one copy* of the IRS certification must be provided during each control period as long as subsequent quantities shipped to that company are listed in each quarterly report.

#### Production for In-House or Second-Party Destruction

Producers must report quarterly the quantities of class I controlled substances produced for in-house and second-party destruction.

Section 82.13(k) requires a person who purchases class I controlled substances for second-party destruction to provide the producer from whom they purchased the material with verification that it will be used in a process resulting in its destruction.

Copies of destruction verifications for quantities sold for second-party destruction must accompany the Producer Quarterly Report.

#### Insignificant Quantities

The decision of the Parties to the Montreal Protocol to exclude insignificant quantities under certain conditions is implemented by EPA under the definition of "controlled substance" in section 82.3 of the regulation.

## QUARTERLY PRODUCER'S REPORT INSTRUCTIONS

(Form 7600-5-PA)

Producer Quarterly Report has three sections:

- Section 1 - Submitting Company Information
- Section 2 - Company Production Data (company-wide)
- Section 3 - Summary of Article 5 Allowances

### Section 1 - Producing Company Identification

- 1.1 Date of Submission: date the report is submitted to EPA.
- 1.2 Producing Company: name of the company and the business address of the contact person for the report.
- 1.3 Company Contact Identification: name, telephone number, and fax number of the company official to be contacted by EPA if there are questions concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.
- 1.4 Quarter to Which this Report Applies: Check the appropriate box.
- 1.5 Importer Information: Check the appropriate box to indicate the company's status as an importer.
- 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 person may or may not be the company contact person identified in Section 1.4. The person signing the form should read the "certification" that the information on the form is accurate.

### Section 2 - Company Production Data

- 2.1 Company Name: as it appears in Section 1.3.
- 2.2 Company Production Totals:

Chemical Name (Column A): the common names of class I controlled substances.

Article 5 Quarterly Production (Column B): the total quantity, in kilograms, of each controlled substance produced explicitly for export to Article 5 countries during this quarter that will require expenditure of Article 5 allowances.

Transformation/Destruction Credits Conferred (Column C): the total quantity, in kilograms, of each controlled substance *produced* with conferred transformation and destruction credits. (Submit letter conferring credits.)

Global Laboratory Essential Uses Exemption (Column D): the total quantity, in kilograms, of each controlled substance produced and shipped under the global laboratory essential use exemption. (Submit the certifications from distributors of laboratory supplies and individual laboratory customers.)

Essential Use Exemption (Other than global laboratory) (Column E): total quantity, in kilograms, of each controlled substance produced *and shipped* to a holder of essential-use allowances in the quarter. (Submit letter conferring rights to produce and certifying purchase for the essential use.)

Production for In-House Transformation (Column F): the total quantity, in kilograms, of each controlled substance produced for in-house transformation during the quarter.

Production for Second-Party Transformation (Column G): the total quantity, in kilograms, of each controlled substance produced for second-party transformation. (Submit the IRS certificate of intent to use the substance as a feedstock with the first sale to a company and list subsequent quantities sold to that company.)

Production for In-House Destruction (Column H): the total quantity, in kilograms, of each controlled substance produced for in-house destruction.

Production for Second-Party Destruction (Column I): the total quantity, in kilograms, of each controlled substance produced for second-party destruction. (Submit copy of the destruction verification from each company.)

Total Production of Controlled Substance (Column J): the sum of the quantities of each controlled substance produced as listed in Columns B+C+D+E.

### Section 3 - Allowance Expenditure Data

3.1 Company Name: name as it appears in Section 1.3.

3.2 Article 5 Yearly Balance Summary

Chemical Name (Column A): the names of class-I controlled substances.

Total Article 5 Allowances for Year to Date (Column B): quantity of expended and unexpended Article 5 allowances.

Expended: the total number of Article 5 allowances expended in producing each controlled substance through the year to date, as of the end of the quarter.

Unexpended: the total number of unexpended Article 5 allowances equals the number of Article 5 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 Article 5 allowances.

## SECTION 1

## PRODUCING COMPANY IDENTIFICATION

1.1 Date of Submission

1.2 Producing Company

Company Name

Street Address

City

State

Zip Code

1.3 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.4 Quarter to Which This Report Applies

☐ 1st☐ 2nd☐ 3rd☐ 4th

1.5 Importer Information

Is your company an importer of controlled substances?

☐ Y☐ N

If yes, is the Importer Quarterly Report attached?

☐ Y☐ N

1.6 Signature of Reporting Company Representative

I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.

Name

Title

Signature

Date

## SEND COMPLETED FORMS TO:

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
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	E	F
Chemical Name	Article 5 Quarterly Production	Transformation and Destruction Credits Conferred	Global Laboratory Essential Use Exemption	Essential Use Exemption (Other Than Global Laboratory)	Production in kg of Controlled Substance for In-House 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					
HFCs					





## SECTION 2

## COMPANY PRODUCTION DATA (Continued)

2.3 Company Name

2.4 Company Production Totals

A	G	H	I	J
Chemical Name	Production in kg of Controlled Substance for Second-Party Transformation	Production in kg of Controlled Substance for In-House Destruction	Production in kg of Controlled Substance for Second Party Destruction	Total Production in kg of Controlled Substance B+C+D+E
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 Article 5 Yearly Balance Summary

A	B	
Chemical Name	Total Article 5 allowances for year to date (as of the end of the quarter) that were:	
	Expended	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		



## **2.7 IMPORTERS AND IMPORTS OF CLASS I CONTROLLED SUBSTANCES - RECORDKEEPING AND REPORTING REQUIREMENTS**

Definitions of the terms "import," "transformation," "destruction," and "used controlled substances" are found in the rule published in the Federal Register on May 10, 1995.

### **Recordkeeping**

Subsection 82.13 (g)(1) describes recordkeeping requirements for importers of controlled substances.

### **Reporting - Importer Quarterly Report**

Importers of class I controlled substances, whether virgin or used, are required to report to EPA on a quarterly basis. Blends and mixtures of controlled substances are considered imports and must be reported.

Specific reporting requirements, listed in the regulation under §82.13(g)(3), are reproduced in the attached forms for the convenience of reporting companies.

### **Import for the Global Laboratory Essential-Use Exemption**

Imports for the global laboratory essential use exemption must meet the stringent purity and packaging criteria described in Appendix G of the rule published in the Federal Register on May 10, 1995.

Quarterly reports of total amounts imported under the global laboratory essential use exemption must be accompanied by a list of the distributors of laboratory supplies and the individual laboratories that purchased material and the amount requested by each during that quarter. In addition, the report must be accompanied by copies of the certifications from distributors of laboratory supplies and laboratories that ordered the material. The certification should state that the controlled substance is purchased solely for laboratory applications and will not be resold or used in manufacturing (§82.13(f)(3)(xii) and (xiii)).

### **Imports for or by Holders of Essential-Use Allowances**

Holders of essential-use allowances may import themselves or confer to an importer, in a letter, the right to import a specific quantity of a specified class I controlled substance. The letter should also certify that the controlled substance is imported solely for the specified essential use.

The person who imports must report quarterly the quantity brought into the United States for essential uses (non-laboratory essential uses). If imported for holders of essential-use allowances the person must submit a list of essential-use holders from whom orders were placed and the quantity of specific essential-use substance requested and shipped. The importer must also submit a copy of the letter conferring the right to import the material and certifying its purchase solely for the specified essential use.

### Imports using Transformation/Destruction Credits

Only persons nominated by the U.S. for an essential-use exemption can obtain transformation and destruction credits. A person with transformation and destruction credits may import themselves or confer these credits to an importer in a letter that requests a specified quantity. The importer must report quarterly the quantity brought into the United States either using credits or submit a copy of the letter conferring the credits to bring the material into the U.S.

### Imports for In-House or Second-Party Transformation

Importers must report quarterly the quantities of class I controlled substances imported for in-house and second-party transformation. Section 82.13(l) requires that a person who purchases class I controlled substances for second-party transformation must provide the importer with an IRS certification of intent to use the substance as a feedstock.

Copies of the IRS certificates of intent to use the controlled substance as a feedstock must accompany the Importer Quarterly Report. For each purchaser, *only one copy* of the IRS certification must be provided as long as subsequent quantities shipped to that company are listed in each quarterly report.

### Imports for In-House or Second-Party Destruction

Importers must report quarterly the quantities of class I controlled substances imported for in-house and second-party destruction. Section 82.13(k) requires the person who purchases class I controlled substances for second-party destruction to provide the importer with a verification that the controlled substances will be used in processes that result in their destruction.

The importer quarterly report must be accompanied by copies of destruction verifications for quantities sold for second-party destruction.

### Imports of Used Controlled Substances

Imports of used controlled substances are reported separately in the Importer Quarterly Report.

### Heels

A heel is any quantity of controlled substance returning to the United States that is less than 10 percent of the volume of the container that was not un-loaded or discharged from that container.

Imported heels are reported in each quarterly report. The importer of heels must submit the certification required in 82.13(r) that the material will either: (1) remain in the container and be included in a future shipment; (2) be recovered and transformed; (3) be recovered and destroyed, or (4) be recovered for a non-emissive use.

### Transshipments

Companies which tranship must keep records that the transshipment originated in one country destined for another country and did not enter interstate commerce in the United States.

## IMPORTER QUARTERLY REPORT INSTRUCTIONS

(Form 7600-5-PB)

The Importer Quarterly Report has three sections:

- Section 1 - Submitting Company Information
- Section 2 - Summary of Individual Transactions
- Section 3 - Company Import Data (company-wide)

### Section 1 - Importing Company Identification

- 1.1 Date of Submission: date report is submitted to EPA.
- 1.2 Number of Transactions Reported: total number of individual transactions reported in Section 2.
- 1.3 Number of Pages Submitted: 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: the name of the company and the business address of the contact person for the report.
- 1.6 Company Contact Identification: the name, telephone number, and fax number of the company official who may be contacted by EPA 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: company official who is attesting to the accuracy of the report. This may or may not be the company contact person identified in Section 1.6.

### Section 2 - Transaction Record Summaries

- 2.1 Company Name: company submitting the Importer Quarterly Report, as 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. Reproduce this page as needed to obtain sufficient blank spaces for additional transactions.

Source Country: the country that exported the controlled substance to the U.S.

Chemical Name: the controlled substance using its common name, such as CFC-11, CFC-12, CFC-113. 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: 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. *The commodity codes for class I controlled substances changed in 1996.* 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.

CFC-11 (trichlorofluoromethane)	2903.41.0000
CFC-12 (dichlorodifluoromethane)	2903.42.0000
CFC-113 (trichlorotrifluoroethane)	2903.43.0000
CFC-114 (dichlorotetrafluoroethane)	2903.44.0010
CFC-115 (chloropentafluoroethane)	2903.44.0020
Halons (1211, 1301 & 2402)	2903.46.0000
Mixtures with chlorofluorocarbons (CFCs) such as R-500 and R-502	3824.71.0000
Mixtures, Other (one or more fully halogenated compounds as defined in commodity codes listed above)	3823.79.0000
Carbon Tetrachloride	2903.14.0000
Methyl Chloroform (1,1,1- trichloroethane)	2903.19.6010
Methyl Bromide	2903.30.1520
Organic Composite Solvents and Thinners (containing methyl chloroform or carbon tetrachloride)	3814.00.5010

Importer Number: the identification used for an import is usually the company's IRS number. *Please ensure the number is a complete U.S. Customs Service Importer Number.* This number appears on the Customs Entry Summary Form 7501 as two digits, followed by a dash, then seven digits (e.g., 12-1234567).

Quantity of Commodity Imported: kilograms of the commodity imported.

Quantity of Controlled Substance Imported: kilograms 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.

Port of Entry into the U.S.: the port in the U.S. where the shipment landed.



Date of Import: 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 Customs Entry Summary Form (from block number 1 of U.S. Customs Form 7501). The Customs Entry Summary Number is generally three (3) letters followed by nine (9) digits.

Type of Import: check the box that applied to the specific transaction.

### Section 3 - Company Import Data

3.1 Company Name: name of the company submitting the report, as in Section 1.3.

3.2 Company Import Totals:

Chemical Name (Column A): the common names of the controlled substances.

Global Laboratory Essential Use Exemption (Column B<sup>1</sup>): total quantity, in kilograms, of each controlled substance imported during the quarter that meets the purity standards for laboratory applications. 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 importer must submit the certification from a distributor of laboratory supplies or a laboratory for the quantity listed for each substance in Column B<sup>1</sup>.

Essential Use Exemption (other than global laboratory) (Column B<sup>2</sup>): total quantity, in kilograms, of each controlled substance imported and sold using essential-use allowances either held or conferred. (Submit letters conferring essential-use allowances and certifying purchase for the specific essential use.)

Transformation/Destruction Credits (Column C): total quantity, in kilograms, of each controlled substance imported using transformation/destruction credits. (Submit the letter conferring the credits.)

In-House Transformation (Column D): total quantity, in kilograms, of each controlled substance imported for in-house transformation purposes during the quarter.

Second-Party Transformation (Column E): total quantity, in kilograms, of each controlled substance imported and sold for second-party transformation during the quarter. (Submit the IRS certificate of intent to use the substance as a feedstock for the first sale to a company in a control period and only list subsequent quantities sold to that company.)

In-House Destruction (Column F): total quantity, in kilograms, of each controlled substance imported in the quarter for in-house destruction.

Second-Party Destruction (Column G): total quantity, in kilograms, of each controlled substance imported and sold in the quarter for second-party destruction purposes. (Submit the destruction verification letters.)

Total Imports (Column H): the sum of the quantities listed in Column B<sup>1</sup> + B<sup>2</sup> + C for each controlled substance in the quarter.

If the substance was a component of a mixture, report only the amount of the controlled substance in the mixture.

Total Imports of Used Controlled Substances (Column I): total quantity, in kilograms, of each used controlled substance imported in the quarter.

Total Heels: total quantity, in kilograms, of each controlled substance brought into the United States as a heel that is less than 10% of the volume of each container. (Submit the certification that the heel will be treated as required in 82.13(r)).

**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM**

CLASS I CONTROLLED SUBSTANCE REPORT:

IMPORTER QUARTERLY REPORT (Sec 82.13(g)(4))

**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:

☐ 1st☐ 2nd☐ 3rd☐ 4th

1.5 Importing Company

Company Name

Street Address

City

State

Zip Code

**Company Contact Identification**

Reporting Company Contact Person

Phone Number

Fax Number

1.7 Signature of Reporting Company Representative

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager

Stratospheric Protection Division

U.S. EPA (6205J)

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)(4))

**SECTION 2****TRANSACTION RECORD SUMMARIES**

(Reproduce additional sheets as needed)

2.1 Company Name

2.2 Transaction Summaries

TRANSACTION # 

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	
Transformation <input type="checkbox"/>	Destruction <input type="checkbox"/>	Essential Uses <input type="checkbox"/>	T/D Credits <input type="checkbox"/> Used <input type="checkbox"/> Heels <input type="checkbox"/>

TRANSACTION # 

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	
Transformation <input type="checkbox"/>	Destruction <input type="checkbox"/>	Essential Uses <input type="checkbox"/>	T/D Credits <input type="checkbox"/> Used <input type="checkbox"/> Heels <input type="checkbox"/>

TRANSACTION # 

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	
Transformation <input type="checkbox"/>	Destruction <input type="checkbox"/>	Essential Uses <input type="checkbox"/>	T/D Credits <input type="checkbox"/> Used <input type="checkbox"/> Heels <input type="checkbox"/>



EPA U.S. Environmental Protection Agency

**STRATOSPHERIC OZONE PROTECTION PROGRAM**  
**CLASS I CONTROLLED SUBSTANCE REPORT:**  
**IMPORTER QUARTERLY REPORT (Sec. 82.13(g)(4))**
**SECTION 3****COMPANY IMPORT DATA****3.1 Company Name****3.2 Company Import Totals**

A	B		C	D	E	F
Chemical Name	Imports in kg of Controlled Substance for Essential Uses		Imports in kg of Controlled Substance with Transformation/ Destruction Credits	Imports in kg of Controlled Substance for In-House Transformation	Imports in kg of Controlled Substance for Second-Party Transformation	Imports in kg of Controlled Substance for In-House Destruction
	Global Laboratory Essential Use Exemption	Essential Use Exemption (Other Than Global Laboratory)				
CFC-11						
CFC-12						
CFC-113						
CFC-114						
CFC-115						
Halon-1211						
Halon-1301						
Halon-2402						
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						





## STRATOSPHERIC OZONE PROTECTION PROGRAM

CLASS I CONTROLLED SUBSTANCE REPORT:

IMPORTER QUARTERLY REPORT (Sec. 82.13(g)(4))

## SECTION 3

## COMPANY IMPORT DATA (Continued)

3.3 Company Name

3.4 Company Import Totals

A	G	H	I	J
Chemical Name	Imports in kg of Controlled Substance for Second-Party Destruction	Total Imports in kg of Controlled Substance $B_1 + B_2 + C$	Total Imports in kg of "Used" Controlled Substance	Total Amount of "Heels" in kg of Controlled Substance
CFC-11				
CFC-12				
CFC-113				
CFC-114				
CFC-115				
Halon-1211				
Halon-1301				
Halon-2402				
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				



- 1.3 Number of Pages Submitted: 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 Reporting Company: name of the company and the business address of the contact person for the report.
- 1.6 Company Contact Identification: the name, telephone number, and fax number of the company official who may be contacted by EPA 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: company official who is attesting to the accuracy of the report. This may or may not be the company contact person identified in Section 1.6.

## Section 2 - Transaction Summaries - Amounts Received from Producers or Importers

- 2.1 Company Name: company submitting the Importer Quarterly Report, as 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.

Source Company: the company name and address from whom the material was received.

Chemical Name of Controlled Substance Received: the common name, such as CFC-11, CFC-12, of the substance received. If the substance is a component of a blend or a mixture, identify both the controlled substance and the blend (i.e., "R-500 containing CFC-12").

Quantity of Controlled Substance (kg) Received: kilograms of the commodity received.

## Section 3 - Transaction Summaries - Amounts Supplied to Labs

- 3.1 Company Name: company submitting the Importer Quarterly Report, as in Section 1.5.
- 3.2 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. *If it is the first order placed by a lab for a specific chemical, the report must be accompanied by the "Laboratory Certification Report."*

Lab Company: the lab name and address to whom the material was supplied.

Chemical Name of Controlled Substance Supplied to Lab: the common name, such as CFC-11, CFC-12, of substance supplied to lab. If substance is a component of a blend or a mixture, identify both the controlled substance and the blend (i.e., "R-500 containing CFC-12").

## 2.8 ESSENTIAL USE HOLDERS AND LABORATORY SUPPLIERS - RECORDKEEPING AND REPORTING REQUIREMENTS

### Recordkeeping

There are no recordkeeping requirements for people allocated essential-use allowances. There are no recordkeeping requirements for distributors of laboratory supplies. However, EPA recommends that companies placing orders for ozone-depleting substances with producers or importers for essential uses or for distribution to laboratories maintain copies of their certification letters, the original order/invoice, and other documents verifying shipment and receipt of the material.

### Reporting - Essential Use Holder and Laboratory Supplier Quarterly Report

Companies allocated essential-use allowances in section §82.4 and distributors of laboratory supplies must report quarterly. A company must report:

- the quantity of each controlled substance received from each producer or importer during the quarter,
- the amount supplied to each lab during the quarter, which must be *accompanied by the Laboratory Certification Report* if it is the first order placed by that lab for a specific controlled substance under the global laboratory essential-use exemption, and
- a summary of the total quantity of each controlled substance received during the quarter, and the total quantity supplied to labs if sold under the global laboratory essential-use exemption.

---

### ESSENTIAL USE HOLDER AND LABORATORY SUPPLIER QUARTERLY REPORT

(Form 7600-5-PZ)

The Essential Use Holder and Laboratory Supplier Quarterly Report has four sections:

- Section 1 - Submitting Company Information
- Section 2 - Transaction Summary of Amounts Received
- Section 3 - Transaction Summary of Amounts Supplied to Labs
- Section 4 - Total Quantities Received and Supplied

#### Section 1 - Company Identification

- 1.1 Date of Submission: date report is submitted to EPA.
- 1.2 Number of Transactions Reported: total number of individual transactions reported in all parts of the report.

Quantity of Controlled Substance (kg) Supplied to Lab: kilograms of the commodity supplied to the lab.

#### **Section 4 - Total Amounts**

4.1 Company Name: company submitting the Importer Quarterly Report, as in Section 1.5.

4.2 Company Totals:

Chemical Name (Column A): list of class I controlled substances.

Total Quantity Received (Column B): total quantity, in kilograms, of each controlled substance that the submitting company received in the quarter, either from a producer or importer.

Total Quantity Supplied to Labs (Column C): total quantity, in kilograms, of each controlled substance supplied to labs in the quarter.



**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 1****REPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Reporting Company

Company Name

Street Address

City

State

Zip Code

1.3 Company Contact Identification

Reporting Company Contact Person

Phone Number

Fax Number

1.4 Quarter to Which This Report Applies

☐ 1st☐ 2nd☐ 3rd☐ 4th

1.6 Signature of Reporting Company Representative

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
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 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)	
	Gross	Trans.	Destr.	Net	Gross	Net*	Gross	Net*
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 in processes resulting in complete transformation or destruction.



**SECTION 3**

**AMOUNTS SUPPLIED TO LABS**

(Reproduce additional sheets as needed)

3.1 Company Name

**3.2 Transaction Summaries--Amounts Supplied to Labs**

TRANSACTION #

Lab Company

Street Address

City

State

Zip Code

Chemical Name of Controlled Substance Supplied to Lab

Quantity of Controlled Substance (kg) Supplied to Lab

TRANSACTION #

Lab Company

Street Address

City

State

Zip Code

Chemical Name of Controlled Substance Supplied to Lab

Quantity of Controlled Substance (kg) Supplied to Lab

TRANSACTION #

Lab Company

Street Address

State

Zip Code

Chemical Name of Controlled Substance Supplied to Lab

Quantity of Controlled Substance (kg) Supplied to Lab



**STRATOSPHERIC OZONE PROTECTION PROGRAM**

**CLASS I CONTROLLED SUBSTANCE REPORT:**

**ESSENTIAL USE HOLDER AND LABORATORY**

**SUPPLIER QUARTERLY REPORT**

**SECTION 4**

**TOTAL AMOUNTS**

4.1 Company Name

4.2 Company Totals

A	B	C
Chemical Name	Total Quantity Received in kg of Controlled Substance	Total Quantity Supplied to Labs in kg of Controlled Substance
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		



- 1.6 Signature of Reporting Company Representative: company official who is attesting to the accuracy of the report. This may or may not be the company contact person identified in Section 1.6.

## Section 2 - Information on Class II Chemicals

Chemical Name: list of class II controlled substances.

Production (kg): list the *gross* quantity, in kilograms, of each class II controlled substance produced. List the portion of the gross quantity that is *for transformation*, and the portion of the gross quantity that is *for destruction*. The *net* quantity is the gross quantity minus the quantity transformed and destroyed.

(GROSS PRODUCTION - TRANSFORMATION - DESTRUCTION = NET PRODUCTION)

Imports (kg): list the *gross* quantity, in kilograms, of each class II controlled substance imported. Subtract from the gross quantity imported that portion that is for transformation or destruction to calculate the *net* quantity imported.

(GROSS IMPORTS - TRANSFORMATION - DESTRUCTION = NET IMPORTS)

Exports (kg): list the *gross* quantity, in kilograms, of each class II controlled substance exported. Subtract from the gross quantity exported that portion that is for transformation or destruction to calculate the *net* quantity exported.

(GROSS EXPORTS - TRANSFORMATION - DESTRUCTION = NET EXPORTS)

## 2.9 CLASS II CHEMICALS: PRODUCTION, IMPORT AND EXPORT - RECORDKEEPING AND REPORTING REQUIREMENTS

### Recordkeeping

There are no recordkeeping requirements for producers, importers or exporters of class II controlled substances. However, EPA suggests companies dealing in class II controlled substances maintain records which may be used in the future if the Agency decides to establish a baseline.

Class II substances listed in Appendix A have ozone-depleting potential (ODPs) 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 right to establish 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.

### Reporting - Quarterly Report of Production, Import, and Export of Class II Chemicals

All companies that produce, import or export any class II controlled substance must report quarterly. The report distinguishes between the gross amount produced, imported or exported and the net amount by subtracting the quantities transformed or destroyed.

---

## QUARTERLY REPORT OF PRODUCTION, IMPORT, AND EXPORT OF CLASS II CHEMICALS

(Form 7600-5-PJ)

The Quarterly Report of Production, Import, and Export of Class II Chemicals has two sections:

- Section 1 - Submitting Company Information
- Section 2 - Information on Class II Controlled Substances

### Section 1 - Company Identification

- 1.1 Date of Submission: date report is submitted to EPA.
- 1.2 Reporting Company: the name of the company and the business address of the contact person for the report.
- 1.3 Company Contact Identification: the name, telephone number, and fax number of the company official who may be contacted by EPA concerning the report. In general, this should be the same person for all reports submitted under the Stratospheric Ozone Protection Program.
- 1.4 Quarter to Which this Report Applies: check the appropriate box.



**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM****CLASS I CONTROLLED SUBSTANCE REPORT:  
ESSENTIAL USE HOLDER AND LABORATORY  
SUPPLIER QUARTERLY REPORT****SECTION 1****COMPANY IDENTIFICATION**1.1 Date of  
Submission1.2 Number of  
Transactions  
Reported1.3 Number of  
Pages Submitted

1.4 Quarter to Which This Report Applies:

☐ 1st    ☐ 2nd    ☐ 3rd    ☐ 4th**1.5 Company Information**

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**

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
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:  
ESSENTIAL USE HOLDER AND LABORATORY  
SUPPLIER QUARTERLY REPORT****SECTION 2****TRANSACTION RECORD SUMMARIES**

(Reproduce additional sheets as needed)

2.1 Company Name

2.2 Transaction Summaries--Amounts Received from Producers/ImportersTRANSACTION # 

Source Company

Street Address

City

State

Zip Code

Chemical Name of Controlled Substance Received

Quantity of Controlled Substance (kg) Received

TRANSACTION # 

Source Company

Street Address

City

State

Zip Code

Chemical Name of Controlled Substance Received

Quantity of Controlled Substance (kg) Received

TRANSACTION # 

Source Company

Street Address

City

State

Zip Code

Chemical Name of Controlled Substance Received

Quantity of Controlled Substance (kg) Received



## 2.10 USED CLASS I CONTROLLED SUBSTANCES - PETITION TO IMPORT

The Federal Register published May 10, 1995, established a petition process for importing *used* class I controlled substances. Used controlled substances are defined as, "controlled substances that have been recovered from their intended use systems (may include controlled substances that have been, or may be subsequently, recycled or reclaimed)."

An importer must petition EPA to import used class I controlled substances, at least 15 working-days before the shipment is to leave the country of export. Petitions may be faxed, sent by certified mail, express service, or regular mail to the Stratospheric Protection Division as listed on the cover of the Guidance Document. There is no EPA petition form. The petition may be in any format as long as it includes at least the following information:

- the name and quantity of the used controlled substance to be imported (including material that has been recycled or reclaimed);
- the name and address of the importer, the importer I.D. number, the contact person and phone and fax numbers;
- the name and address of the source facility (facilities) of the used controlled substance, including a description of the previous use(s), when possible;
- name and address of the exporter and/or foreign owner of the material;
- the U.S. port of entry for the import, the expected date of shipment and the vessel transporting the chemical;
- the intended future use of the used controlled substance; and
- the name, address and contact person of the U.S. reclamation facility, where applicable.

In evaluating a petition, EPA needs to determine whether a controlled substance to be imported is, in fact, previously used. In order to independently verify the previous use of the controlled substance, EPA needs information on a contact person in the foreign country, including telephone and fax numbers. In addition, EPA needs a detailed description of the source facility (facilities) and the specific equipment from which the controlled substance was recovered.

EPA has 15 working days to review the information in the petition. The 15 working-day period begins on the day following the date that the Stratospheric Protection Division receives the petition.

The petition should be sent to the Phaseout Manager, Stratospheric Protection Division (6205J), U.S. EPA, 401 M St., SW, Washington, DC 20460 or faxed to (202)-233-9577 or (202)-233-6937. If EPA does not respond to the petition within 15 working days, the import is automatically allowed. EPA will normally issue either an objection notice or a non-objection notice before the end of the 15 working days. A copy of the petition must accompany the shipment through U.S. Customs. EPA will notify the U.S. Customs Service and the Internal Revenue Service of the shipment.

## **2.11 TRANSFORMATION AND DESTRUCTION CREDITS - REQUEST TO OBTAIN CREDITS**

Only persons who have been nominated by the United States to the Montreal Protocol for an essential-use exemption to the ban on class I substances is eligible for transformation and destruction credits.

An eligible person may obtain destruction and transformation credits for a class I controlled substance (except class I, Group VI) produced in the U.S., taken from a use system in the U.S. and destroyed or transformed in the U.S. in cases where the controlled substance was produced for other than destruction or transformation purposes in accordance with the provisions of this subpart, subtracting an offset of 15 percent.

An eligible person may submit a request to EPA for transformation and destruction credits by providing at least the information listed in §82.9 in the Federal Register published on May 10, 1995. There is no EPA form for requesting credits. The request may be in any format as long as it contains at least the required information.

EPA will issue a person destruction and transformation credits equivalent to the class I controlled substance (except class I, Group VI) recovered from a use system in the U.S. that was transformed or destroyed, subtracting an offset of 15 percent.

For controlled substances completely destroyed (98% or greater destruction efficiency) under this rule, the Agency will grant destruction credits equal to 100 percent of volume destroyed minus the offset. For those controlled substances destroyed at less than a 98 percent destruction efficiency, the Agency will grant destruction credits commensurate with the percentage of destruction efficiency that is actually achieved minus the offset.

An eligible person may use the credits by conferring them to a producer or importer for a quantity of the specific controlled substance for which they were nominated for an essential use to the Protocol.

## **2.12 TRADE OF ARTICLE 5 ALLOWANCES**

### **Domestic Allowance Transfers - Inter-company and Inter-pollutant Transfers**

Under the rule, a company that intends to transfer Article 5 allowances 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 chemical or a different transferee.

EPA will review the transfer claim within three working days of receiving it and respond with either a "no objection" notice, if according to EPA's records, the transferring company has sufficient allowances 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 existed to cover the trade, the companies may face enforcement actions.

The Agency assesses an offset of one percent of the total amount traded and subtracts the offset from the balance of the company trading away the allowances. This offset applies only to inter-company and inter-pollutant trades. The offset does not apply to trades of Article 5 allowances to or from companies in countries that are Parties to the Montreal Protocol.

#### International Allowance Trades with Protocol Parties

A company can increase its Article 5 allowances by receiving a trade from another Party to the Protocol. A company with Article 5 allowances may also decrease its balance of unexpended allowances by trading them to a Party to the Protocol.

#### Trades to Another Party

A company may trade Article 5 allowances to another Party. 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 Article 5 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. The U.S. company must specify the controlled substance which will have its balance reduced as a result of the trade. 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  $75 \times 0.8$  (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.

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 Article 5 allowances might decide to place them all in its account for CFC-113 Article 5 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 Article 5 allowances from another Party to the Protocol would, by its choice, actually receive 125 Article 5

allowances for CFC-113. Once the trade is approved, the Agency will add the correct number of Article 5 allowances to the recipient company's accounts.

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.

## **NOTIFICATION OF ARTICLE 5 TRADES - FORM INSTRUCTIONS**

(Form 7600-5-PC)

The form for Notification of Article 5 Trades has three sections:

- Section 1 - Submitting Company Information
- Section 2 - Transaction Summary of Trade
- Section 3 - Summary of Unexpended Balances

### **Section 1 - Reporting Company Identification**

- 1.1 Date of Submission: date report is submitted to EPA.
- 1.2 Number of Transactions Reported: total number of individual transactions reported in Section 2.
- 1.3 Number of Pages Submitted: total number of pages in the report, including transaction summary pages.
- 1.4 Company: the name of the company transferring the allowances and the business address of the contact person for the report.
- 1.5 Company Contact Identification: the name, telephone number, and fax number of the company official who may be contacted by EPA 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: company official who is attesting to the accuracy of the report. This may or may not be the company contact person identified in Section 1.5.

### **Section 2 - Transaction Summaries**

Companies notifying EPA of trades in Article 5 allowances 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.

Note that inter-pollutant trades can only be made between controlled substances in the same group.

For each transaction, complete the form as follows:



- 2.1 Transferee Identification: name and address of the transferee company (the company receiving allowances 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 1.5.
- 2.2 Type of Allowances Being Transferred: the types of allowances being transferred. A transfer of current year allowances is only for the current control period. A transfer of baseline allowances *permanently* reduces the number of Article 5 allowances that the transferor will receive in future allocations. Only one box should be checked.
- 2.3 Chemical Transferring From: 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).
- 2.4 Ozone Depletion Potential (ODP): the ozone depletion potential of the chemical listed in Section 2.3. ODPs of the class I controlled substances are listed in Appendix A.
- 2.5 Number of Article 5 Allowances of Chemical in Section 2.3 Being Transferred: the number of allowances of the chemical listed in 2.3 that are being transferred.
- 2.6 Calculated Level of Chemical in Section 2.3 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 2.4 by the quantity transferred listed in Section 2.5; report the result in Section 2.6.
- 2.7 Chemical Transferring To: the common name of the controlled substance which will have its balance of allowances increased as a result of the trade (i.e., CFC-11).
- 2.8 Ozone Depletion Potential (ODP): the ODP of the chemical listed in Section 2.7. Again, ODPs of the class I controlled substances are listed in Appendix A.
- 2.9 Number of Allowances of Chemical in Section 2.7 Being Received: The number of allowances received is equal to the calculated level of allowances 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 2.6 by the ODP listed in Section 2.8.
- 2.10 Amount of Offset: the amount of offset is calculated by multiplying the amount listed in 2.5 by 0.01.
- 2.11 Number of Article 5 Allowances Subtracted from Transferor's Balance of Chemical Transferred From: Calculate the number of allowances that are to be subtracted from the transferor's balance of the chemical listed in Section 2.3 by adding together Sections 2.5 and 2.10.

### Section 3 - Unexpended Balance Summary

- 3.1 Balance of Unexpended Article 5 Allowances After the Reported Trades: For each chemical involved in the trade, report the company's balance of unexpended Article 5 allowances after the trade.

**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM**

**CLASS I CONTROLLED SUBSTANCE REPORT:  
NOTIFICATION OF ARTICLE 5 ALLOWANCE  
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**

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager

Stratospheric Protection Division

U.S. EPA (6205J)

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 ARTICLE 5 ALLOWANCE

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 Transferred**  
(check only one)☐ Current Year Allowances☐ Baseline Year Allowances**2.3 Chemical Transferring From****2.4 ODP****2.5 Number of Article 5 Allowances of**  
Chemical in Section 2.3 Being Transferred (kg)**2.6 Calculated Level of Chemical in Section 2.3 Being Transferred**  
(Section 2.4 x Section 2.5)**2.7 Chemical Transferring To****2.8 ODP****2.9 Number of Article 5 Allowances of**  
Chemical in Section 2.7 Being Received  
(Section 2.6 ÷ Section 2.8) (kg)**2.10 Amount of Offset (kg) (1% of 2.5)****2.11 Number of Article 5 Allowances Subtracted from Transferor's Balance**  
of Chemical Transferred From (Section 2.5 + Section 2.10) (kg)



**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM**

CLASS I CONTROLLED SUBSTANCE REPORT:

NOTIFICATION OF ARTICLE 5 ALLOWANCE

TRADES (Sec. 82.12)

**SECTION 3****UNEXPENDED BALANCE SUMMARY****3.1 Balance of Unexpended Article 5 Allowances Prior to Trades Reported**

<b>A</b>	<b>B</b>
Chemical Name	Balance of Unexpected Article 5 Allowance
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 ESSENTIAL-USE EXEMPTION FOR LABORATORY AND ANALYTICAL APPLICATIONS - CERTIFICATION

### Recordkeeping

There is no recordkeeping requirement for labs that purchase class I controlled substances. However, EPA recommends that each lab maintain order forms, invoices, certifications and receipts for each shipment of class I controlled substances received each year.

### Reporting

A lab must provide the company from whom they are purchasing a class I controlled substance, for each controlled substance, a one-time-per-year certification that the material is being purchased solely for laboratory applications and will not be resold or used in manufacturing.

The certification from the lab must identify the percent of the total quantity ordered that will be used for each type of laboratory application (e.g. reaction solvent, diluent for drug purity testing, reference chemical). EPA has provided a form that identifies categories of laboratory applications.

EPA must collect the Lab Certification information to meet United States reporting obligations under the international agreement of the Montreal Protocol. The reports will provide an estimate of the total quantity of class I controlled substances used in various laboratory applications.

---

### LABORATORY CERTIFICATION REPORT - INSTRUCTIONS

(Form 7600-5-PE)

Labs purchasing class I controlled substances must certify to the company from whom they are purchasing the material, one-time-per-year for each substance, that the material will be used solely for laboratory applications and not be resold or used in manufacturing.

The Laboratory Certification Report has two sections:

- Section 1 - Laboratory Company Information
- Section 2 - Substance Identification and Use

#### Section 1 - Reporting Company Identification

- 1.1 Date of Submission: date the report is submitted to the supplier of the class I controlled substances.
- 1.2 Number of Controlled Substances Reported: the number of individual controlled substances reported to the supplier.
- 1.3 Number of Pages Submitted: total number of pages in the report.

- 1.4 Reporting Company: name of the company and the business address of the contact person for the report.
- 1.5 Company Contact Identification: 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: company official who is certifying that the material is being purchased solely for laboratory applications and will not be resold or used for manufacturing, and attesting to the accuracy of the report. This may or may not be the company contact person identified in Section 1.5.

## Section 2 - Substance Identification and Use

- 2.1 Lab Name: name of the lab submitting the report, as in Section 1.4.
- 2.2 Controlled Substance: check one box to certify the specific laboratory applications for a controlled substance purchased. Separate copies of Section 2 may be submitted for each controlled substances purchased. Reproduce the blank form as needed.
- 2.3 Amount in kg of Controlled Substance: total quantity of the controlled substance specified in Section 2.2 that was purchased for the first time in a control period.
- 2.4 Laboratory Applications: check the boxes corresponding to the applications for which the specified controlled substance will be used, indicating the percent used for each application.

EXAMPLE: A Lab purchases 100 kgs. of CFC-113 from a distributor of laboratory supplies. The lab estimates that 80 kilograms will be used as a "diluent," 10 kilograms as a "separation media," and 10 kilograms as "chemical reference."

## Section 3 - Supplier Identification

- 3.1 Supplier Name: name of the distributor of the controlled substance (the name of the supplying company from whom the material specified in Section 2.2 is being purchased).

**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM**

CLASS I CONTROLLED SUBSTANCE REPORT:

**LABORATORY CERTIFICATION REPORT (Sec.82.13(u))****SECTION 1****REPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Number of Controlled  
Substances 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**

*I certify that the quantities of controlled substances listed in this form are purchased solely for use in laboratory applications and will not be resold or used in manufacturing.*

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

The Company from Whom the  
Class I Controlled Substance was  
Purchased.

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:

**LABORATORY CERTIFICATION REPORT (Section 2.13(u))****SECTION 2****SUBSTANCE IDENTIFICATION AND USE****2.1 Lab Name****2.2 Controlled Substance** (Select one below)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 ☐**2.3 Amount in kg of Controlled Substance****2.4 Laboratory Applications** (Select as many as apply and indicate % use)**1. Research and Development**

- 1.1 a. Reaction Solvent  
or Reaction  
Feedstock ☐ %

**2. Analytical Uses and Regulated Applications****2.1 Reference**

- a. Chemical ☐ %  
b. Toxicant ☐ %  
c. Product ☐ %

**2.2 Extraction**

- a. Pesticide and Heavy  
Metal Detection ☐ %  
b. Oil Mist Analysis ☐ %  
c. Product ☐ %  
d. Color & Food  
Additive Detection ☐ %

**2.3 Diluent**

- a. Zinc, Copper, Cadmium  
Detection in Plants and Food ☐ %  
b. Microchemical Methods to  
Determine Molecular Weight  
or Oxygen ☐ %  
c. Measuring Drug Purity  
and Residual Information ☐ %  
d. Sterilization of Lab Equipment ☐ %

**2.4 Carrier (Inert)**

- a. Forensic Methods ☐ %  
b. Titration ☐ %  
c. Analytical Equipment ☐ %

**2.5 Tracer**

- a. Sanitary Engineering ☐ %

**2.6 Miscellaneous (Including Testing)**

- a. Ingredient in Material  
for Testing ☐ %  
b. Separation Media ☐ %

**3. Miscellaneous**

- 3.1 a. Laboratory Method  
Development ☐ %  
3.2 a. Sample Preparation  
Using Solvent ☐ %

**SECTION 3****SUPPLIER IDENTIFICATION****3.1 Supplier Name**



## 2.14 EXPORTERS AND EXPORTS - RECORDKEEPING AND REPORTING REQUIREMENTS

### Recordkeeping

There are no recordkeeping requirements for exporters. However, EPA recommends that companies exporting controlled substances maintain copies of invoices and bills of lading for each shipment.

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.

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.

### 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. The specific information to be reported is reproduced in these forms for the convenience of reporting companies. 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.

Exporters are required to send the report to EPA within 45 days after the end of the control period (December 31st).

---

## ANNUAL EXPORT REPORT INSTRUCTIONS

(Form 7600-5-PF)

The Annual Export Report has two sections:

- Section 1 - Exporting Company Information
- Section 2 - Transaction Summary of Exports

Section 2 may be photocopied for reporting the exports of each controlled substance.

### Section 1 - Exporting Company Identification

- 1.1 Date of Submission: date the report is submitted to EPA.

- 1.2 Number of Controlled Substances Reported: the number of individual controlled substances exported during the control period.
- 1.3 Number of Pages Submitted: total number of pages in the report.
- 1.4 Exporting Company: name of the company and the business address of the contact person for the report.
- 1.5 Company Contact Identification: 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: 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.

## Section 2 - Transaction Record Summaries

- 2.1 Company Name: name of the company submitting the report, as in Section 1.4.
- 2.2 Transaction Summaries: Enter "1" for first transaction of the quarter and proceed with "2", "3", and so on, for additional transactions. Reproduce this page as needed to obtain sufficient blank spaces for additional transactions.

Recipient Company Name: name and full address of the recipient company. Check the box if the recipient company is located in an Article 5 country (see APPENDIX C for a list of Article 5 countries).

Company Contact Person: name of the contact person at the recipient company, including their phone and fax numbers.

Controlled Substance Exported: name of the controlled substance exported, such as CFC-11, CFC-12.

Commodity Code of Shipment: Indicate the 10-digit code number as identified in the Harmonized Tariff Schedule. *The commodity codes for class I controlled substances changed in 1996.* 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.

CFC-11 (trichlorofluoromethane)	2903.41.0000
CFC-12 (dichlorodifluoromethane)	2903.42.0000
CFC-113 (trichlorotrifluoroethane)	2903.43.0000
CFC-114 (dichlorotetrafluoroethane)	2903.44.0010



CFC-115 (chloropentafluoroethane)	2903.44.0020
Halons (1211, 1301 & 2402)	2903.46.0000
Mixtures with chlorofluorocarbons (CFCs) such as R-500 and R-502	3824.71.0000
Mixtures, Other (one or more fully halogenated compounds as defined in commodity codes listed above)	3823.79.0000
Carbon Tetrachloride	2903.14.0000
Methyl Chloroform (1,1,1- trichloroethane)	2903.19.6010
Methyl Bromide	2903.30.1520
Organic Composite Solvents and Thinners (containing methyl chloroform or carbon tetrachloride)	3814.00.5010

Quantity of Commodity Exported: kilograms of the commodity exported.

Quantity of the Controlled Substance Exported: kilograms of the controlled substance exported. 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.

Date of Export: date of the export as it appears on the bill of lading.

Port of Export from the U.S.: port in the U.S. where the controlled substance was loaded on the exporting vessel.

Exporter EIN Number from Customs Form 7525: 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 the U.S. Customs Form 7525 should be reported here.

### Section 3 - Total Export Summaries

A separate Section 3 should be completed for each controlled substance. Reproduce the blank form as needed.

For each transaction summary, provide the following information:

2.1 Company Name: name of the reporting company, same as in Section 1.4.

2.2. Transaction Summaries: check one controlled substance for each sheet.

List the total quantity (in kilograms) of the specified controlled substance (in the check-off box) that was exported to each country during the control period.

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.

**EPA** U.S. Environmental Protection Agency**STRATOSPHERIC OZONE PROTECTION PROGRAM**

CLASS I CONTROLLED SUBSTANCE REPORT:

ANNUAL EXPORT REPORT (Sec. 82.13(h))

**SECTION 1****EXPORTING COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Number of  
Transactions  
Reported1.3 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**

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
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 EXPORT REPORT (Sec. 82.13(h))****SECTION 2****TRANSACTION RECORD SUMMARIES**

(Reproduce additional sheets as needed)

**2.1 Company Name****2.2 Transaction Summaries**

TRANSACTION # [REDACTED]				
Recipient Company Name			Street Address	
City	Postal Code	Country	<input type="checkbox"/> Article 5 Country	
Company Contact Person		Phone Number	Fax Number	
Controlled Substance Exported		Commodity Code of Shipment		
Quantity of Commodity Exported (kg)		Quantity of Controlled Substance Exported (kg)		
Date of Export	Port of Export from the U.S.		Exporter EIN Number from Customs Form 7525	

TRANSACTION # [REDACTED]				
Recipient Company Name			Street Address	
City	Postal Code	Country	<input type="checkbox"/> Article 5 Country	
Company Contact Person		Phone Number	Fax Number	
Controlled Substance Exported		Commodity Code of Shipment		
Quantity of Commodity Exported (kg)		Quantity of Controlled Substance Exported (kg)		
Date of Export	Port of Export from the U.S.		Exporter EIN Number from Customs Form 7525	

TRANSACTION # [REDACTED]				
Recipient Company Name			Street Address	
City	Postal Code	Country	<input type="checkbox"/> Article 5 Country	
Company Contact Person		Phone Number	Fax Number	
Controlled Substance Exported		Commodity Code of Shipment		
Quantity of Commodity Exported (kg)		Quantity of Controlled Substance Exported (kg)		
Date of Export	Port of Export from the U.S.		Exporter EIN Number from Customs Form 7525	



## STRATOSPHERIC OZONE PROTECTION PROGRAM

**CLASS I CONTROLLED SUBSTANCE REPORT:**

**ANNUAL EXPORT REPORT (Sec. 82.13(h))**

### SECTION 3

## TOTAL EXPORT SUMMARIES

(Reproduce additional sheets as needed)

### 3.1 Company Name

### 3.2 Transaction Summaries

CONTROLLED SUBSTANCE

(Select one below)

CFC-11 CFC-12 

CFC-113 [REDACTED]

CFC-114 CFC-115 CFC-13 CFC-111 CFC-112 CFC-211  CFC-212  CFC-213  

CFC-214

CFC-215 [REDACTED]

CFC-216 CFC-217 

Carbon Tetrachloride

Methyl Chloroform 

Methyl Bromide

HBFCs

[illegible]





## **2.15 TRANSFORMATION AND DESTRUCTION - RECORDKEEPING AND REPORTING REQUIREMENTS**

### **Recordkeeping**

Section 82.13(i) lists the recordkeeping requirements for companies that transform or destroy class I controlled substances.

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. Please contact the Stratospheric Protection Division if there are questions. Generally, if the intent of the process is to eliminate the controlled substance, it is likely a destruction process. If the controlled substance must be chemically altered as an integral step in the manufacturing or production sequence, the process may qualify as a transformation process.

### **Reporting**

Class I controlled substances sold by a producer or importer to another company for transformation purposes or for a process resulting in its destruction should notify the purchaser of the EPA annual reporting requirement.

Persons purchasing controlled substances for transformation (second-party transformers) or receiving class I controlled substances for destruction (second-party destroyers) are required to report to EPA the total quantities received for transformation or destruction on an annual basis in the "Annual Report of Second-Party Transformation and Second-Party Destruction."

Producers must report sales to each of their customers and provide copies of IRS certificates of intent to use the material for feedstock (transformation) or a destruction verification where claiming to destroy when submitting Quarterly Producer 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 may be produced. EPA will determine a producer's compliance by comparing the total quantity of controlled substance it reported was 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.

## **2.16 SECOND-PARTY TRANSFORMATION AND SECOND-PARTY DESTRUCTION - RECORDKEEPING AND REPORTING REQUIREMENTS**

### **Recordkeeping**

Section 82.13(l) states that second-party transformers of class I controlled substances must provide the producer or importer from whom they purchase material with an IRS certification that the controlled substances will be used in processes resulting in their transformation.

Section 82.13(k) states that second-party destroyers of class I controlled substances must provide the producer or importer from whom they purchase material with a verification that the 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 the person purchases controlled substances intended for destruction.

#### Reporting - Annual Report of Second-Party Transformation and Second-Party Destruction

Producers and importers of class I controlled substances that are sold for second-party transformation or second-party destruction should inform their customers of EPA's annual reporting requirement.

A company purchasing class I controlled substances for transformation or destruction must report to EPA within 45 days of the end (December 31st) of the control period in which the substances were purchased.

---

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

(Form 7600-5-PL)

The Annual Report of Second-Party Transformation and Second-Party Destruction has two sections:

Section 1 - Reporting Company Information

Section 2 - Transformation and Destruction Summary Information

#### **Section 1 - Reporting Company Identification**

- 1.1 Date of Submission: date report is submitted to EPA.
- 1.2 Reporting Company: name of the company and the business address of the contact person for the report.
- 1.3 Company Contact Identification: 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.
- 1.4 Signature of Reporting Company Representative: company official 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 1.3.

#### **Section 2 - Second-Party Transformation and Destruction Summary**

Chemical Name: Column A lists the common names of class I controlled substances.

Second-Party Transformation of Controlled Substance: quantity in kilograms of each chemical which is transformed (second-party) in the calendar year (control period).

Second-Party Destruction of Controlled Substance: quantity in kilograms of each class I chemical which was destroyed (second-party) in the calendar year (control period).



**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 1****COMPANY IDENTIFICATION**

1.1 Date of Submission

1.2 Reporting Company

Company Name

Street Address

City

State

Zip Code

**1.3 Company Contact Identification**

Reporting Company Contact Person

Phone Number

Fax Number

**1.4 Signature of Reporting Company Representative**

*I certify under penalty of law that I have personally examined and am familiar with the information submitted in this and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.*

Name

Title

Signature

Date

**SEND COMPLETED FORMS TO:**

Tracking System Program Manager  
Stratospheric Protection Division  
U.S. EPA (6205J)  
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		
Halon-1211		
Halon-1301		
Halon-2402		
CFC-13		
CFC-111		
CFC-112		
CFC-211		
CFC-212		
CFC-213		
CFC-214		
CFC-215		
CFC-216	344X	
CFC-217		
Carbon Tetrachloride		
Methyl Chloroform		
Methyl Bromide		
HBFCs		





**APPENDIX A**  
**THE LIST OF CONTROLLED SUBSTANCES AND THEIR ODPs**

**CLASS I CONTROLLED SUBSTANCES**

**ODP**

**A. Group I**

$\text{CFCl}_3$ -- Trichlorofluoromethane (CFC-11)	1.0
$\text{CF}_2\text{Cl}_2$ -- 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**

$\text{CF}_2\text{BrCl}$ -- Bromochlorodifluoromethane (Halon 1211)	3.0
$\text{CF}_3\text{Br}$ -- 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**

$\text{CF}_3\text{Cl}$ -- Chlorotrifluoromethane (CFC-13)	1.0
$\text{C}_2\text{FCl}_5$ (CFC-111)	1.0
$\text{C}_2\text{F}_2\text{Cl}_4$ (CFC-112)	1.0
$\text{C}_3\text{FCl}_7$ (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
$\text{C}_3\text{F}_7\text{Cl}$ (CFC-217)	1.0
All isomers of the above chemicals.	

**D. Group IV**

$\text{CCl}_4$ -- Carbon Tetrachloride	1.1
--	-----

**E. Group V**

$\text{C}_2\text{H}_3\text{Cl}_3$ -- 1,1,1-Trichloroethane (Methyl Chloroform)	0.1
All isomers of the above chemical, except 1,1,2-trichloroethane.	

**F. Group VI**

$\text{CH}_3\text{Br}$ -- Methyl Bromide	0.7
--	-----

G. Group VII

HBFCs -- Hydrobromofluorocarbons (HBFC-22B1)  
All isomers of the above chemicals

0.74

CLASS II CONTROLLED SUBSTANCES

CHFCI <sub>2</sub> -- Dichlorofluoromethane (HCFC-21)	[res.]
CHF <sub>2</sub> Cl -- Chlorodifluoromethane (HCFC-22)	0.05
CH <sub>2</sub> FCI -- Chlorofluoromethane (HCFC-31)	[res.]
C <sub>2</sub> HFCI <sub>4</sub> (HCFC-121)	[res.]
C <sub>2</sub> HF <sub>2</sub> Cl <sub>3</sub> (HCFC-122)	[res.]
C <sub>2</sub> HF <sub>3</sub> Cl <sub>2</sub> (HCFC-123)	[res.]
C <sub>2</sub> HF <sub>4</sub> Cl (HCFC-124)	0.02
C <sub>2</sub> H <sub>2</sub> FCI <sub>3</sub> (HCFC-131)	0.02
C <sub>2</sub> H <sub>2</sub> F <sub>2</sub> Cl <sub>2</sub> (HCFC-132b)	[res.]
C <sub>2</sub> H <sub>2</sub> F <sub>3</sub> Cl (HCFC-133a)	[res.]
C <sub>2</sub> H <sub>3</sub> FCI <sub>2</sub> (HCFC-141b)	[res.]
C <sub>2</sub> H <sub>3</sub> F <sub>2</sub> Cl (HCFC-142b)	0.12
C <sub>2</sub> H <sub>4</sub> FCI (HCFC-151)	0.06
C <sub>3</sub> HFCI <sub>6</sub> (HCFC-221)	[res.]
C <sub>3</sub> HF <sub>2</sub> Cl <sub>3</sub> (HCFC-222)	[res.]
C <sub>3</sub> HF <sub>3</sub> Cl <sub>4</sub> (HCFC-223)	[res.]
C <sub>3</sub> HF <sub>4</sub> Cl <sub>5</sub> (HCFC-224)	[res.]
C <sub>3</sub> HF <sub>5</sub> Cl <sub>6</sub> (HCFC-225ca)	[res.]
(HCFC-225cb)	[res.]
C <sub>3</sub> HF <sub>6</sub> Cl (HCFC-226)	[res.]
C <sub>3</sub> H <sub>2</sub> FCI <sub>5</sub> (HCFC-231)	[res.]
C <sub>3</sub> H <sub>2</sub> F <sub>2</sub> Cl <sub>4</sub> (HCFC-232)	[res.]
C <sub>3</sub> H <sub>2</sub> F <sub>3</sub> Cl <sub>3</sub> (HCFC-233)	[res.]
C <sub>3</sub> H <sub>2</sub> F <sub>4</sub> Cl <sub>2</sub> (HCFC-234)	[res.]
C <sub>3</sub> H <sub>2</sub> F <sub>5</sub> Cl (HCFC-235)	[res.]
C <sub>3</sub> H <sub>3</sub> FCI <sub>4</sub> (HCFC-241)	[res.]
C <sub>3</sub> H <sub>3</sub> F <sub>2</sub> Cl <sub>3</sub> (HCFC-242)	[res.]
C <sub>3</sub> H <sub>3</sub> F <sub>3</sub> Cl <sub>2</sub> (HCFC-243)	[res.]
C <sub>3</sub> H <sub>3</sub> F <sub>4</sub> Cl (HCFC-244)	[res.]
C <sub>3</sub> H <sub>4</sub> FCI <sub>3</sub> (HCFC-251)	[res.]
C <sub>3</sub> H <sub>4</sub> F <sub>2</sub> Cl <sub>2</sub> (HCFC-252)	[res.]
C <sub>3</sub> H <sub>4</sub> F <sub>3</sub> Cl (HCFC-253)	[res.]
C <sub>3</sub> H <sub>5</sub> FCI <sub>2</sub> (HCFC-261)	[res.]
C <sub>3</sub> H <sub>5</sub> F <sub>2</sub> Cl (HCFC-262)	[res.]
C <sub>3</sub> H <sub>6</sub> FCI (HCFC-271)	[res.]

All isomers of the above chemicals.

**APPENDIX B**  
**PARTIES TO THE PROTOCOL (AS OF DECEMBER 3, 1995)**

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Algeria	✓	✓	
Antigua and Barbuda	✓	✓	✓
Argentina	✓	✓	
Australia	✓	✓	✓
Austria	✓	✓	
Bahamas	✓	✓	✓
Bahrain	✓	✓	
Bangladesh	✓	✓	
Barbados	✓	✓	✓
Belarus	✓		
Belgium	✓	✓	
Benin	✓		
Bolivia	✓	✓	✓
Bosnia and Herzegovina	✓		
Botswana	✓		
Brazil	✓	✓	
Brunei Darussalam	✓		
Bulgaria	✓		
Burkina Faso	✓	✓	
Cameroon	✓	✓	
Canada	✓	✓	✓
Central African Republic	✓		
Chad	✓		✓
Chile	✓	✓	✓
China	✓	✓	
Colombia	✓	✓	
Comoros	✓	✓	

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Congo	✓	✓	
Costa Rica	✓		
Cote Ivoire	✓	✓	
Croatia	✓	✓	
Cuba	✓		✓
Cyprus	✓	✓	
Czech Republic	✓		
Denmark	✓	✓	✓
Dominica	✓	✓	
Dominican Republic	✓		
Ecuador	✓	✓	✓
Egypt	✓	✓	✓
El Salvador	✓		
Ethiopia	✓		
European Community	✓	✓	
Fiji	✓	✓	
Finland	✓	✓	✓
France	✓	✓	
Gabon	✓		
Gambia	✓		
Germany	✓	✓	✓
Ghana	✓	✓	
Greece	✓	✓	✓
Grenada	✓	✓	
Guatemala	✓		
Guinea	✓	✓	
Guyana	✓	✓	
Honduras	✓		
Hungary	✓	✓	✓

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Iceland	✓	✓	✓
India	✓	✓	
Indonesia	✓	✓	
Iran	✓		
Ireland	✓	✓	
Israel	✓	✓	
Italy	✓	✓	✓
Jamaica	✓	✓	
Japan	✓	✓	✓
Jordan	✓	✓	
Kenya	✓	✓	✓
Kiribati	✓		
Korea, Democratic People's Republic of	✓		
Korea, Republic of	✓	✓	✓
Kuwait	✓	✓	✓
Latvia	✓		
Lebanon	✓	✓	
Lesotho	✓		
Libya	✓		
Liechtenstein	✓	✓	
Lithuania	✓		
Luxembourg	✓	✓	✓
Macedonia	✓		
Malawi	✓	✓	✓
Malaysia	✓	✓	✓
Maldives	✓	✓	
Mali	✓	✓	
Malta	✓	✓	
Marshall Islands	✓	✓	✓

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Mauritania	✓		
Mauritius	✓	✓	✓
Mexico	✓	✓	✓
Monaco	✓	✓	
Morocco	✓		
Mozambique	✓	✓	✓
Myanmar	✓	✓	
Namibia	✓		
Nepal	✓	✓	
Netherlands	✓	✓	✓
New Zealand	✓	✓	✓
Nicaragua	✓		
Niger	✓		
Nigeria	✓		
Norway	✓	✓	✓
Pakistan	✓	✓	✓
Panama	✓	✓	
Papua New Guinea	✓	✓	
Paraguay	✓	✓	
Peru	✓	✓	
Philippines	✓	✓	
Poland	✓		
Portugal	✓	✓	
Romania	✓	✓	
Russian Federation	✓	✓	
Saint Kitts and Nevis	✓		✓
Saint Lucia	✓		
Samoa	✓		
Saudi Arabia	✓	✓	✓

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Senegal	✓	✓	
Seychelles	✓	✓	✓
Singapore	✓	✓	
Slovakia	✓	✓	
Slovenia	✓	✓	
Solomon Islands	✓	✓	
South Africa	✓	✓	
Spain	✓	✓	
Sri Lanka	✓	✓	
Sudan	✓		
Swaziland	✓		
Sweden	✓	✓	✓
Switzerland	✓	✓	
Syrian Arab Republic	✓		
Tanzania, United Republic	✓	✓	
Thailand	✓	✓	
Togo	✓		
Trinidad and Tobago	✓		
Tunisia	✓	✓	✓
Turkey	✓		
Turkministan	✓	✓	
Tuvalu	✓		
Uganda	✓	✓	
Ukrainian SSR	✓		
United Arab Emirates	✓		
United Kingdom	✓	✓	✓
Uruguay	✓	✓	
United States	✓	✓	✓
Uruguay	✓	✓	

Foreign State	Montreal Protocol	London Amendments	Copenhagen Amend.
Uzbekistan	✓		
Vanuatu	✓	✓	✓
Venezuela	✓	✓	
Viet Nam	✓	✓	✓
Yugoslavia	✓		
Zaire	✓	✓	✓
Zambia	✓	✓	
Zimbabwe	✓	✓	✓



## APPENDIX C

### ARTICLE 5 PARTIES (AS OF FEBRUARY 23, 1996)

Algeria  
 Antigua and Barbuda°  
 Argentina  
 Bahamas  
 Bahrain  
 Bangladesh  
 Barbados  
 Benin  
 Bolivia°  
 Bosnia and Hersegovina  
 Botswana  
 Brazil  
 Burkina Faso  
 Cameroon  
 Central African Republic°  
 Chad°  
 Chile  
 China  
 Comoros°  
 Costa Rica  
 Côte d'Ivoire  
 Croatia  
 Cuba  
 Dominica°  
 Dominican Republic  
 Ecuador  
 Egypt  
 El Salvador°  
 Ethiopia°  
 Fiji  
 Gabon  
 Gambia  
 Ghana  
 Grenada°  
 Guatemala  
 Guinea°  
 Guyana  
 Honduras°  
 India  
 Indonesia  
 Iran, Islamic Republic of  
 Jamaica  
 Jordan  
 Kenya  
 Kiribati°

Korea, Republic of  
 Korea, Democratic Peoples Republic of°  
 Kuwait  
 Lebanon  
 Lesotho°  
 Libyan Arab Jamahiriya°  
 Macedonia, former Yugoslav Republic of°  
 Malawi  
 Malaysia  
 Maldives  
 Mali°  
 Malta  
 Marshall Islands°  
 Mauritania  
 Mauritius  
 Micronesia, Federated States of°  
 Mexico  
 Morocco°  
 Mozambique°  
 Myanmar  
 Namibia°  
 Nepal°  
 Nicaragua°  
 Niger  
 Nigeria  
 Pakistan°  
 Panama  
 Papua New Guinea  
 Paraguay°  
 Peru  
 Philippines  
 Romania  
 Saint Kitts and Nevis  
 Saint Lucia  
 Samoa°  
 Saudi Arabia  
 Senegal  
 Seychelles  
 Singapore  
 Solomon Islands  
 Sri Lanka  
 Sudan  
 Swaziland  
 Syrian Arab Republic  
 Tanzania°, United Republic of

Thailand  
 Togo°  
 Trinidad & Tobago  
 Tunisia  
 Turkey  
 Tuvalu°  
 Uganda  
 Uruguay  
 Vanuatu°  
 Venezuela  
 Viet Nam  
 Yugoslavia  
 Zambia  
 Zimbabwe  
 Zaire

° temporary categorization

