

**Instructions for Reporting  
2020 TSCA Chemical Data Reporting**

***DRAFT***

***This draft is based on proposed changes  
included in the  
TSCA Chemical Data Reporting Revisions  
Proposed Rule (RIN 2070-AK33)***

U.S. Environmental Protection Agency  
Office of Pollution Prevention and Toxics

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## HIGHLIGHTS OF 2020 TSCA CHEMICAL DATA REPORTING (CDR)

- The determination of the need to report is based on production volume during *any* calendar year since the last principal reporting year (i.e., 2016-2019).
- Information on the reportable chemical substance must be reported during the 2020 CDR submission period, June 1, 2020 to September 30, 2020 (40 CFR 711.20).
- All reporting companies must report CDR data electronically, using e-CDRweb, the CDR web-based reporting tool, and EPA's Central Data Exchange (CDX) system. Prior to submitting data, submitters must register with CDX. Ensure that your pop-up blocker is disabled before you begin to use e-CDRweb to complete your Form U.
- Reporting is required for all chemical substances listed on the TSCA Inventory, other than polymers, microorganisms, naturally occurring chemical substances, water, and certain forms of natural gas (40 CFR 711.5 and 711.6) when manufacture (including import) of those chemical substances meets the other reporting requirements. Chemical substances that are the subject of any of certain listed TSCA actions may not be eligible for partial or full exemptions (40 CFR 711.6).
- Manufacturers (including importers) reporting to CDR are required to report processing and use data, for calendar year 2019, for all reportable chemical substances when the reporting threshold of 25,000 lb (or 2,500 lb if the subject of certain TSCA actions) is met at any site during *any calendar* year during the submission period (i.e., 2016-2019) (40 CFR 711.15(b)).
- The reporting threshold is 2,500 lb (1,134 kg) for any person who manufactured a chemical substance that is the subject of a rule proposed or promulgated under TSCA section 5(a)(2), 5(b)(4) or 6; an order issued under TSCA section 5(e) or 5(f); or relief that has been granted under a civil action under TSCA section 5 or 7. The effects of these TSCA actions on CDR reporting are assessed based on the status of the chemical substance as of the beginning of the submission period, June 1, 2020 (40 CFR 711.8(b) and 40 CFR 711.15).
- New small manufacturer and small government size standards are in place. Small manufacturers meeting the revised definition at 40 CFR 704.3 are exempt from CDR requirements unless they manufacture (including import) 2,500 lb or more of a chemical substance that is the subject of a rule proposed or promulgated under sections 4, 5(b)(4), or 6 of TSCA, or is the subject of an order in effect under section 4 or 5(e) of TSCA, or is the subject of relief that has been granted under a civil action under sections 5 or 7 of TSCA (40 CFR 711.9 and TSCA § 8(a)(3)(A)(ii)).
- Upfront substantiation is required for confidentiality claims. Information submitted under CDR may be claimed as confidential; however, such claims must be made at the time of submission and substantiated in accordance with TSCA and the CDR rule. Submitters must provide upfront substantiation of all confidentiality claims except for claims made for domestic manufacture, import, and yearly production volume information. Certain processing and use data elements, a blank response, or a response that is designated as "not known or reasonably ascertainable" may not be claimed as confidential (40 CFR 711.30).

- Changes to reporting requirements for company and site information:
  - Report your foreign parent company, if applicable, in addition to your domestic parent company. See the new definition for parent company. (Revised requirement)
  - Provide the applicable NAICS code for your reporting site. (New requirement)
  - Provide a public contact. (New voluntary data element)
- Changes to manufacturing information:
  - Indicate whether your reported chemical is removed from the waste stream and recycled. This requirement replaces the need to indicate whether a chemical is removed from the waste stream and recycled, remanufactured, reprocessed, or reused. (Revised requirement)
  - Report the percent total production volume of your chemical substance that is a byproduct. (New requirement)
  - For joint submissions: The secondary submitter of a joint submission reports the chemical specific function along with the chemical composition of the imported product. (New requirement)
- Changes to industrial processing and use information:
  - The industrial function codes have been updated. (Revised requirement)
- Changes to consumer and commercial processing and use information:
  - The commercial and consumer product use codes have been updated. (Revised requirement)
  - Report the function of the chemical for each commercial and consumer product code reported. (New requirement)
- Change to the reporting process for co-manufactured chemicals: The contracting company is required to initiate the reporting of co-manufactured chemicals and send an alert to the producing company. (Revised requirement)
- Changes to reporting of byproducts:
  - Manufacturers of certain inorganic byproducts are now allowed to report those substances under specified metal categories or may continue to report as listed on the TSCA Inventory.
  - New exemptions: (1) for specifically identified byproducts that are recycled in a site-limited, enclosed system and (2) for byproducts that are manufactured as part of non-integral pollution control and boiler equipment. Byproducts that meet the requirement are exempted from the need to be reported.
- Visit the CDR Web site ([www.epa.gov/cdr](http://www.epa.gov/cdr)) for program updates and announcements, other guidance materials for 2020 reporting, and contact information for technical assistance.

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## PREFACE

The primary goal of this document is to help the regulated community comply with the requirements of the CDR rule. This document does not substitute for that rule, nor is it a rule itself. It does not impose legally binding requirements on the regulated community or on the U.S. Environmental Protection Agency (EPA).

Manufacturers (including importers) are required by the CDR rule to report to EPA information concerning the manufacturing, processing, and use of certain chemical substances listed on the [TSCA Chemical Substance Inventory](#). The CDR requirements have changed since the last collection, which occurred in 2016 and was based on 2012-2015 production data. Manufacturers (including importers) are subject to the revised reporting requirements based on manufacturing (including importing) activities conducted since the last principal reporting year (i.e., calendar years 2016-2019).

The 2020 submissions are due by September 30, 2020 and must be submitted via the Internet using e-CDRweb and EPA's Central Data Exchange (CDX). e-CDRweb is a web-based reporting tool that allows manufacturers (including importers) to file a paperless CDR submission and receive instant receipt confirmation of their submissions. User guides focused solely on Instructions for using CDX and eCDRweb are available under the *Instructions & guidance* tab on the [How To Report Under Chemical Data Reporting](#) page of the CDR website.

This instructions document contains the following chapters and appendices:

- Chapter 1 - Introduction to the CDR and changes made since the 2016 reporting cycle.
- Chapter 2 - Reporting requirements to determine which chemical substances are reportable, who must report, and what information must be reported.
- Chapter 3 - When you must report.
- Chapter 4 - Instructions for completing Form U.
- Chapter 5 - How to obtain copies of documents cited in this Instructions document.
- Appendix A - Glossary.
- Appendix B - Chemical substances that are the subject of certain TSCA orders, proposed or final TSCA rules, relief granted under civil actions, or consent agreements.
- Appendix C - Chemicals substances partially exempt from reporting in 2020.
- Appendix D - Descriptions of codes for reporting *Processing or Use Operations, Industrial Sectors, Industrial Function Categories, and Consumer and Commercial Product Categories*.



# 1. Introduction

## 1.1 Background and Statutory Authority

In 1977, the U.S. Environmental Protection Agency (EPA) promulgated a rule under the Toxic Substances Control Act (TSCA) section 8(a), 15 U.S.C. 2607(a), to compile and keep current an inventory of chemical substances in commerce in the United States. This inventory is called the TSCA Chemical Substance Inventory (TSCA Inventory). In 1986, EPA promulgated the Inventory Update Reporting (IUR) rule, also under TSCA section 8(a), to facilitate the periodic updating of the TSCA Inventory and to support activities associated with implementing TSCA. The IUR rule is now called the Chemical Data Reporting (CDR) rule and has been amended several times since 1986, most recently in 2019.

This document pertains to CDR reporting during 2020. It provides detailed information and examples to assist manufacturers (including importers) in reporting under the CDR rule. Selected screenshots of the e-CDRweb reporting tool are provided throughout this document to guide you through the completion of your Form U. **These screenshots are not based on actual data, but are hypothetical situations generated to assist submitters in completing Form U.** User guides for e-CDRweb provide detailed descriptions of the reporting tool and include detailed screenshots. The user guides are available on the CDR website at [www.epa.gov/cdr](http://www.epa.gov/cdr). Appendix A of this document provides a glossary of CDR terms, which may help you to understand the 2020 reporting requirements.

**This document is not a substitute for the CDR rule in 40 CFR Part 711.** To the extent that any inconsistencies exist between the CDR rule and this document, the requirements as promulgated in the rule should be followed. You should carefully review 40 CFR Part 711 to determine whether you are required to report information under the CDR rule.

To comply with the CDR rule, it is important to have a thorough understanding of the TSCA Inventory and the procedures available to determine whether a chemical substance is listed on the TSCA Inventory. Chapter 5 of this document explains how you can obtain copies of TSCA rules, including the CDR rule, and access the non-confidential TSCA Inventory.

## 1.2 Changes to CDR Requirements for 2020

In 2019, EPA changed the requirements for reporting under CDR when promulgating the CDR Revisions rule. These changes are being implemented for the 2020 submission period. This section summarizes the changes that are new for 2020. More specific information is provided in the relevant chapters of this instruction manual.

### *Reporting of Co-manufactured Chemicals*

EPA changed the reporting mechanism for co-manufactured chemicals by implementing a multi-reporter chemical report process where the contracting company is the primary submitter and the producing company is the secondary submitter. Under this revised reporting method, the contracting company will initiate a co-manufacture report that will trigger the reporting

requirements for the producing company. The contracting company will report the specific chemical identity, the volume manufactured, the processing and use information, and all other necessary information in the co-manufactured chemical report within its Form U submission. Using e-CDRweb, the producing company will be notified by the contracting company to provide the production volume and other manufacturing-related information on a related co-manufactured chemical report within its Form U submission. These changes are further explained in Sections 4.4.1.2, 4.7.5, 4.8.4, 4.9.4, and 4.10.1.

### ***Site NAICS Code***

EPA now requires submitters to report the 6-digit North American Industry Classification System (NAICS) code that best describes the activities conducted at the reporting site. Use of the standard industry identifier provides uniformity and comparability in the presentation and understanding of data. EPA will use the NAICS code information in its analysis of the reported manufacturing-related information to better analyze the data by industry sector. Because reporting under CDR is done by the manufacturing site, that site is expected to be sufficiently knowledgeable to determine the appropriate NAICS code. This change is further explained in Section 4.4.5.

### ***Site Public Contact Information***

EPA now allows the reporting of a public contact as a voluntary data element. The public contact is an individual who may be contacted by the general public with questions regarding the company and the information reported to CDR. This person may or may not be familiar with the reported information but has been designated by the site or company to handle public inquiries. The addition of a public contact provides an alternate company contact to the technical contact for those who have more general questions, or in situations in which the technical contact information has been claimed as confidential. The public contact cannot be claimed as confidential. This change is further explained in Section 4.5.

### ***Parent Company Identity***

EPA made three changes associated with parent company reporting under CDR: (1) added the requirement to report the highest-level foreign parent company in addition to reporting the highest-level U.S. parent company when the ultimate parent company is located outside of the United States; (2) replaced the definition of U.S. parent company from 40 CFR 711.3 and with a new definition for parent company; and (3) added a requirement for reporters to report legal name(s) and to follow a naming convention for providing the parent company name(s), the details of which are found in Section 4.3 below.

### ***Indication that Substance was Removed from the Waste Stream and Recycled***

EPA modified the data element related to removing substances from the waste stream in order to clarify the reporting requirement. EPA removed the terms “remanufactured, reprocessed, reused” from the data element description, changing the term to “recycled or otherwise used for a commercial purpose instead of being disposed of as a waste or included in a waste stream.” It is EPA’s intention that this data element identify the chemicals that would otherwise be disposed of as a waste and are, instead, retained in commerce. This change is further explained in Section 4.8.2.10.

### ***Processing and Use Codes***

EPA replaced the Form U Part III.A. industrial function and Part III.B. commercial/consumer product use codes with codes based on the OECD Internationally Harmonized Functional, Product, and Article Use Categories. Additionally, EPA added function categories based on OECD function categories for commercial/consumer products to the Form U Part III.B. The OECD function use categories and product and article use categories are described in the document “Internationally Harmonised Functional, Product and Article Use Categories”. These changes are further explained in Section 4.9 and the categories are listed in Appendix D.

### ***Joint Submission Chemical Function Codes***

Joint submissions are most typically used when a mixture is imported, and the supplier does not provide the importer with the specific chemical identity of the chemicals that comprise the mixture or of the mixture formulation. The importer reports use information associated with the overall mixture but not the individual chemicals that comprise the mixture. Therefore, EPA now requires that the secondary submitter of a joint submission report the chemical-specific function along with information on chemical composition. This change is further explained in Sections 4.9.5 and 4.11.

### ***CBI Substantiation Specifications to Align with Lautenberg Act Requirements***

EPA made changes to requirements related to claiming CDR information as confidential to be consistent with new statutory requirements. Amendments to TSCA enacted in 2016 under the Lautenberg Act require the Agency to review and make determinations regarding the validity of confidential claims for information submitted to EPA under TSCA. Section 14(c)(3) of TSCA states that non-exempt confidentiality claims must be substantiated at the time of submission [82 FR 6522 (Jan. 19, 2017)]. The Agency amended the substantiation requirements for CDR to require substantiation for all confidentiality claims except for information exempt from substantiation under TSCA section 14(c)(2). The CBI substantiation changes reflect the culmination of ongoing continuous improvements from the time that the Lautenberg Act was passed through the development of plans for the 2020 CDR.

Changes to CBI Substantiation include the addition of CBI substantiation exemptions consistent with the Lautenberg Act, changes to CBI substantiation questions, specification of data elements that are not eligible for confidentiality claims, and the development of joint submitter confidentiality considerations. These changes are further explained throughout Section 4.

### ***Byproduct Provisions Including Reporting Exemptions and Optional Consolidated Category Reporting***

EPA added a new data element in Form U Part II to report the percent total production volume for a chemical that is a byproduct. This change supports identification of important universe subpopulations and their representation in CDR with respect to production volume. This change is further explained in Section 4.8.2.9.

EPA added two new reporting exemptions for byproducts: (1) an exemption for specific site-limited recycled byproducts and (2) an exemption for byproducts generated by specific non-integral processes. In addition, manufacturers of metal inorganic byproducts may elect to report in consolidated categories for inorganic byproducts containing certain individual elemental metals and metal compounds. These changes are further explained in Section 2.1.1.3.

***Small Manufacturer Definition Update and Addition of Small Government Definition***

EPA updated the small manufacturer definition and added a definition for small governments at 40 CFR 704.3. Small manufacturers and small governments are exempted from the need to report, unless the manufactured chemical is the subject of certain TSCA actions. These changes are further explained below in Section 2.2.3.

## 2. Reporting Requirements

This chapter explains the reporting requirements for the 2020 CDR reporting cycle. CDR reporting requirements apply to manufacturers (including importers) of chemical substances. The term ‘chemical substance’ is defined in Appendix A.

For the 2020 submission period, manufacturers (including importers) are required to use e-CDRweb, the CDR reporting tool, and EPA’s CDX to create an electronic version of Form U and to submit information in response to the requirements of the CDR rule. (40 CFR Part 711) You must register with CDX to submit online, and you must register the name of the company on whose behalf you are submitting a Form U. EPA does not accept paper submissions or electronic media (diskette, CD-Rom, etc.) for any CDR submission. (40 CFR 711.35)

If you reported under the 2016 CDR, you should review the reporting requirements carefully because they have changed. You may be required to report information on chemical substances for which you did not need to report in previous reporting cycles.

You should consider the following three steps to determine whether you are required to report for each chemical substance that you domestically manufacture (including import) into the United States **during each year since the last principal reporting year (i.e., consider calendar years 2016, 2017, 2018, and 2019):**

- Step I: Is your chemical substance subject to the CDR rule?
- Step II: Are you a manufacturer (including importer) who is required to report?
- Step III: What information must you report?

This chapter discusses each of these steps and the associated reporting requirements in more detail.

### 2.1 Step I: Is Your Chemical Substance Subject to the CDR Rule?

Under the CDR rule, reporting for the 2020 CDR reporting cycle is generally required for a chemical substance that is manufactured (including imported), is on the TSCA Inventory as of June 1, 2020, and is not specifically exempted by 40 CFR 711.6(a). The term “CDR reportable chemical substance” will be used throughout this document to refer to a chemical substance that fulfills these requirements. Figure 2-1 presents a decision logic diagram to assist you in determining whether you manufacture a CDR reportable chemical substance. The following subsections explain each question in greater detail.

**A CDR reportable chemical substance** is a chemical substance that is domestically manufactured or imported into the United States, is listed in the TSCA Inventory, and is not specifically exempted by 40 CFR 711.6(a).

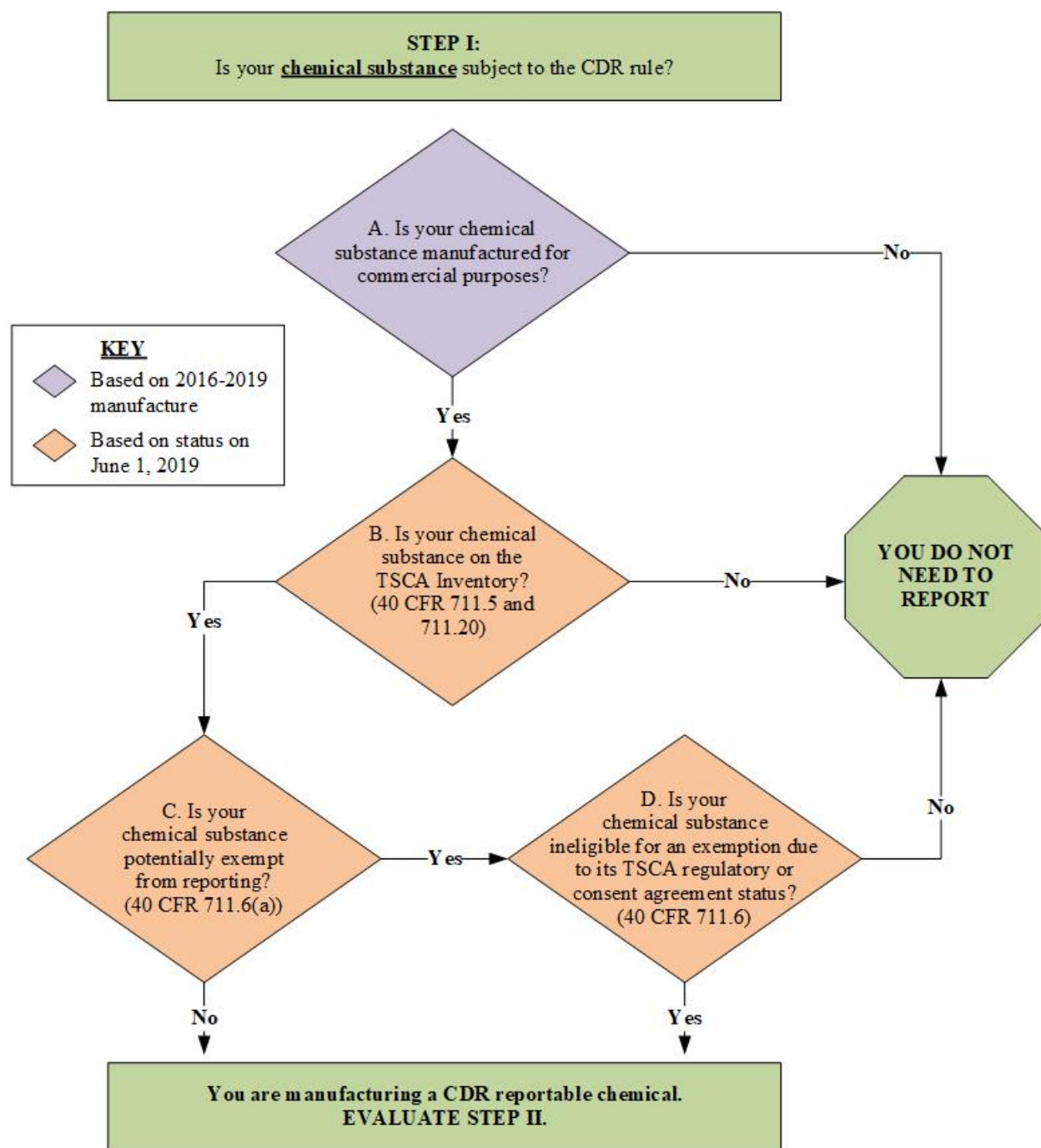


Figure 2-1. Decision Logic Diagram for Evaluating Step I

### 2.1.1 Is Your Chemical Substance Manufactured for Commercial Purposes? (Question A)

The first step in determining your reporting requirements is to determine whether you meet the definition of manufacture or manufacturer. The following manufacturing-related terms are defined below:

- **Manufacture** – To manufacture, produce, or import for commercial purposes. Manufacture includes the extraction, for commercial purposes, of a component chemical substance from a previously existing chemical substance or complex combination of chemical substances. A chemical substance is co-manufactured by the person who physically does the manufacturing and the person contracting for such production when that chemical substance, manufactured other than by import, is:
  - (1) produced exclusively for another person who contracts for such production, and
  - (2) that other person dictates the specific chemical identity of the chemical substance and controls the total amount produced and the basic technology for the manufacturing process (40 CFR 711.3).
- **Manufacture for commercial purposes** – (1) To import, produce, or manufacture with the purpose of obtaining an immediate or eventual commercial advantage for the manufacturer, and includes among other things, such “manufacture” of any amount of a chemical substance or mixture:
  - (i) For commercial distribution, including for test marketing.
  - (ii) For use by the manufacturer, including use for product research and development, or as an intermediate.

(2) Manufacture for commercial purposes also applies to chemical substances that are produced coincidentally during the manufacture, processing, use, or disposal of another chemical substance or mixture, including both byproducts that are separated from that other substance or mixture and impurities that remain in that chemical substance or mixture. Such byproducts and impurities may, or may not, in themselves have commercial value. They are nonetheless produced for the purpose of obtaining a commercial advantage since they are part of the manufacture of a chemical product for a commercial purpose (40 CFR 704.3).
- **Manufacturer** – A person who manufactures a chemical substance (40 CFR 711.3).

For purposes of the CDR rule, a chemical substance is manufactured (including imported) only if it is domestically manufactured or imported for commercial purposes. See TSCA section 8(f), TSCA section 3(9), and 40 CFR 704.3, which includes a parallel definition of “Import for commercial purposes.” As identified above, the term *manufacture for commercial purposes* means that the chemical substance is produced for the purpose of obtaining a commercial advantage. Manufacture for commercial purposes also applies to chemical substances that are produced coincidentally during the manufacture, processing, use, or disposal of another chemical substance or mixture, including both byproducts that are separated and

impurities that remain in a chemical substance or mixture. (40 CFR 704.3)

### **2.1.1.1 Chemical Substances Manufactured by Contract**

The person who contracts with another person to manufacture a chemical substance is considered to be a co-manufacturer, along with the person that physically manufactures the chemical substance.

As specified in the definition for *manufacture*, manufacturing by contract is a situation where the contracted person manufactures or produces the chemical substance exclusively for the contracting person, and where the contracting person dictates the specific chemical identity of the chemical substance and controls the total amount produced and the basic technology for the manufacturing process. Additional information, including specific co-manufacturing reporting scenarios, is provided in *Fact Sheet: Co-Manufactured Chemical Substances*. For consistency, the two parties involved in the co-manufacturing situation are called the contracting company (who is controlling the manufacture of the chemical substance) and the producing company (who is physically manufacturing the chemical substance).

### **2.1.1.2 Changes to Company Ownership or Legal Identity**

Under 40 CFR 711.8(a), the reporting obligation falls to the “person who manufactured.” EPA recognizes that in some cases, business transactions occurring during the submission period have led to questions about who is now the “person who manufactured.” The scenarios in *Fact Sheet: Reporting After Changes to Company Ownership or Legal Identity* are intended to serve as a general aid in appropriately resolving these questions, but they will not necessarily account for all the relevant circumstances of a particular transaction. It is ultimately the manufacturer’s responsibility to report appropriately under CDR, notwithstanding the complexity of its own business transactions.

### **2.1.1.3 Byproducts**

Byproducts are chemical substances that are produced without a separate commercial intent during the manufacture, processing, use, or disposal of another chemical substance(s) or mixture(s) (40 CFR 704.3). If the byproduct is manufactured (including imported) in a volume of 25,000 lb (or 2,500 lb if it is the subject of certain TSCA actions) or more at a single site during any calendar year since the last principal reporting year (e.g., since 2015 for the 2020 submission period), then its manufacture (including import) is potentially subject to CDR requirements. Figure 2-1 presents a decision logic diagram to assist you in determining whether you manufacture a byproduct that is a CDR reportable chemical substance.

Byproducts may or may not, in themselves, have commercial value. They are nonetheless produced for the purpose of obtaining a commercial advantage because they are part of the manufacture of a chemical product for a commercial purpose. Thus, chemical substances that are the byproducts of the manufacture, processing, use, or disposal of another chemical substance or mixture, like any other manufactured chemical substance, are subject to CDR reporting if they are listed on the TSCA Inventory, are not otherwise excluded from reporting, and their manufacturers are not specifically exempted from CDR requirements.



There are, however, conditions under which byproducts are not required to be reported. See 40 (CFR 711.10(c)). As a general rule, if, after it is manufactured, your byproduct chemical substance is not put to use for a separate commercial purpose (see 40 CFR 711.10(c)(4)(2)(ii)), you do not need to report it.

For byproduct chemical substances that are put to use for a separate commercial purpose, there are three categories of exemptions:

- If your byproduct’s only separate commercial purpose “is for use by public or private organizations that (1) burn it as a fuel, (2) dispose of it as a waste, including in a landfill or for enriching soil, or (3) extract component chemical substances from it for commercial purposes” (see 40 CFR 711.10(c)(1)), then that byproduct is excluded from CDR reporting. This exclusion applies only to the byproduct; it does not apply to the component chemical substances extracted from the byproduct.
- If a byproduct substance listed in 40 CFR 711.10(c)(2) is produced as part of the listed manufacturing processes and meets these circumstances: (1) is site-limited, (2) is recycled or otherwise used within a physically enclosed system that is part of the same overall manufacturing process from which the byproduct substance was produced, and (3) when the site is reporting a different chemical substance that was manufactured from the recycled byproduct or manufactured in the same overall manufacturing process, that byproduct is not required to be reported (40 CFR 711.10(c)(2)). The processes and related byproduct substances listed are:
  - Portland Cement Manufacturing:
    - CASRN 68475-76-3, Flue dust, portland cement (commonly referred to as cement kiln dust or CKD)
  - Kraft Pulping Process:
    - CASRN 66071-92-9, Sulfite liquors and cooking liquors, spent (often comprised of what is referred to as black liquor)
    - CASRN 471-34-1, Carbonic acid calcium salt (1:1) (commonly referred to as calcium carbonate)

Note that this exclusion only applies to the amount of the byproduct that is recycled in physically enclosed equipment; it does not apply to amounts that are not recycled or that are recycled, but not in physically enclosed equipment.
- If the byproduct substance is manufactured solely in the specifically listed equipment when it is not integral to the chemical manufacturing processes of the site, that byproduct is not required to be reported (40 CFR 711.10(c)(3)). The specifically listed equipment are:

***Can a byproduct be manufactured if the main product is an article?***

Yes, potentially. You need to consider whether you are manufacturing a chemical substance as a byproduct when you are manufacturing an article. For example, if your use or processing of a chemical substance (chemical A) to manufacture an article coincidentally produces a different chemical substance (chemical B), apart from the article you intended to manufacture, then you have manufactured a byproduct chemical substance. This situation may occur, for example, when you are stripping a chemical substance off of a part of the article, and the stripping process results in the formation of a different chemical substance (possibly resulting in a “used” stripping solution).

- Pollution control equipment, and
- Boilers used to generate heat or electricity for that site.

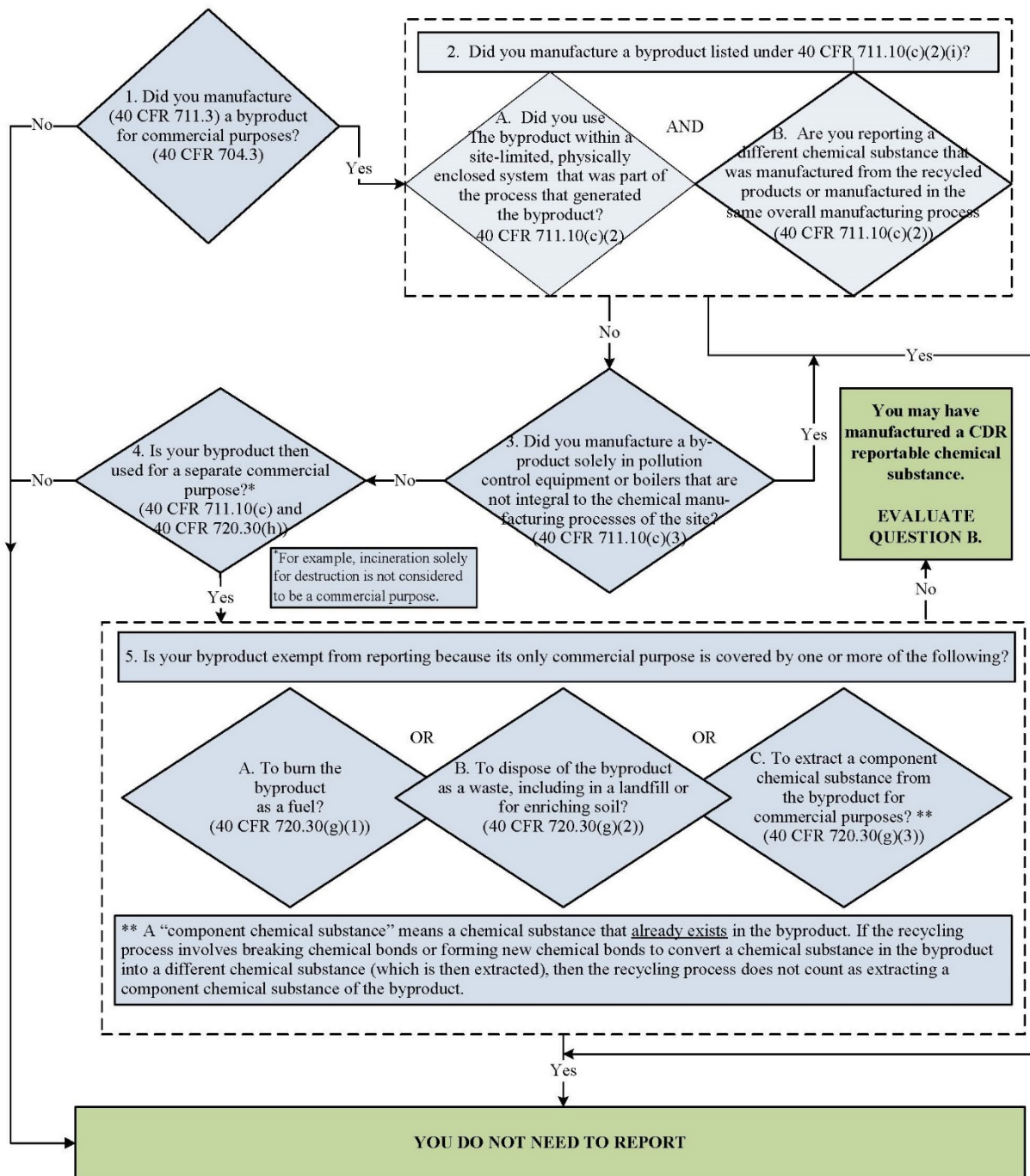


Figure 2-2. Decision Logic Diagram for Evaluating Whether a Byproduct Chemical Substance is Subject to the CDR Rule

**Interpreting 40 CFR 711.10(c)(1)**

In interpreting 40 CFR 711.10(c)(1), you should consider the following important points:

- Regarding 40 CFR 711.10(c)(1)(i), note that where that same quantity of a byproduct is burned as a fuel, and is also being burned for other non-exempt commercial purposes (e.g., if the combustion residue is used as a process input), then the exemption under 40 CFR 711.10(c)(1)(i) would not apply. To provide a specific example: in a paper pulping process, black liquor is burned to generate power, and it then undergoes a chemical change to become manufactured smelt. The smelt is then used as a process input in the manufacture of white liquor which is then returned to the pulping process. The exemption under 40 CFR 711.10(c)(1)(i) would not apply to the manufacture of the black liquor because the black liquor's post-combustion commercial purposes may include non-exempt commercial purposes. If meeting the conditions described in 40 CFR 711.10(c)(2) and above, however, the portion of the byproduct smelt that is used as a process input in the manufacture of white liquor may not require reporting. If a certain amount of the black liquor was instead burned solely to generate power and a separate amount was used for a non-exempt commercial purpose, the exemption under 40 CFR 711.10(c)(1)(i) would have applied only to the amount burned solely to generate power. If the black liquor was instead incinerated solely for destruction, the exemption under 40 CFR 711.10(c)(4)(ii) would have applied.
- Regarding 40 CFR 711.10(c)(1)(ii), although the manufacture of a byproduct is not reportable if the byproduct is subsequently disposed of as a waste for purposes of enriching the soil (e.g., to change the soil properties in a desirable way, such as by serving as a filler to make the soil less dense or enhancing moisture retention), a substance used as a fertilizer is not necessarily an excluded byproduct. For instance, if the substance's ordinary manner of use is as a fertilizer, then the substance is not a byproduct in the first place, and the provisions at 40 CFR 711.10(c)(1) are inapplicable.
- Regarding 40 CFR 711.10(c)(1)(iii), individual component chemical substances extracted from a byproduct are reportable substances if they are extracted for a commercial purpose, even if the manufacture of the byproduct itself is not reportable pursuant to 711.10(c)(1).

***Is there a distinction for CDR byproduct reporting when a byproduct is burned for fuel or incinerated as a waste?***

Any distinction between burning a byproduct as a fuel or incinerating it as a waste is generally not relevant under the CDR. This is because the CDR exempts both byproducts whose "only commercial purpose" is for burning as a fuel (40 CFR 711.10(c)(1)(i)), and byproducts that are "not used for commercial purposes" (40 CFR 711.10(c)(4)(ii)). This latter category would include incineration, solely for destruction.

A "component chemical substance" means a chemical substance that already exists in the byproduct. If the recycling process involves breaking chemical bonds or forming new chemical bonds to convert a chemical substance in the byproduct into a different chemical substance (which is then extracted), then the recycling process does not count

as extracting a component chemical substance of the byproduct. Note: In circumstances where other substances in the byproduct are chemically reacted in order to facilitate the separation of a desired component chemical substance, such that the component chemical substance itself is not chemically changed before being extracted, then the process does constitute an extraction of the unchanged component chemical substance.

### **Interpreting 40 CFR 711.10(c)(2)**

In interpreting section 40 CFR 711.10(c)(2), you should consider the following important points:

- Manufacturers would be exempted from the need to report the listed byproduct substances *only* for the volumes of the byproduct substance that are:
  - recycled or otherwise used to manufacture another chemical substance within an enclosed system, within the same overall manufacturing process, and on the same site as that byproduct was originally manufactured and
  - when the site is reporting under CDR a different chemical substance that was manufactured from the byproduct or manufactured in the same overall manufacturing process.

Volumes that are used for a commercial purpose distinct from their manufacture as a byproduct, such as when directly incorporated into already manufactured Portland Cement or removed for some use outside of the Kraft pulping process, remain reportable. Also, volumes that are removed from the enclosed systems, such as those that are stored in an open tank or pit, or stored in any non-connected tank or vessel, are excluded from this exemption and remain reportable.

- For the purposes of CDR, EPA considers an enclosed system to be a system of equipment directly connected to the production process that is designed, constructed, and operated in a manner which prevents emissions, hence exposures to workers, or the release of any chemical substance into the facility or environment during the production process. For such systems, exposure and release could only occur due to loss of integrity or failure of the manufacturing process equipment or control systems.

Any equipment that the byproduct is present in at any point during the process sequence, such as tanks, reaction vessels, reactors, processing units (e.g., a drum filter), and/or connecting lines, must: (a) be of high structural integrity and contained on all sides, (b) pose no foreseeable potential for escape of constituents to the facility or environment

#### ***What is reported if only part of my byproduct meets the byproduct exemption?***

The volume of cement kiln dust (CKD) that is manufactured as a byproduct may be recycled in a manner that meets the exemption in 40 CFR 711.10(c)(2) **and** used for a separate commercial purpose, for example as an additive to Portland Cement. In this situation, the volume that meets the exemption would not be reported under CDR but the volume that is used as an additive to Portland Cement would be reported (as long as it meets other requirements, such as production volume).

during normal use, and (c) be connected directly by pipeline or similarly enclosed device to a production process. Also, any transfers or holding steps occurring in this system must be necessary to the recycle process and must take place within physically enclosed equipment that meet the aforementioned criteria. For example, hard piping or completely sealed (i.e. welded) equipment would meet these criteria if connected directly to other enclosed equipment, preventing potential releases including fugitive emissions.

### **Interpreting 40 CFR 711.10(c)(3)**

In interpreting section 40 CFR 711.10(c)(3), you should consider the following important points:

- *Integral processes:* An integral process is the portion of the manufacturing process that is chemically necessary or provides primary operational support for the production of the intended product.
  - Byproducts manufactured in equipment that is integral to the production processes remain subject to reporting under CDR, unless otherwise exempted.
  - For example, utilities that produce electricity as a product may be using boilers as part of their production of electricity, and therefore those boilers are considered equipment integral to the production process. Thus, byproducts produced by these electric utility boilers would continue to be subject to reporting.
  - Another example, reverberatory furnaces, which may function similarly to some boilers, can have a chemical processing function such as smelting. This and similar equipment, when used in such scenarios, would be considered integral to the main production process and any resultant manufactured byproduct substances would continue to be subject to reporting.
- *Non-integral processes:* For the purposes of this exemption, certain associated processes that are not chemically required to produce the intended product would be considered non-integral. For example, such processes could include ones required due to other regulations. Byproducts manufactured due to the use of pollution control equipment and boilers that generate heat or electricity on-site, when such equipment is not part of the main production process, are exempted from reporting under CDR.
  - Examples of non-integral pollution control equipment include flue gas desulfurization (FGD) and selective catalytic reduction (SCR) systems. If a byproduct substance produced from this equipment is recycled for a commercial purpose subsequent to its manufacture, the byproduct would be exempted from reporting under CDR.
- The exemption is limited to the byproduct itself. If the byproduct is subsequently used to manufacture a different chemical substance, the subsequent chemical substance is subject to reporting under CDR.

### **General discussion about byproducts**

You should note that your byproduct may have a separate commercial purpose even if you do not intentionally commercialize it. You may be sending the byproduct, which you consider a waste, to another person or site. If that other person or site uses your byproduct in such a manner that it has a commercial purpose, then you are potentially required to report the byproduct for purposes of CDR (assuming you meet other reporting requirements such as production volume and the chemical substance is not otherwise exempted from reporting).

It is important to properly identify your byproduct chemical substance. Byproducts are formed by a reaction, and, generally, EPA considers each combination of substances resulting from a reaction to be either:

1. A mixture, composed of two or more well-defined chemical substances to be named and listed separately; or
2. A reaction product, or combination of chemicals from a reaction, to be listed as a single chemical substance, using one name that collectively describes the products or the reactants used to make the products. This type of byproduct is typically complex.

Complex byproducts can be identified as a single chemical substance that represents the process stream. Complex chemical substances are listed on the TSCA Inventory as chemical substances of Unknown or Variable composition, Complex reaction products and Biological materials (“UVCB” chemical substances). In such cases, you should not determine the volumes of the individual chemical components or species that comprise the UVCB chemical substance; rather, a single UVCB chemical substance name is proper for the chemical and the volume of the UVCB substance as a whole entity should be used. Further information on UVCB chemical substances is available on the EPA website at [www.epa.gov/tscainventory/chemical-substances-unknown-or-variable-composition-complex-reaction-products-and](http://www.epa.gov/tscainventory/chemical-substances-unknown-or-variable-composition-complex-reaction-products-and) .

Although complex byproducts may be named as a single UVCB chemical substance, in certain circumstances it may be appropriate to treat a product combination as a mixture of chemical substances or even just a single well-defined chemical substance, even though there are uncharacterized components to the mixture. Specifically, where the submitter has a factual basis to reasonably conclude that the uncharacterized components are exempt from CDR irrespective of their chemical identity, a lack of information about the chemical identity of those exempt components is not an obstacle to treating the remainder of the product combination as a mixture for CDR purposes. Thus, for example, where a submitter reasonably concludes (after considering all the facts known and reasonably ascertainable) that the uncharacterized components of a byproduct will not be used for commercial purposes after they are manufactured (or if the only commercial purpose is for one of the uses listed in 40 CFR 711.10(c)(1)), for CDR purposes the submitter may treat the byproduct as the remaining component, or as a mixture of the remaining components. The submitter then considers the need to report for the remaining component(s).

By contrast, where a submitter has not characterized certain components of a product combination or byproduct stream and lacks the basis to conclude that those components are necessarily exempt from CDR, it is not appropriate to treat that product combination or byproduct stream as a mixture. For example, if a submitter cannot reasonably assess whether an

uncharacterized fraction of its byproduct will be subsequently used for a commercial purpose, it is likely that the submitter will need to treat that byproduct as a single UVCB chemical substance for CDR purposes.

Below are a few examples describing byproduct reporting. Additional information about byproduct reporting under CDR is provided on the CDR website at [www.epa.gov/cdr](http://www.epa.gov/cdr).

**Example 2-1.** For example, a manufacturing process involving the use of solvent A results in spent solvent A. Depending upon the specific manufacturing scenario, there are two different ways that the manufacturer could characterize spent solvent A. How the reclaimed solvent A is reported is dependent upon the manufacturer's characterization for TSCA.

1. Spent solvent A is characterized as a mixture of individual chemical substances: In this case, separating *solvent A* from the mixture is not considered manufacturing, and the manufacturer does not report for CDR purposes the recycled *solvent A*. Note that, depending upon what is done with the remaining portion of the mixture, any components of the mixture that were manufactured may need to be individually reported.
2. Spent solvent A is characterized as a manufactured UVCB chemical substance: In this case, the *solvent A* extracted from the *spent solvent A* is also considered to be manufactured, and therefore is reportable for purposes of CDR. In this situation, the UVCB chemical substance itself may be exempt for purposes of CDR. (40 CFR 711.10(c)(1)(iii))

A byproduct that is manufactured for a commercial purpose and, after manufacture, is used for a separate commercial purpose, may be excluded from reporting under CDR by 40 CFR 711.10(c)(1)(ii). 40 CFR 711.10(c)(1)(ii) states that if the byproduct's only commercial purpose is for use by public or private organizations that dispose of it as a waste, including in a landfill or for enriching soil, the byproduct is exempt from being reported under CDR.

Examples 2-2 and 2-3 describe manufacturers that may be subject to RCRA requirements and how the 711.10(c)(1)(ii) byproduct exemption applies in these circumstances.

**Example 2-2.** Company ABC manufactures a byproduct. The byproduct does not qualify as a RCRA hazardous waste and does not meet the requirements of any exemption in 40 CFR 261.4. The manufacturer wishes to dispose of the byproduct, which can be used to enrich soil (e.g., to change the soil properties in a desirable way to make the soil less dense or enhancing moisture retention). Company ABC provides this byproduct to another person who then disposes of it as a waste by spreading it on land to enrich the soil. If this disposal of the byproduct is the byproduct's sole commercial use, the byproduct qualifies for the CDR reporting exemption under 40 CFR 711.10(c)(1)(ii). Company ABC is not subject to reporting under the CDR, respecting the manufacture of its byproduct.

**Example 2-2.** Company ABC manufactures Byproduct X in a manner that does not meet the exemption in 40 CFR 711.10(c)(3). Byproduct X is not considered a RCRA solid waste because it serves as a feedstock to produce a zinc fertilizer and meets the requirements of 40 CFR 261.4(a)(20) (i.e., it is a hazardous secondary material used to make zinc fertilizers). The zinc fertilizer that is produced meets the requirements of 40 CFR 261.4(a)(21). Byproduct X is not being disposed of as a waste and therefore does not meet the CDR byproduct exemption at 40 CFR 711.10(c)(1)(ii). Company ABC is subject to reporting under the CDR, respecting the manufacture of its byproduct.

If your byproduct is manufactured (including imported) for commercial purposes, and it is subsequently put to use for a commercial purpose other than those listed in 40 CFR 711.10(c)(1), you may be required to report this chemical substance and should evaluate Question B on Figure 2-1 (see also Section 2.1.2).

#### **2.1.1.4 Impurities**

An impurity is a chemical substance which is unintentionally present with another chemical substance (40 CFR 704.3). Although impurities may be produced for the purpose of obtaining a commercial advantage because they are part of the manufacture of a chemical product for a commercial purpose, they are not manufactured for distribution in commerce as chemical substances per se and have no commercial purpose separate from the chemical substance, mixture, or article of which they are a part. Thus, a chemical substance that is manufactured or imported solely as an impurity is not subject to the CDR reporting requirements. See 40 CFR 711.10(c)(4)(i).

### **2.1.2 Is Your Chemical Substance on the TSCA Inventory? (Question B)**

The following subsections provide information to help you determine whether your chemical substance is listed on the TSCA Inventory.



### **2.1.2.1 What is the TSCA Inventory?**

Authorized by section 8(b) of TSCA, the TSCA Inventory is a list of chemical substances manufactured (including imported) for commercial purposes in the United States. The TSCA Inventory was compiled originally in the late 1970s; chemical substances have been added continually through EPA's New Chemicals Program. During 2017 and 2018, EPA worked with companies, using the [TSCA Inventory Notification \(Active-Inactive\) rule](#), to divide the Inventory into "active" and "inactive" lists. EPA keeps a Master Inventory File, which is the authoritative list of all the chemical substances reported to EPA for inclusion on the TSCA Inventory, and which includes the active and inactive designations. Information on how to access the non-confidential portion of the TSCA Inventory file, commonly referred to as the "public TSCA Inventory," is available at [www.epa.gov/tsca-inventory](http://www.epa.gov/tsca-inventory). The public TSCA Inventory contains chemical substances for which the identity is not considered confidential and the generic identification of chemical substances for which the specific identity has been claimed as TSCA Confidential Business Information (CBI). The TSCA Inventory status of chemical substances can also be determined from EPA's Substance Registry Services (SRS), available at [www.epa.gov/srs](http://www.epa.gov/srs). See Section 2.1.3 for information about chemical substances that may be potentially exempt from reporting.

### **2.1.2.2 How Do You Determine Whether a Chemical Substance is Listed on the TSCA Chemical Substance Inventory?**

The following methods may help you determine whether your chemical substance is listed on the TSCA Inventory:

- Locate the chemical substance on the public section of the TSCA Inventory (see Chapter 5 for information on obtaining the TSCA Inventory);
- Search SRS for information on the TSCA Inventory listing status (note that you can search the SRS directly by accessing the website at [www.epa.gov/srs](http://www.epa.gov/srs) or by using the CDR reporting tool);
- Search company records to determine whether the chemical substance was previously reported to EPA under CDR;
- Search company records for a commenced PMN or other communication with EPA that confirmed the chemical substance was on the TSCA Inventory;
- Search company records for a Notice of Commencement of manufacture or import for a PMN substance that was submitted to EPA; and
- Search company records for a Notice of Activity submitted to EPA to move a chemical from the inactive to the active portions of the TSCA Inventory.

Searching for previous CDR, PMN, and NOC submissions may be particularly helpful if your chemical substance is listed on the confidential portion of the TSCA Inventory.

Several commercial databases have incorporated the public section of the TSCA Inventory (which excludes chemical substances with confidential identities) and can indicate whether a given chemical substance is listed on that portion of the TSCA Inventory. Because these databases are not generated or reviewed by EPA, the Agency cannot guarantee the accuracy of the information. If you use a commercial database that fails to include all reportable chemical substances and, as a result, you fail to report information for these chemical substances, you may be in violation of TSCA (40 CFR 711.1(c)).

The CDR reporting related to mixtures and UVCB substances (chemical substances that are of Unknown or Variable composition, Complex reaction products, or Biological materials) requires careful consideration by submitters. Whenever a submitter has manufactured or imported a combination of several chemicals, the submitter must first determine whether for TSCA purposes it is a mixture or a single UVCB or other indefinitely described (Class 2) chemical substance. A mixture is any combination of chemicals that meets the statutory definition of “mixture” at TSCA section 3(10). (See Appendix A). Mixtures are not reported to CDR – rather the mixture’s component chemical substances, the chemical substances that make it up, are potentially subject to reporting, as described below. A UVCB substance is an indefinite combination of chemicals, that does not meet the statutory definition of “mixture” at TSCA section 3(10), whose number and individual identities and/or composition are not precisely or completely known. A UVCB combination of chemicals is subject to reporting under CDR and is considered a single chemical substance. Generally, the determination of whether a combination of chemicals is a mixture or a UVCB substance is made by the time that substance has been commercialized and, as such, would be clear early in the CDR process. The following discussion is presented with this generality in mind.

**Hydrates** are mixtures of the corresponding non-hydrated chemical substance and water and, therefore, are not listed on the TSCA Inventory. Note that you may be required to report the corresponding **non-hydrated** component chemical substance. Adjust the reported production volume to exclude water.

- If you imported a mixture, you will need to report the individual chemical components of the mixture to the extent that your total volume for the individual chemical substance triggers reporting (i.e., generally, to the extent that such volume reaches the reporting threshold, 25,000 lb or 2,500 lb if the subject of certain TSCA actions).
- If you domestically manufactured a mixture, you will need to determine whether any chemical substances were formed from a chemical reaction that occurred as part of manufacturing the mixture. If a chemical reaction has occurred, a chemical substance formed from the chemical reaction may be subject to reporting, based on its production volume or the applicability of other exemptions. If a chemical reaction has not occurred, you have not manufactured any reportable chemical substances in the production of the mixture. In such a case, the production of the mixture has not triggered any CDR reporting requirement.
- Domestic manufacturers and importers should also consider whether the combination of the chemicals they have domestically manufactured or imported (respectively) should be chemically identified for TSCA purposes as a single UVCB chemical substance instead of a mixture.

EPA has developed two Inventory nomenclature guidance documents related to the mixture-UVCB determination:

- *Toxic Substances Control Act Inventory Representation for Chemical Substances of Unknown or Variable Composition, Complex Reaction Products and Biological Materials: UVCB Substances*. Available online at: [www.epa.gov/sites/production/files/2015-05/documents/uvcb.pdf](http://www.epa.gov/sites/production/files/2015-05/documents/uvcb.pdf);
- *Toxic Substances Control Act Inventory Representation for Combinations of Two or More Substances: Complex Reaction Products*. Available on-line at: [www.epa.gov/sites/production/files/2015-05/documents/rxnprods.pdf](http://www.epa.gov/sites/production/files/2015-05/documents/rxnprods.pdf)

**Example 2-3.** Company X manufactures 100,000 lb of magnesium sulfate heptahydrate, which is considered under TSCA to be a mixture of magnesium sulfate and water. The non-hydrous portion of the magnesium sulfate heptahydrate mixture, magnesium sulfate, constitutes 48,838 lb, which exceeds the 25,000 lb threshold. Therefore, Company X is required to report 48,838 lb of magnesium sulfate under the CDR rule.

**In the event that you are not able to find your chemical substance on the TSCA Inventory, contact the TSCA Hotline at (202) 554-1404 for assistance to determine whether reporting is required.** If your chemical substance is on the TSCA Inventory, you should review Question C on Figure 2-1 (Section 2.1.3) to determine whether you qualify for any other reporting exemptions.

### 2.1.3 Is Your Chemical Substance Potentially Exempt from Reporting? (Question C)

Five groups or categories of chemical substances, though included on the TSCA Inventory, are largely exempt from reporting under the CDR rule. These groups are polymers, microorganisms, naturally occurring chemical substances, water, and certain forms of natural gas. Sections 2.1.3.1 through 2.1.3.5 provide more details for each group of chemical substances. You may also refer to 40 CFR 711.6(a) for precise definitions of these groups. Note, however, that these exempted chemical substances (except for chemical substances that are exempted because they are naturally occurring) become subject to reporting again if they are the subject of any of certain TSCA actions. Section 2.1.4 provides details for when the exemption does not apply. Note that the act of importing does not change the identity of a chemical substance or group. For example, a naturally occurring chemical substance remains naturally occurring when it is imported.

**Polymers, microorganisms, water, and certain forms of natural gas** are not exempted from reporting when they are the subject of any certain TSCA actions. See Section 2.1.4 for more details.

To help identify chemical substances that are exempt from reporting under the CDR rule, EPA has labeled most of these chemical substances on the TSCA Inventory with the letters “XU.” In the SRS, most of these chemical substances are identified as being “TSCA CDR

Exempt” under the Statutes/Regulations heading. This and other flags are embedded into the Substance Registry Services (SRS) chemical lookup within the current edition of e-CDRweb reporting tool and have been updated to reflect the 2020 reporting requirements. When the chemical lookup function is used, and the selected chemical has been assigned a special flag, the reporting tool will display a notice on the screen indicating the exemption status of the chemical. Please note that you are advised to use the flags only as a guide; you are responsible for verifying whether a chemical substance listed on the TSCA Inventory is exempt from reporting.

If your chemical substance is not in one of the following five categories of chemical substances, it is a CDR reportable chemical substance and you should review Step II of the reporting requirements (Section 2.2, Figure 2-3). If your chemical substance is in one of the five categories, you should review Question D (Section 2.1.4).

### **2.1.3.1 Polymers**

Polymers are in most cases exempt from CDR reporting. The CDR definition of polymer is sufficiently broad to include virtually all those chemical substances that are generally considered polymers. The definition also includes siloxanes and silicones, silsesquioxanes, rubber, lignin, polysaccharides (such as starch and gums), proteins (such as gelatin and hemoglobin), and enzymes. However, for chemical substances that result from hydrolysis, depolymerization, or chemical modification of polymers, regardless of the extent of these processes, if the final products are no longer polymeric (e.g., a mixture of amino acids that is the result of hydrolysis of a polypeptide), the chemical substances are not considered to be polymers and must be reported if not otherwise excluded (40 CFR 711.6(a)(1)). See Appendix A or 40 CFR 711.6(a)(1) for the specific definition of polymers for purposes of the CDR rule.

### **2.1.3.2 Microorganisms**

Microorganisms are exempt from CDR reporting. A microorganism is any combination of chemical substances that is a living organism and that meets the definition of “microorganism” at 40 CFR 725.3. Any chemical substance produced from a living microorganism is reportable unless otherwise excluded (40 CFR 711.6(a)(2)).

### **2.1.3.3 Certain Forms of Natural Gas**

Table 2-1 identifies certain forms of natural gas that are exempt from CDR reporting (see 40 CFR 711.6(a)(4)).

**Table 2-1. Chemical Substances Covered by the Exemption for Certain Forms of Natural Gas**

<b>Form of Natural Gas</b>	<b>CAS Registry Number</b>
Natural gas (petroleum), raw liquid mix	64741-48-6
Natural gas condensates	68919-39-1
Gasoline natural	8006-61-9
Gasoline (natural gas), natural	68425-31-0
Natural gas	8006-14-2
Natural gas, dried	68410-63-9

### 2.1.3.4 Naturally Occurring Substances

Chemical substances that are described in 40 CFR 710.4(b) of the TSCA Inventory Reporting Regulations are considered “naturally occurring.” Such chemical substances are not reportable under CDR if the chemical substance is produced solely by means described in section 710.4(b). Examples of chemical substances that are typically naturally occurring materials are raw agricultural commodities, water, air, crude oil, rocks, ores, and minerals. However, because the section 710.4(b) exemption is process-specific rather than chemical-specific, if you manufacture any chemical substance in a manner other than just as described in section 710.4(b), you are required to report it unless it is otherwise exempted (40 CFR 711.6(a)(3)). For this reason, minerals and certain agricultural products are sometimes considered not to be naturally occurring because of the means by which they are produced or isolated. Whether a chemical substance is considered “naturally occurring” depends on the manner in which it is produced and isolated. Table 2-2 presents some examples of evaluating chemical substances for the naturally occurring chemical substance exemption.

**Table 2-2. Examples of Evaluating Chemical Substances for the Naturally Occurring Exemption (40 CFR 711.6(a)(3))**

•	Calcined clays formed by heating naturally occurring clay typically must be reported because such heating is generally not done solely to remove water; a chemical change is primarily intended.
•	Chemical substances that are removed/isolated from nature by physical or natural means are typically considered to be “naturally occurring.” Using water to extract a chemical substance from a naturally occurring chemical substance is considered a natural means of removal. However, using any other solvent is not considered a natural means of removal and would result in the extracted chemical substance being potentially subject to reporting.
•	In an electrostatic separation, small particles are removed from a liquid or gas stream. The process is essentially analogous to gravitational separation. Chemical substances that are processed by this means are considered to be “naturally occurring.”
•	Mined coal is typically included in the naturally occurring chemical substances category.
•	Ammonia and nitric acid are generally produced by chemical synthesis and are, therefore, generally not considered to be “naturally occurring.”

### 2.1.3.5 Water

Water, including both naturally occurring water and manufactured water (CASRN 7732 18-5), is exempt from CDR reporting.

### 2.1.4 **Is your Chemical Substance Ineligible for an Exemption Because it is the Subject of Certain TSCA Actions? (Question D)**

With the exception of naturally occurring chemical substances, chemical substances must be reported if they are the subject of any of the following (even if the chemical substance is otherwise exempt, (40 CFR 711.6)):

- A rule proposed or promulgated under TSCA section 4, 5(a)(2),5(b)(4), or 6;
- An order issued under TSCA section 4, 5(e) or 5(f);
- Relief that has been granted under a civil action under TSCA sections 5 or 7; or

- An enforceable consent agreement (ECA) under 40 CFR Part 790.

See Appendix B for an overall chart that describes the effects on CDR requirements of the different TSCA actions.

**Example 2-4.** Company A manufactured 35,000 lb of Chemical X, a polymer, in 2018. Chemical X is part of an enforceable consent agreement (ECA) between EPA and Company A, in which Company A is performing additional testing on Chemical X. Although Chemical X is a polymer that normally would be exempt from CDR reporting, it is part of an ECA and, thus, Company A is required to report Chemical X for the 2020 CDR. Additionally, Company B manufactures 40,000 lb of Chemical X in 2019. Although Company B is not a party to the ECA, Company B is also required to report Chemical X for the 2016 CDR.

Special flags are used throughout the TSCA Inventory to identify those substances on the Inventory that are the subject of an EPA rule or order promulgated under TSCA, as well as to indicate the types of full or partial exemptions from TSCA reporting requirements. These flags are embedded into the Substance Registry Services (SRS) chemical lookup within the current edition of e-CDRweb reporting tool and have been updated to reflect the 2020 reporting requirements. When the chemical lookup function is used, and the selected chemical has been assigned a special flag, the reporting tool will display a notice on the screen indicating the TSCA action or exemption status of the chemical. Please note that you are advised to use the flags only as a guide; you are responsible for verifying whether a chemical substance listed on the TSCA Inventory is exempt from reporting or ineligible for exemption from reporting. If you have determined that your chemical substance is a CDR reportable chemical substance, evaluate Step II on Figure 2-3 to determine whether you are a manufacturer (including importer) who is required to report.

## 2.2 Step II: Are You a Manufacturer Who Is Required to Report?

If you determined from Step I that you manufacture (including import) a CDR reportable chemical substance, Figure 2-3 presents a decision logic diagram that may help you determine whether you are a manufacturer (including importer) who must then report. The following subsections explain each question in greater detail.

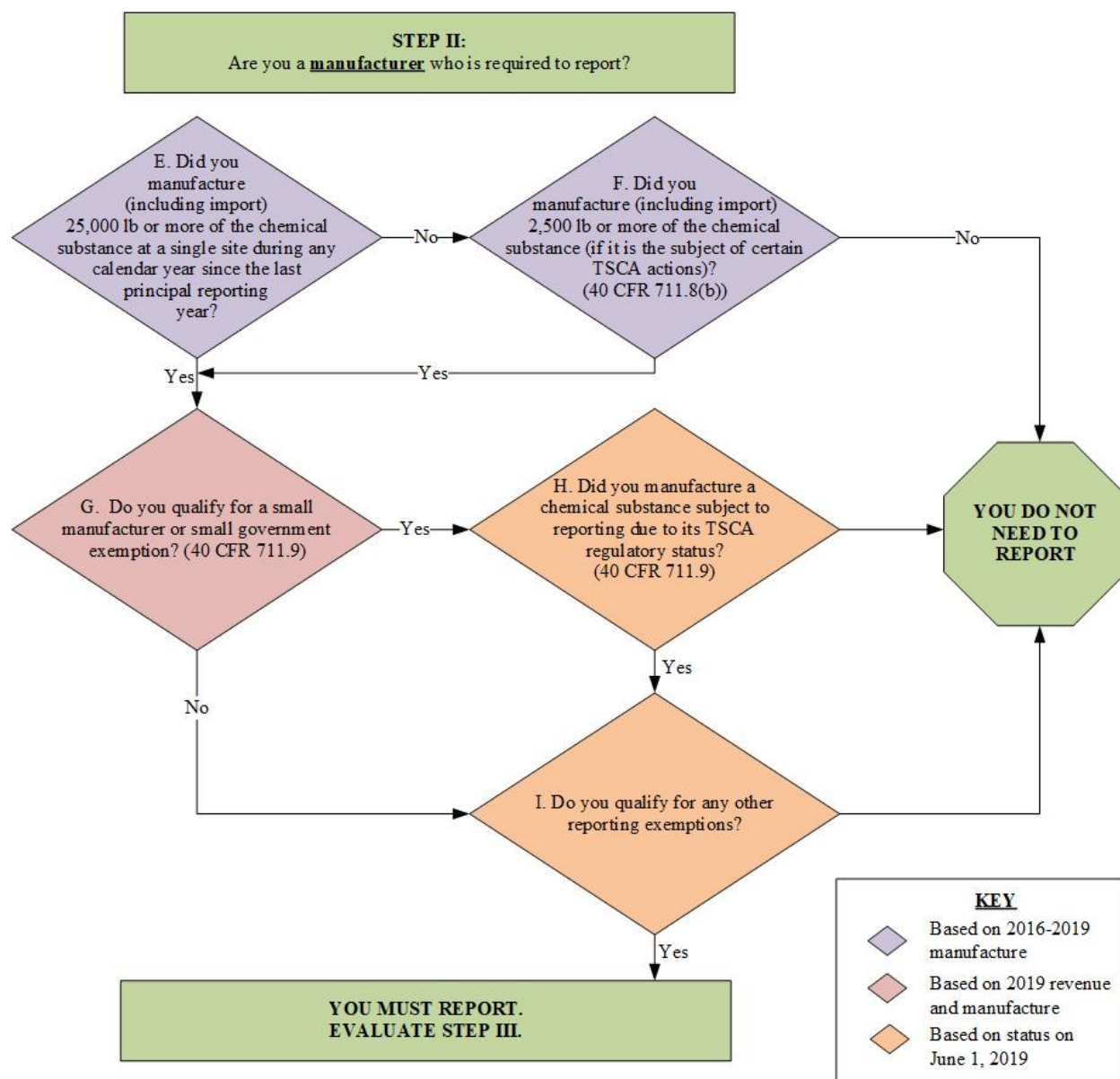


Figure 2-3. Decision Logic Diagram for Evaluating Step II

### 2.2.1 Did You Manufacture (Including Import) 25,000 lb or More of the Chemical Substance at a Single Site During any of the Calendar Years since the Last Principal Reporting Year? (Question E)

You are subject to CDR reporting if you manufactured (including imported) a chemical substance in production volumes of 25,000 lb or greater at any single site you owned or controlled during any calendar year since the last CDR principal reporting year. (A reduced reporting threshold of 2,500 lb applies to chemical substances subject to certain TSCA actions - see Section 2.2.2.) For the 2020 CDR, the last principal reporting year was 2015. Therefore, you need to consider production for calendar years 2016, 2017, 2018, and 2019. If you both domestically manufacture and import the same chemical substance, add the domestically manufactured and imported volumes at each site for a calendar year to determine whether the amount of the chemical substance meets or exceeds the 25,000 lb threshold during that calendar year. Do not subtract the volume of chemical substance directly exported. The site at which a chemical substance is imported is described in 40 CFR 711.3 and Section 4.4.1 of this document.

Information about determining production volumes for mixtures and when reporting in categories is provided at the end of Section 2.2.2.

### 2.2.2 Did You Manufacture (Including Import) 2,500 lb or More of the Chemical Substance (if it is the Subject of Certain TSCA Actions)? (Question F)

Under 40 CFR 711.8(b) and 40 CFR 711.15, the reporting threshold is 2,500 lb (1,134 kg) for any person who manufactured a chemical substance that is the subject of any of the following TSCA actions:

- A rule proposed or promulgated under TSCA section 5(a)(2), 5(b)(4) or 6
- An order issued under TSCA section 5(e) or 5(f)
- Relief that has been granted under a civil action under TSCA section 5 or 7

See Appendix B for assistance in determining whether your chemical substance is the subject of certain TSCA actions.

You are subject to CDR reporting if you manufactured (including imported) a chemical substance which is subject to a TSCA action listed above in production volumes of 2,500 lb or greater at any single site you owned or controlled during any calendar year since the last CDR principal reporting year. For the 2020 CDR, the last principal reporting year was 2015. Therefore, you need to consider production for calendar years 2016, 2017, 2018, and 2019. If you both domestically

#### **Substances that have undergone a change in TSCA regulatory status from 2016 to June 1, 2020**

- The effects of TSCA actions on CDR reporting are assessed based on the status of the chemical substance as of the beginning of the submission period, when the reporting obligation becomes current. For reporting obligations in 2020 that depend on whether a chemical substance “is the subject of” a listed action, consider the status of a chemical substance as of June 1, 2020.
- A change in TSCA regulatory status does not mean that submitters should apply different reporting thresholds to manufacture occurring before and after the effective date of the action. Only one reporting threshold applies to a chemical substance for the 2020 CDR. The correct reporting threshold is determined based on the chemical substance’s status as of June 1, 2020.



manufacture and import the same chemical substance, add the domestically manufactured and imported volumes at each site for a calendar year to determine whether the amount of the chemical substance meets or exceeds the 2,500 lb threshold during that year. Do not subtract the volume of chemical substance directly exported. The site at which a chemical substance is imported is described in 40 CFR 711.3 and Section 4.4.1 of this document.

Table 2-3 provides examples of how the production volume threshold applies.

**Table 2-3. Production Volume Threshold Examples**

Description	2020 Reporting Requirement
Company A, which has only one manufacturing site, manufactured 26,000 lb of Chemical X, which is not exempt from reporting, at its site in 2017.	Company A must report for Chemical X because it manufactured 25,000 lb or more of Chemical X at its sole manufacturing site in 2017.
Company B, which has only one manufacturing site, manufactured 26,000 lb of Chemical X at its site in 2016 and 20,000 lb of Chemical X in 2018.	Company B is required to report for Chemical X because it manufactured more than 25,000 lb of Chemical X in 2016.
Company C has two manufacturing sites for Chemical X. In 2016 through 2019, Site 1 manufactured 13,000 lb per year of Chemical X and Site 2 manufactured 15,000 lb per year. Chemical X is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b).	The 25,000-lb threshold is applicable for Chemical X. Company C is not required to report for Chemical X at either site because production was less than 25,000 lb at each site during all the years in the reporting period.
Company D has two manufacturing sites for Chemical X. In 2016 through 2019, Site 1 manufactured 10,000 lb per year of Chemical X and Site 2 manufactured 150,000 lb per year of Chemical X. Chemical X is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b).	The 25,000-lb threshold is applicable for Chemical X. Company D must report for Chemical X at Site 2 because at this location production was 25,000 lb or more. Company D is not required to report for Chemical X for Site 1 because production was less than 25,000 lb during all the years in the reporting period.
Company E has one site where it imports and manufactures Chemical X. Company E manufactured 21,000 lb of Chemical X and imported 5,000 lb of Chemical X in 2019.	Company E must report for Chemical X because the aggregate volume manufactured at and imported by its site in 2019 was 25,000 lb or more.
Company F has one site where it manufactured 30,000 lb of Chemical X in 2016. The company directly exported 25,000 lb of Chemical X and sold the remaining 5,000 lb in the United States.	Company F must report for Chemical X because it manufactured over 25,000 lb in 2016. The amount directly exported does not affect the determination of the need to report.
Company G manufactured 5,000 lb of Chemical Z per year during 2016 through 2019. Chemical Z is subject to a TSCA section 4 test rule with a sunset date of June 30, 2020. Chemical Z is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b).	Company G is not required to report for Chemical Z. Chemical Z is subject to the 25,000 lb reporting threshold, because a TSCA section 4 test rule is not a TSCA action which triggers use of the reduced reporting threshold (i.e., it is not one of the actions listed in 40 CFR 711.8(b)).

Description	2020 Reporting Requirement
A TSCA section 5(a)(2) significant new use rule (SNUR) is issued for Chemical Y in 2017. The annual production volumes for Chemical Y by Company H are 1,000 lb in 2016, 10,000 lb in 2017, 5,000 lb in 2018, and 2,000 lb in 2019.	As of the beginning of the submission period (June 1, 2020), Chemical Y is a chemical substance that is the subject of a TSCA section 5(a)(2) SNUR; therefore, a reduced reporting threshold of 2,500 lb would apply. Because the 2,500 lb reporting threshold was exceeded at least once from 2016 to 2019, Company H must report for Chemical Y.
A TSCA section 5(a)(2) SNUR was issued for Chemical Y in 2017 and revoked in February 2020. Chemical Y is not currently the subject of any of the TSCA actions listed in 40 CFR 711.8(b). The annual production volumes for Chemical Y by Company H are 1,000 lb in 2016, 10,000 lb in 2017, 5,000 lb in 2018, and 2,000 lb in 2019.	As of the beginning of the submission period on June 1, 2020, the SNUR is no longer in effect. Therefore, the reporting threshold for Chemical Y is 25,000 lb. Because the production volume did not meet or exceed 25,000 lb in at least one year from 2016 to 2019, Company H is not required to report for Chemical Y.
A proposed TSCA section 5(a)(2) SNUR for Chemical P is published in the Federal Register on August 1, 2020. Chemical P is not currently the subject of any of the other TSCA actions listed in 40 CFR 711.8(b). The annual production volumes for Chemical P by Company J are 2,000 lb in 2016, 20,000 lb in 2017, 2,500 lb in 2018, and 12,000 lb in 2019.	As of the beginning of the 2020 submission period on June 1, 2020, Chemical P is not the subject of a proposed or promulgated SNUR. Therefore, the 2020 CDR reporting threshold for Chemical P is 25,000 lb. Publication of the SNUR after June 1, 2020 would not cause the 2020 CDR reporting threshold to change during the 2020 submission period. Because the production volume did not meet or exceed 25,000 lb in at least one year from 2016 to 2019, Company J is not required to report for Chemical P.

### *Meeting the Reporting Threshold for Chemical Substances in Mixtures*

In many cases, reportable chemical substances are components of a mixture. Although mixtures themselves are not reportable, the 25,000 lb (or 2,500 lb threshold if the subject of certain TSCA actions) is applicable for each CDR reportable chemical substance comprising a mixture; therefore, the chemical substances making up a mixture may individually be reportable. If you manufacture chemical substances as part of a mixture, you would determine your CDR reporting requirements by following Questions A-F (Sections **Error! Reference source not found.** through 2.2.2) for each chemical substance in the mixture. As described in Section 2.1.2.2, hydrates are mixtures of the corresponding non-hydrated chemical substance and water.

**UVCB Chemical Substances:** Note that, under TSCA, a complex combination of chemical substances is in most cases considered to be a single UVCB chemical substance. In such cases, reporting is triggered based on the volume of the UVCB chemical substance manufactured (that is, the whole entity), and not based on the volume of individual chemical components which may be present in the UVCB chemical substance. See Section 2.1.1.3 for further discussion of UVCB chemical substances.

**Imported Mixtures:** As an importer (see 40 CFR 704.3) of a mixture of chemical substances listed on the TSCA Inventory, you must determine whether the individual component chemical substances of a mixture are reportable. To do so, you would determine whether the

annual aggregated volume of a particular reportable chemical substance was 25,000 lb or 2,500 lb or more at the site that controls the importation. The threshold volume is applicable for each CDR reportable chemical substance in a mixture. You can determine the production volume for each chemical substance in the mixture that you imported during a particular calendar year by using the weight and percent composition of the chemical substance in the mixture. For each imported chemical substance, you would aggregate the volume of the chemical substance in all annual imports associated with the reporting site as defined in 40 CFR 711.3 and add the amount of the chemical substance domestically manufactured at the same site, if any, to determine whether the total volume of the chemical manufactured (including imported) meets the 25,000 lb or 2,500 lb threshold. Note that a chemical substance that is imported solely in small quantities for research and development, as an impurity, or as part of an article or in a manner described in 40 CFR 711.10(c)(1) through (4) is not subject to the CDR reporting requirements (40 CFR 711.10).

If you have determined that you are manufacturing a CDR reportable chemical substance and meet the applicable reporting threshold of 25,000 lb (or 2,500 lb if subject to certain TSCA actions), evaluate Question G to determine whether you qualify for a small manufacturer exemption.

#### *Meeting the Reporting Threshold when Reporting Inorganic Byproducts in Metal Categories*

See the document *Chemical Data Reporting (CDR) Support Document: Proposed Optional Reporting in Metal Categories for Inorganic Byproducts* for information on how to determine if you are allowed to report by category and, if you are, how to determine if you meet the reporting threshold when reporting multiple substances within a single category. Such reporting is allowed only in limited circumstances, specifically for inorganic byproducts that contain certain metals. See also Section 4.7.6.

### **2.2.3 Do You Qualify for a Small Manufacturer or Small Government Exemption? (Question G)**

*Small manufacturer* (the same standard will be used for all manufacturers, except for small governments) (40 CFR 704.3):

- (1) First standard. A manufacturer (including importer) of a substance is small if its total annual sales, when combined with those of its parent company (if any), are less than \$110 million. However, if the annual production or importation volume of a particular substance at any individual site owned or controlled by the manufacturer or importer is greater than 45,400 kilograms (100,000 lbs), the manufacturer (including importer) will not qualify as small for purposes of reporting on the production or importation of that substance at that site, unless the manufacturer (including importer) qualifies as small under standard (2) of this definition.
- (2) Second standard. A manufacturer (including importer) of a substance is small if its total annual sales, when combined with those of its parent company (if any), are less than \$11 million, regardless of the quantity of substances produced or imported by that manufacturer (including importer).

For purposes of the definition of a small manufacturer, total annual sales include all sales of the company, not just the total sales of a given chemical substance.

*Small government* means the government of a city, county, town, township, village, school district, or special district with a population of less than 50,000. States and tribal governments are not considered small governments.

If you have determined that you are a small manufacturer or small government that is manufacturing a CDR reportable chemical substance, evaluate Question H (described in the next section) to determine whether you are exempt from any reporting.

If you do not qualify for a small manufacturer or small government exemption, evaluate Question I in Figure 2-3 (further described in Section 2.2.5) to determine whether you qualify for any other reporting exemptions.

#### 2.2.4 Did You Manufacture a Chemical Substance that is the Subject of Certain TSCA Actions? (Question H)

Small manufacturers and small governments are exempt from CDR requirements unless they manufacture (including import) a chemical substance that is the subject of a rule proposed or promulgated under sections 4, 5(b)(4), or 6 of TSCA, or is the subject of an order in effect under section 4 or 5(e) of TSCA, or is the subject of relief that has been granted under a civil action under sections 5 or 7 of TSCA (40 CFR 711.9 and TSCA § 8(a)(3)(A)(ii)). The SRS provides information regarding which chemical substances fall into these groups. Table 2-4 provides examples of how the small manufacturing exemption applies.

**Table 2-4. Small Manufacturer or Small Government Exemption Examples (40 CFR 711.9)**

Description	2020 Reporting Requirement
Site 1, which is one of several sites owned by Company A, had a production volume of 120,000 lb of Chemical X in 2017. The total annual sales of Company A (all sites combined) were \$7.25 million in 2019.	Site 1 is not required to report for Chemical X because combined sales in 2019 did not exceed \$11 million.
Site 2, which is one of several sites owned by Company B, had a production volume of 90,000 lb of Chemical X in 2016, 75,000 lb in 2017, 82,000 in 2018, and 95,000 in 2019. The total annual sales of Company B (all sites combined) were \$80 million in 2019. None of the other sites produce Chemical X.	Site 2 is not required to report for Chemical X because annual production volume of that chemical substance did not exceed 100,000 lb at any of Company B's sites during 2016-2019, and Company B had total annual sales of less than \$110 million.
Site 3, which is one of several sites owned by Company C, had a production volume of 200,000 lb per year of Chemical X in 2016 through 2019. Site 4, another site owned by Company C, had a production volume of 75,000 lb per year of Chemical X in 2016 through 2019. The total annual sales of Company C (all sites combined) were \$90 million in 2019.	Company C must report for Chemical X at Site 3 because annual production volume at Site 3 exceeded 100,000 lb in at least one year from 2016 to 2019. Company C is not required to report for Chemical X at Site 4 because annual production volume at site 4 did not exceed 100,000 lb and total annual sales was less than \$110 million.

Description	2020 Reporting Requirement
<p>Site 5, which is one of several sites owned by Company D, had a production volume of 50,000 lb of Chemical X in 2018. The total annual sales of Company D (all sites combined) were \$125 million in 2019.</p>	<p>Company D must report for Chemical X at Site 5 because total annual sales in 2019 exceeded \$110 million and the production volume of Chemical X at Site 5 exceeded 25,000 lb in at least one year from 2016 to 2019.</p>
<p>Site 6, which is one of several sites owned by Company E, had a production volume of 120,000 lb of Chemical X in 2016. The total annual sales of Company E (all sites combined) were \$7.25 million in 2019. Chemical X is subject to a section 4 test rule.</p>	<p>Site 6 is required to report for Chemical X. Even though combined sales are less than \$11 million, this chemical substance is subject to a test rule and therefore must be reported.</p>
<p>Site 7, owned by Company F, whose total annual sales is \$90 million in the principal reporting year (2019), manufactures Chemical X, which is the subject of a TSCA section 5(e) consent order and a TSCA section 5(a)(2) SNUR. The annual production volume of Chemical X ranges between 3,000 and 5,000 lb from 2016-2019.</p>	<p>Site 7 is required to report for Chemical X. Based on the sales of less than \$110 million and production volume below 100,000 lb, Company F would qualify as a small manufacturer. Chemical X being the subject of a SNUR does not affect the small manufacturer exemption. However, Chemical X being the subject of a 5(e) consent order does affect the exemption: the small manufacturer exemption does not apply to Company F with respect to its manufacture of Chemical X.</p> <p>Both the SNUR and the 5(e) consent order trigger the reduced reporting threshold of 2,500 lb. Therefore, because Chemical X is subject to a SNUR and a section 5(e) consent order and because Company F has produced Chemical X in amounts above 2,500 lb in at least one year from 2016 to 2019 (in this case all four years), Company F would be required to report.</p>
<p>Site 8 is owned by Company G and manufactured 25,000 lbs of Chemical X in 2016 and 20,000 lbs in 2017. Chemical X was the subject of a TSCA section 4 test rule promulgated in 2019. Company G's total annual income was the following: \$1 million in 2016, \$2 million in 2017, \$9 million in 2018, and \$12 million in 2019.</p>	<p>Site 8 is required to report for Chemical X. On June 1, 2020, Chemical X is subject to a TSCA section 4 test rule, which means that Company G cannot apply the small manufacturer exemption to its manufacture of this substance.</p> <p>Because annual production volume of Chemical G was 25,000 lb or greater in at least one year from 2016 to 2019 (in this case in 2016), Company G must report for Chemical X.</p>
<p>Site 9 is owned by Company H and manufactures Chemical X. Chemical X has been subject for several years to a TSCA section 4 test rule which sunsets on May 1, 2020. Company H, whose total annual sales were \$9 million in 2019, has manufactured Chemical X in annual amounts above 25,000 lb from 2016-2019.</p>	<p>Company H is not required to report for Chemical X. Although Chemical X was the subject of a TSCA section 4 test rule (which could have eliminated the ability to apply the small manufacturer exemption to manufacture of Chemical X), June 1, 2020 is after the sunset date. As of June 1, 2020, Chemical X is no longer the subject of a TSCA section 4 test rule. Therefore, Company H, with total annual sales less than \$11 million in 2019, would be eligible to apply the small manufacturer exemption to its manufacture of Chemical X.</p>

Description	2020 Reporting Requirement
Municipal utility 1 is owned by a US city containing a population of 39,250. This utility produces 57,000 lb of Chemical X in 2016 and approximately the same amount in years 2017 through 2019.	Municipal utility 1 is not required to report under CDR, because it is owned by a US city with a population that does not exceed 50,000, and therefore qualifies for the small government exemption.
Public utility district 1 is owned by a US county containing three separate townships, in 2016, one containing a population of 8,300, the second containing a population of 33,600, and the third containing 10,850. The county had a total population of 52,750 in 2016. The population fluctuates in each township through 2019, but does not drop below 50,000 total in any single year.	Public utility district 1 is required to report for any chemicals meeting the reporting requirements. Based on its 2019 population, it does not qualify for the small government exemption as its population is greater than 50,000.
Public utility district 2 is owned by a US county containing three separate townships, in 2016 and 2017, one containing a population of 26,550, the second containing a population of 6,400, and the third containing 12,700 (total of 45,650 for the county). In 2018, a fourth township containing a population of 8,900 is added to the county, raising the total population that the utility district services to 54,550. The population fluctuates in each township through 2019, but does not drop below 50,000 total.	Public utility district 2 is required to report for any chemicals meeting the reporting requirements. Although it would have qualified for the small government exemption in 2016 and 2017, its population grew and exceeded the 50,000 population threshold for 2019, the principal reporting year. The public utility is required to consider reporting based on the annual production volume during each years of the reporting cycle (2016-2019).

### 2.2.5 Do You Qualify for Any Other Reporting Exemptions? (Question I)

If you manufacture a reportable chemical substance under the following circumstances, you are not required to report for those chemical substances under the CDR rule if:

- The chemical substance is manufactured solely in small quantities for research and development (40 CFR 711.10(a)).

Chemicals that are routinely used in a laboratory are not considered to be chemicals used for research and development for purposes of this exemption. For example, a manufacturer of a solvent that supplies testing labs for the routine use of testing samples of other materials is not conducting research and development.

- The chemical substance is imported as part of an article (40 CFR 711.10(b)). An *article* is defined in 40 CFR 704.3 as “a manufactured item (1) which is formed to a specific shape or design during manufacture, (2) which has end-use function(s) dependent in whole or in part upon its shape or design during end use, and (3) which has either no change of chemical composition during its end use or only those changes resulting in composition which have no commercial purpose separate from that of the article, and that result from a chemical reaction that occurs upon end use of other chemical substances, mixtures, or articles; except that fluids and particles are not considered articles regardless of shape or design.”

EPA considers imported items articles if they are manufactured in a specific shape or design for a particular end-use application and this design is maintained as an essential feature in the finished product. Thus, EPA views materials such as metal or plastic sheets, wire, coated fabric, rolled carpet, sheets of plywood, and other similar materials as articles, even if, for example, subsequent to import they are rolled or drawn thinner, cut, printed, laminated, or thermoformed, provided they meet the above definition. Chemical substances that are part of such articles are not subject to reporting under the CDR rule. If the shape of an item does not serve a function with respect to the item's end use (e.g., it is imported in a particular shape for the sake of shipping convenience) then it would not be considered an article. Thus, chemical substances that are part of items not considered by EPA as articles, such as metal ingots, billets, and blooms are subject to reporting under the CDR rule.

For additional information, see [Fact Sheet: Imported Articles](#).

- The chemical substance is manufactured as an impurity, a non-isolated intermediate, or under any of the other circumstances identified in 40 CFR 711.10(c)(1) through (4).
- If, within one year prior to the start of the submission period, (i.e., June 1, 2019 to May 31, 2020), you submitted all of the information required by the CDR rule in response to another rule promulgated under section 8(a) of TSCA (such as the Preliminary Assessment Information Reporting (PAIR) rule at 40 CFR Part 717, Subpart B), you are not required to report the same information under CDR for the same chemical substance during 2020 (40 CFR 711.22(a)).

Table 2-5 presents examples of the manufacturing/importing activities listed above.

If you manufacture a CDR reportable chemical substance in quantities greater than 25,000 lb (or 2,500 lb if the subject of certain TSCA actions), and do not qualify for any reporting exemptions, you should evaluate Step III, described in the following section, to determine what information you must report for your chemical substance.

**Table 2-5. Examples of Manufacturing/Importing Activities under Circumstances which do/do not Require Reporting**

Description	2020 Reporting Requirement
Company A manufactures 400,000 lb of a chemical intermediate called Chemical X during the production of a polymer. Chemical X is manufactured in Reactor 1 and is subsequently entirely consumed when reacted with other chemicals. Chemical X never leaves Reactor 1, except for sampling purposes.	Company A does not need to report Chemical X because it is considered to be a non-isolated intermediate and is therefore fully exempt.
Company B manufactures 400,000 lb of a chemical intermediate called Chemical Y during the production of a polymer. Chemical Y is manufactured in Reactor 1 and transferred to a storage tank until needed. Chemical Y is then transferred to Reactor 2 where it is mixed with other reactants to form the desired polymer, at which point Chemical Y is destroyed. Chemical Y never leaves this production site.	Company B is required to report Chemical Y. When Chemical Y was transferred to the storage tank, it was isolated, and, thus, does not meet the definition for “non-isolated intermediate.”
Company C imports 10 million lb of Chemical Z in the form of thin sheets. Company C cuts these sheets into the desired size and shape, which are sold to consumers.	Company C is not required to report Chemical Z because it is considered to be an article and therefore exempt from reporting.
Company D imports 10 million lb of Chemical W in the form of pellets. Company D subsequently melts and molds Chemical W into the desired shape, which is sold directly to consumers.	Company D is required to report Chemical W because it imported pellets whose shape or design when imported was not related to their end use.
Company D domestically manufactures 10 million lb of Chemical W. Company D subsequently sells Chemical W to Company E in the form of pellets. Company E melts and molds the pellets.	Company D is required to report as the manufacturer of Chemical W. Company E is not required to report because it is neither manufacturing nor importing Chemical W.

### 2.3 Step III: What Information Must You Report?

Once you determine from Steps I and II that you are a manufacturer (including importer) of a CDR reportable chemical substance and are required to report, this section will help you determine what information you must report.

You are required to report the information described in 40 CFR 711.15(b) in Parts I and II and, unless you qualify for a partial exemption, Part III of Form U.

**The reporting threshold for processing and use activities is the same as that for manufacturing information.**

You must use the same reporting threshold for reporting processing and use information as you use for reporting all manufacturing information (i.e., either 25,000 lb or 2,500 lb).

Basic company and site identification information, (submitted on Part I of Form U) is required by 40 CFR 711.15(b)(1) and (b)(2). Chemical identification and information pertaining to the manufacture (including import) of chemical substances (submitted on Part II of Form U) is required by 40 CFR 711.15(b)(3). Note that the basic company and site information is reported once per site, while the manufacturing information is reported separately for each reportable chemical substance at the site. Industrial processing and use, and consumer and



commercial uses of the chemical substance (submitted on Part III of Form U) is required by 40 CFR 711.15(b)(4). Certain manufacturing information and all processing and use information are only reported for the principal reporting year (2015).

Manufacturers (including importers) of partially exempt chemical substances listed in 40 CFR 711.6(b)(1) and 711.6(b)(2) are not required to report processing and use information described in 40 CFR 711.15(b)(4) for those chemical substances, but are otherwise required to report the information requested on basic identity and manufacturing information described in 40 CFR 711.15(b)(2) and (3) for those chemical substances. Note that these partial exemptions are negated if the chemical substance is the subject of any of certain TSCA actions.

Figure 2-4 presents a decision logic diagram to assist you in determining the CDR information you must report. The following subsections explain each question in greater detail.

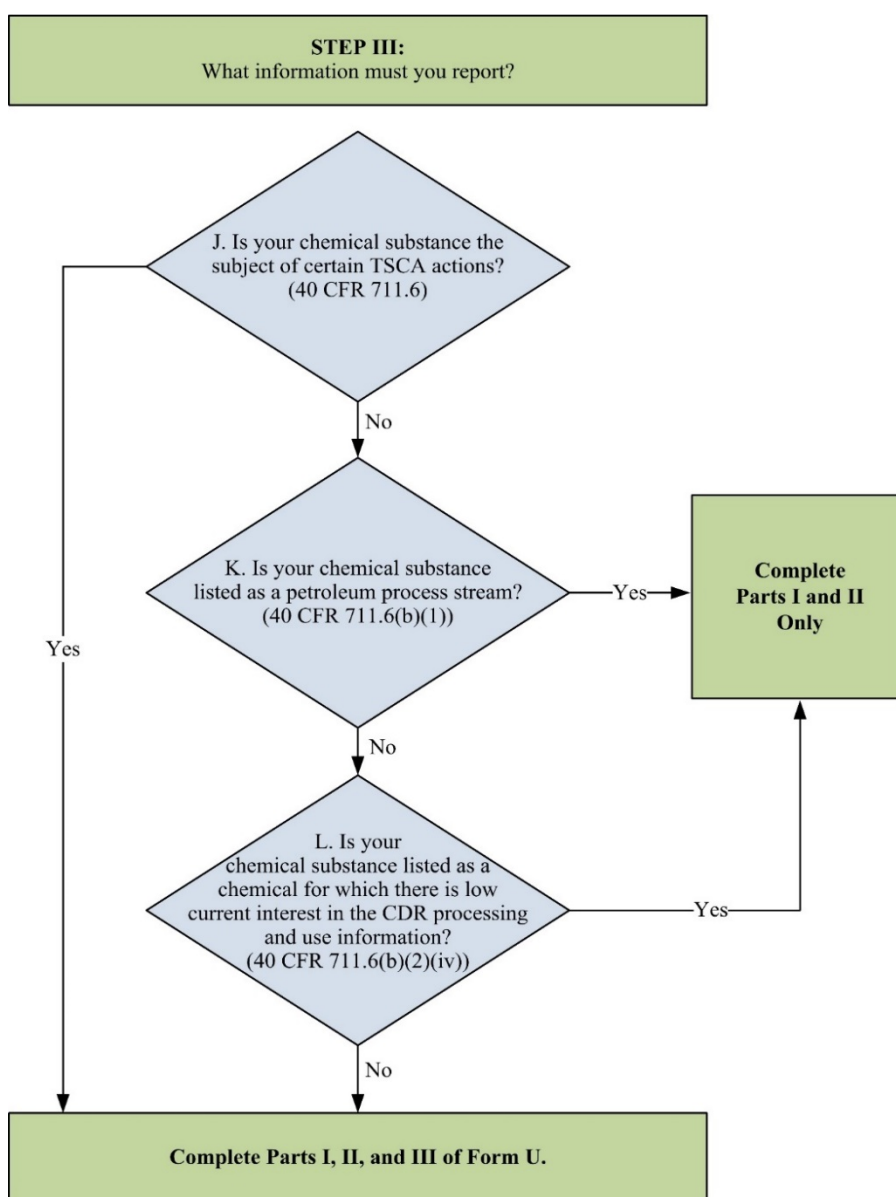


Figure 2-4. Decision Logic Diagram for Evaluating Step III

### **2.3.1 Is Your Chemical Substance Subject to Full Reporting due to Its TSCA Regulatory or Consent Agreement Status? (Question J)**

Chemical substances that are the subject of certain TSCA regulatory actions (40 CFR 711.6). See Section 2.1.4 for a more detailed description of the chemical substances that meet these criteria. If you manufacture (including import) these chemical substances at quantities at or above the applicable reporting threshold (i.e., either 25,000 or 2,500 lb if the subject of certain TSCA actions), you must report all CDR information (i.e., manufacturing, processing, and use information) regardless of any exemptions for which the chemical substance would otherwise qualify. The SRS provides information on TSCA regulatory status of chemical substances.

If your chemical substance is not part of a TSCA regulatory action or consent agreement, continue to evaluate Questions K and L as seen on Figure 2-4 and described in the following sections to determine whether your chemical substance is partially exempt.

### **2.3.2 Is Your Chemical Substance Listed as a Petroleum Process Stream? (Question K)**

Manufacturers (including importers) of certain petroleum process streams, regardless of the production volume, do not need to complete Part III of Form U for these chemical substances. The chemical substances termed “petroleum process streams” for purposes of CDR that are partially exempt from CDR requirements are those listed by CAS Registry Number at 40 CFR 711.6(b)(1).

### **2.3.3 Is Your Chemical Substance Listed as a Chemical for which There is Low Current Interest in the CDR Processing and Use Information? (Question L)**

EPA created a partial exemption for certain chemical substances for which EPA has identified a low current interest in their processing and use information. The specific chemical substances are listed at 40 CFR 711.6(b)(2)(iv). The most recent additions to the partially exempt chemicals list can be found under the Petition Results tab of the [How To Report Under Chemical Data Reporting page](#) of the CDR website.

If your CDR reportable chemical substance manufactured (including imported) in quantities at or above the applicable reporting threshold (i.e., either 25,000 or 2,500 lb if subject to certain TSCA actions) is partially exempt, you are required to report only Parts I and II of the reporting form. Otherwise, you are required to report Parts I, II, and III of the reporting form, covering manufacturing, processing, and use information for your CDR reportable chemical substance. Chapter 3 provides information about when you must report this information to EPA.

**Example 2-5.** Company ABC produces Chemical Q, which is not the subject of any of the TSCA actions listed in 40 CFR 711.6 or 711.8(b), nor is it listed as a petroleum process stream or identified as low current interest for EPA. At the site, Chemical Q was produced in amounts of 30,000 lb in 2016, 10,000 lb in 2017, 50,000 lb in 2018, and 5,000 lb in 2019.

Because Chemical Q is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b), the 25,000 lb threshold would be applicable for Chemical Q. Since the 25,000 lb threshold was exceeded at least once from 2016 to 2019 (in this case, in 2016 and 2018), Company ABC would be subject to reporting. Chemical Q is not the subject of any of the TSCA actions listed in 711.6, is not listed as a petroleum process stream or identified as low current interest for EPA, so it is not partially exempt. Therefore, for the principal reporting year of 2019, Company ABC would report additional manufacturing information and the processing and use data based on the 5,000 lb it produced that year.

**Example 2-6.** Company DEF begins producing Chemical Z in 2017. Chemical Z is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b). The production volumes at the site are 2,000 lb in 2017, 25,000 lb in 2018, and no production for 2019.

Chemical Z is not the subject of any of the TSCA actions listed in 40 CFR 711.8(b); therefore, the 25,000 lb threshold would be applicable for Chemical Z. Since the 25,000 lb threshold was met in 2018, Company DEF would be subject to reporting. However, since there was no production in 2019, the principal reporting year, the production volume would be reported as zero, the manufacturing information needed to be reported would be limited to the company and plant site information (40 CFR 711.15(b)(2)) and the chemical specific information on identity as well as the production volume for 2017 and 2018 (40 CFR 711.15(b)(3)).

### **3. When You Must Report**

For the 2020 reporting cycle, you are required to report information (pertaining to calendar years 2016, 2017, 2018, and 2019) during the 2020 submission period. The 2020 submission period begins June 1, 2020 and ends September 30, 2020 (40 CFR 711.20).

Your submissions for the 2020 reporting cycle must be submitted to EPA via the Internet and through EPA's Central Data Exchange (CDX) no later than September 30, 2020. You should note that registration with CDX is required prior to accessing e-CDRweb to submit your CDR information (40 CFR 711.35). Separate user guides are available covering the specifics of CDR registration and use of the e-CDRweb reporting tool. If you are required to report, failure to file your report during this period is a violation of TSCA sections 8(a) and 15 and may subject you to penalties. (40 CFR 711.1(c))

## 4. Instructions for Completing CDR Form U

This chapter will help you complete the CDR Form U. Separate user guides covering the specifics of CDX registration and use of the e-CDRweb reporting tool are available at <https://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting>. Section 4.1 describes how to certify your submission. Section 4.2 discusses the reporting standard – the effort required to comply with the CDR rule. Sections 4.3 through 4.11 provide information to help you complete each required section of Form U.

You are required to use the CDR reporting tool, e-CDRweb, to submit information for each CDR reportable chemical substance. If you are reporting information for more than one chemical substance at your site, you must report information for all reportable chemical substances on one Form U. If you are reporting for multiple sites, you must submit a separate Form U for each site.

Form U is comprised of a certification statement and four parts, as follows:

- The certification statement and Part I of Form U are completed once per reporting site. Part I contains company, site, and contact information.
- Part II is completed for each reportable chemical substance at the site and contains information associated with the identity, manufacture, and properties of the chemical substance.
- Part III is completed for each reportable chemical substance at the site and contains information associated with the processing and use of the chemical substance.
- Part IV is reserved for the special case of a joint submission and is completed by the secondary submitter.

**Note:** Items such as the validation page and the SRS search page will appear in separate windows. As described in the eCDRweb user guides, ensure that your pop-up blocker is disabled before you begin to complete Form U.

### 4.1 Certification

Your CDR submission must be certified, indicating that your submitted information has been completed in compliance with the CDR requirements and that any confidentiality claims are true and correct. To certify, the certification statement must be electronically signed and dated by an authorized official at your company. The authorized official typically is a senior official with management responsibility for the person (or persons) completing the form. You must include the printed name, title, and email address for the person signing the certification. See the user guide on CDX Registration for information on how to complete an electronic signature agreement.

This certification statement applies to all the information supplied on the form. The certification statements appear when the submission process has been initiated, at which time the submitter must either certify or cancel the submission process. Note that knowingly providing false or misleading information or concealing required information may be punishable by fine or imprisonment or both under TSCA section 16(b).

## 4.2 Reporting Standard

Submitters are required to exercise certain levels of due diligence in gathering the information required by the CDR rule. You must report your information to the extent that the information is **known to or reasonably ascertainable by** you and your company. The term “known to or reasonably ascertainable by” is defined in 40 CFR 704.3 and discussed more fully below.

**Known to or reasonably ascertainable by** means all information in a person’s possession or control, plus all information that a reasonable person similarly situated might be expected to possess, control, or know.

Under TSCA section 8(a), EPA may collect information associated with chemical substances to the extent that it is known to or reasonably ascertainable by the submitter. This includes, but is not limited to, information that may be possessed by employees or other agents of the company reporting under the CDR rule, including persons involved in the research, development, manufacturing, or marketing of a chemical substance and includes knowledge gained through discussions, symposia, and technical publications. For purposes of CDR, the known to or reasonably ascertainable by standard applies to all the information required by the rule.

Examples of types of information that are considered to be in a person’s possession or control, or that a reasonable person similarly situated might be expected to possess, control, or know include:

- Files maintained by the submitter, such as marketing studies, sales reports, or customer surveys;
- Information contained in standard references, such as MSDSs, that contain use information or concentrations of chemical substances in mixtures; and
- Information from the Chemical Abstracts Service (CAS) and from Dun & Bradstreet D-U-N S®.

The hypothetical examples in Table 4-1 illustrate the anticipated application of the “known to or reasonably ascertainable” reporting standard, in the specific context of the collection of processing and use data under the CDR. Because the standard applies on a case-by-case basis, however, these examples cannot substitute for a complete analysis of a submitter’s particular circumstances.

**Table 4-1. Examples of the Application of the “Known to or Reasonably Ascertainable” Reporting Standard for Processing and Use Data.**

Scenarios, Actions, and Outcomes	
<p><b>Scenario:</b> Company XYZ discovers that it has no knowledge of how a particular reportable chemical substance (chemical substance #1) is processed or used by its customers. Company XYZ usually maintains marketing data documenting customers’ use of its chemicals, in line with the reasonable business practices typical of comparable manufacturers, but it irrevocably lost these data for chemical substance #1 due to an inadvertent computer malfunction. Company XYZ has many customers, but it expects that it could substantially reconstruct this missing information by briefly contacting its largest customer and asking that customer what chemical substance #1 is generally used for.</p>	
<b>Application of KRA Reporting Standard:</b>	
<b>If:</b>	<b>Then:</b>
Company XYZ contacts its largest customer and reports on the basis of the processing and use data that the customer was willing to provide.	Duties Likely Fulfilled
Company XYZ did not endeavor to supplement the information it already knew.	Duties Not Fulfilled
<p><b>Scenario:</b> Company XYZ has never maintained information on how a particular reportable chemical substance (chemical substance #2) is processed or used by its customers. However, it is typical for comparable manufacturers to collect such information as part of their reasonable business practices. Company XYZ has many customers but it expects that it could substantially fill this data gap by reviewing the public web site of its largest customer.</p>	
<b>Application of KRA Reporting Standard:</b>	
<b>If:</b>	<b>Then:</b>
Company XYZ reviews its largest customer’s web site, and reports on the basis of the information contained in the web site.	Duties Likely Fulfilled
Company XYZ did not endeavor to supplement the information it already knew.	Duties Not Fulfilled
<p><b>Scenario:</b> Company ABC maintains seasonal marketing data on changes in use patterns for a particular chemical substance (chemical substance #3). Comparable manufacturers typically only maintain such data on an annual basis, in line with reasonable business practices. Company ABC irrevocably loses its summer marketing data for chemical substance #3, due to an inadvertent computer malfunction. Company ABC expects that it could substantially reconstruct the missing summer marketing data by contacting its largest customer and asking the customer what it used or processed chemical substance #3 for in the past summer.</p>	
<b>Application of KRA Reporting Standard:</b>	
<b>If:</b>	<b>Then:</b>
Instead of attempting to reconstruct the summer data by contacting its largest customer, Company ABC reports on the basis of the processing and use data that it already knows (regarding the winter, spring, and fall of the year).	Duties Likely Fulfilled
Company ABC designated the information as “not known or reasonably ascertainable” simply because one of the seasonal marketing reports was missing.	Duties Not Fulfilled

Scenarios, Actions, and Outcomes	
<p><b>Scenario:</b> Company ABC has never maintained information on how a particular reportable chemical substance (chemical substance #4) is processed or used by its customers. However, it is typical for comparable manufacturers to collect such information as part of their reasonable business practices. Company ABC has one major customer and ten minor customers.</p>	
<p><b>Application of KRA Reporting Standard:</b></p>	
<b>If:</b>	<b>Then:</b>
Company ABC asks its major customer to supply information about how chemical substance #4 is processed and used, but that customer is unwilling to supply this information. Company ABC reasonably expects that the only remaining way to substantially fill this data gap would be to send a survey to its ten minor customers. Company ABC reports that the information is “not known or reasonably ascertainable” to it.	Duties Likely Fulfilled
Company ABC did not endeavor to obtain processing and use information from its customers and designated the information as “not known or reasonably ascertainable.”	Duties Not Fulfilled

### 4.3 Part I - Section A. Parent Company Information<sup>1</sup>

You must provide information about your parent company. A parent company is a company that owns or controls another company (40 CFR 704.3). For purposes of CDR, report your highest-level parent company located in the United States and, if one exists, the highest-level foreign-based parent company (40 CFR 711.15(b)(2)(i)). For each parent company, provide the company name, address, and D&B number following the instructions, including the naming conventions, provided below. Table 4-2 contains examples of how to identify the parent company(ies) in different situations.

Table 4-2. Applying Parent Company Definition in Different Situations	
<i>If the site is owned...</i>	<i>Then the U.S. and/or foreign parent company is...</i>
(1) If the site is entirely owned by a single U.S. company that is not owned by another company	then that single company is the U.S. parent company and there is no foreign parent company.
(2) If the site is entirely owned by a single U.S. company that is, itself, owned by another U.S.-based company (e.g., it is a division or subsidiary of a higher-level company)	the highest-level company in the ownership hierarchy is the U.S. parent company. If there is a higher-level parent company that is outside of the United States, the highest-level foreign company in the ownership hierarchy is the foreign parent company.
(3) If the site is owned by more than one company (e.g., company A owns 40 percent, company B owns 35 percent, and company C owns 25 percent of the site)	the highest-level U.S. company with the largest ownership interest in the site is the U.S. parent company. Under this scenario, this would be either company A itself (if it doesn't have a U.S.-based parent company), company A's parent, or, if it exists, a single parent company that owns both

<sup>1</sup> See Sec 4.8.1 for information concerning CBI claims for Parent Company Information.



	company B and company C, in which case that single parent company would have the largest ownership interest. If there is a higher-level foreign company in the site's ownership hierarchy, that company is the foreign parent company. There may be the situation where the highest U.S. company is company A's parent company but a foreign company owns both company B and company C. In this situation, the foreign parent company would be the highest-level parent company that owns companies B and C and the U.S. parent company would be the parent company of company A.
(4a) If the site is ultimately owned by a 50:50 joint venture or a cooperative	the joint venture or cooperative is its own U.S. parent company.
(4b) If the site is owned by a U.S. joint venture or cooperative	the highest level of the joint venture or cooperative is the U.S. parent company.
(4c) If the site is owned by a joint venture or cooperative outside the United States	the highest level of the joint venture or cooperative outside the United States is the foreign parent company.
(5) If the site is entirely owned by a foreign company (i.e., without a U.S.-based subsidiary within the facility's ownership hierarchy)	the site is the U.S. parent company and the highest-level foreign parent company is the foreign parent company.
(6) If the site is a federally owned facility	the highest-level federal agency or department is the U.S. parent company.
(7) If the site is owned by a non-federal public entity	that entity (such as a municipality, State, or tribe) is the U.S. parent company.

**Note: Information provided during CDX registration will populate your U.S. parent company identification information in Section A. Please double check this information to ensure all required fields are complete and accurate. If any information is incorrect or incomplete, the authorized official can make the necessary changes within eCDRweb.**

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

### 4.3.1 U.S. and Foreign Parent Company Name(s) (Block 1.A.1)

All sites must enter the full name of the U.S. parent company, and, if applicable, the full name of the foreign parent company. The U.S. parent company name is the name of the highest-level company, located in the United States, that owns the manufacturing site. If your highest-level parent company is outside of the United States, you must also identify and report both your highest-level foreign parent company and your U.S. parent company (40 CFR 711.15(b)(2)(i)).

EPA requires that parent companies be referenced consistently by the same name so that CDR site-level information can be aggregated to the associated parent company (40 CFR 711.15(b)(2)(i)). This can be challenging because filers within the same parent company often submit names with small variations (e.g., Exopack vs. Exopack Holdings Corp). When reporting your parent company name, eliminate all periods, commas, and leading, trailing, and duplicate spaces. Replace commonly used acronyms and corporate terms according to Table 4-3:

Replace AND with &	Replace LIMITED PARTNERSHIP with LP
Replace CORPORATION with CORP	Replace LIMITED with LTD
Replace ASSOCIATION with ASSOC	Replace LIMITED LIABILITY COMPANY with LLC
Replace COMPANY with CO	Replace LIMITED LIABILITY CO. with LLC
Replace COMPANIES with COS	Replace PARTNERSHIP with PTNR
Replace DIVISION with DIV	Replace U.S.A. with USA
Replace INCORP with INC	Replace U.S.A with USA
Replace INCORP. with INC	Replace U S A with USA
Replace INCORPORATED with INC	Replace UNITED STATES OF AMERICA with USA
Replace INCORPERATED with INC	Replace UNITED STATES with USA

### 4.3.2 Parent Company Dun & Bradstreet D-U-N-S® Number (Block 1.A.2)

Enter the 9-digit Dun & Bradstreet D-U-N-S® number (D&B number) associated with the parent company name entered in Block 1.A.1. The number may be obtained from the treasurer or financial officer of the company.

D&B assigns separate numbers to subsidiaries and parent companies; you should make sure that the number you provide EPA belongs to your U.S. or foreign parent company. To verify the accuracy of your site and parent company D&B number and name, go to [www.dnb.com/product/dlw/form\\_cc4.htm](http://www.dnb.com/product/dlw/form_cc4.htm) or call 1-800-234-3867. Callers to the toll-free phone number should understand that the D&B support representatives will need to verify that callers requesting the D&B number are an agent of the business. D&B recommends knowing basic information such as when the business originated, officer names, and the name, address, and phone number for the facility.

You must obtain a D&B number for your parent company if none exists. If your parent company does not have a D&B number, you can request one from your local office of D&B.

There is no charge for this service and you are not required to disclose sensitive financial information to get a number. For more information on obtaining a D&B number, see [www.dnb.com](http://www.dnb.com). If you are already listed with D&B, but do not know your number, you can call 1-800-234-3867 for assistance.

### 4.3.3 Parent Company Address (Blocks 1.A.3 through 1.A.8)

Enter the mailing address of the U.S. or foreign parent company name entered in Block 1.A.1, including the appropriate county or parish, using standard addressing techniques as established by the U.S. or international postal services. Post office box numbers should be accompanied by a street address. If a post office box is listed, it must be entered after the street address. Standardized conventions for listing a street address will be used to account for common formatting discrepancies, such as punctuation, capitalization, and abbreviations (e.g., “St.” for “Street” or “P.O. Box” for “PO Box”, etc.) and to increase the reliability and usability of the data.

## 4.4 Part I - Section B. Site Information<sup>2</sup>

EPA requires the following information to be reported for each plant site at which a reportable chemical substance is manufactured: the site name, site D&B number, street address, city, county (or parish), state, and zip code.

**Note: Information provided during CDX registration will populate your site identification information in Section B. Please double check this information to ensure all required fields are complete and accurate. If any information is incorrect or incomplete, the authorized official should make the necessary changes in CDX.**

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

<sup>2</sup> See Sec 4.8.1 for information concerning CBI claims for Site Information.

#### 4.4.1 Special Provisions for Certain Sites

The definition of site at 40 CFR 711.3 has special provisions for the following situations: importation, manufacturing by contract (i.e., co-manufacturing), and portable manufacturing units sent out from a single distribution center. In some situations, these provisions have a direct bearing on the site which must be identified in Part I, Section B of Form U.

##### 4.4.1.1 Special Provisions for Importers

The site where you import a chemical substance is considered the site of the operating unit within your organization that is directly responsible for importing the chemical substance and that controls the import transaction. For CDR, all importers must provide a U.S. address for the controlling site; this site may be your company's headquarters in the United States. If there is no such operating unit or headquarters in the United States, the site address for the importer is the U.S. address of an agent acting on the importer's behalf who is authorized to accept service of process for the importer (40 CFR 711.3). In the event that more than one person may meet the definition of "importer" (40 CFR 704.3), only one person should report. See 40 CFR 711.22(b).

**Example 4-2.** The headquarters of your company is located in New Town. Your company owns a plant site located in Old Town, which is in a different state. A headquarters employee purchases and arranges to have 500,000 lb of Chemical X imported from Japan to the Old Town plant site. The headquarters site in New Town controls the import transaction and is the site reported on Form U.

**Example 4-3.** The headquarters of your company is located in New Town. Your company owns three manufacturing sites, Sites 1, 2, and 3, all located in different states. An employee based at headquarters purchases and arranges to have 500,000 lb of Chemical X imported from Japan. The chemical is distributed as follows: 20,000 lb is delivered to Site 1; 180,000 lb is delivered to Site 2; and 300,000 lb is delivered to Site 3. The headquarters in New Town controls the import transaction for all three sites, and therefore is responsible for reporting all 500,000 lb of Chemical X. The site reported on Form U is New Town.

##### 4.4.1.2 Special Provisions for Manufacturing by Contract

For chemical substances manufactured under contract, i.e., a co-manufactured chemical, the site is the location where the chemical substance is physically manufactured (definition of *site*, 40 CFR 711.3). When a company contracts with a producing company to manufacture a chemical substance and each party meets the definition of *manufacturer* as set forth in 40 CFR 711.3, the contracting company (as the primary submitter) has the responsibility to initiate a co-manufacture report that triggers the reporting requirements for the producing company (as the secondary submitter). The contracting company reports both its site information (as the site

controlling the contract) and the producing company's site information (as the site physically manufacturing the chemical substance). The contracting company then initiates the co-manufacture report and uses e-CDRweb to send a notification to the producing company. The producing company provides all relevant information to complete the chemical information, as described in Section 4.10 and elsewhere in these Instructions.

Note that, in such cases, both the producing company and the contracting company are liable if no report is made. See 40 CFR 711.22(c). Nevertheless, even if the contracting company submits the Form U, the site is still the location where the chemical substance is physically manufactured (i.e., the producing company's location). On Form U, the contracting company reports its own site in Part I and the producing company's site in Part II. The producing company reports its own site in Part I of its own Form U submission.

#### **4.4.1.3 Special Provisions for Portable Manufacturing Units**

Two examples of portable manufacturing units are tanks used to manufacture calcium hydroxide slurry for use in building construction and road and highway projects, and tanks used to mix anhydrous ammonia and water to manufacture ammonium hydroxide prior to application on agricultural lands. EPA is interested in including chemical substance manufacturing that is, for instance, performed by road crews or is occurring at construction sites at which chemical substances are mixed on site to create a different chemical substance. Because the site of physical manufacturing could change on a frequent basis, the distribution center shall be considered the site for portable manufacturing units sent to different locations from a single distribution center. Manufacturers would report the aggregated production volume for all of the portable manufacturing units sent out to different locations from a single distribution center whose address would be reported as the site location.

#### **4.4.2 Site Name (Block 1.B.1)**

Enter the full name of the site. You should include any additional identifying terms such as Inc., Ltd., L.L.C., etc. Standardized conventions for the naming of a site will be used to address common formatting discrepancies, such as punctuation, capitalization, and abbreviations (e.g., "Corp" for "Corporation" or "Plant" for "PLANT") and to increase the reliability and usability of the data. See Section 4.3.1.

#### **4.4.3 Site Dun & Bradstreet Number D-U-N-S® (Block 1.B.2)**

D&B assigns separate numbers to subsidiaries and parent companies; make sure that the number you provide EPA in block 1.B.2 belongs to the individual site for which you are reporting. You must obtain a D&B number for the site, if none exists. If the site does not have a D&B number, you can request one from your local office of D&B. Please refer to Section 4.3.2 for information on obtaining a D&B number.

#### **4.4.4 Site Street Address (Blocks 1.B.3 through 1.B.8)**

Enter your site mailing address, including the appropriate county or parish (or other jurisdictional indicator), using standard addressing techniques as established by the U.S. Postal

Service. Post Office box numbers should be accompanied by a street address. If a Post Office box is listed, it should be listed after the street address. Standardized conventions for listing a street address will be used to account for common formatting discrepancies, such as punctuation, capitalization, and abbreviations (e.g., “St.” for “Street” or “P.O. Box” for “PO Box”, etc.) and to increase the reliability and usability of the data.

#### 4.4.5 NAICS code (Blocks 1.B.9)

Enter the appropriate six-digit North American Industry Classification System (NAICS) code or choose the correct code from the drop-down list for each site reported. The NAICS code is the standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy. Information about NAICS codes can be obtained from the U.S. Census website at <https://www.census.gov/eos/www/naics/>.

## 4.5 Part I - Section C. Public Contact Information

This section requests, but does not require, information about the person whom the general public may contact to ask questions about your company and the information in your CDR submission. The public contact provides an alternate to the technical contact for those who have more general questions, or in situations where the technical contact has been claimed as confidential. Because the public contact is intended to be made publicly available, it is not able to be claimed as confidential.

Note that there are key differences between the public contact and technical contact. The public contact should be a public-facing company representative who would be available to answer more general questions about the company or its products. The technical contact should be a person able to answer technical questions about the reported chemical substance. Typically, a person located at the manufacturing site is best able to answer such questions.

Companies may use their discretion in selecting a public contact, as provided by the e-CDRweb tool. Submitters should consider, in selecting this contact, that members of the public may have questions about a CDR submission, one or more years after the submission date. The public contact need not be the person who signed the certification statement. You can select your public contact from the drop-down list of support registrants or enter information for a new public contact.

**Note: If you select from the list of support registrants, the public contact information provided during CDX registration will populate Section C. Please double check this information to ensure all required fields are complete and accurate. If any information is incorrect or incomplete, the authorized official should make the necessary changes in CDX.**

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

#### 4.5.1 Public Contact Name (Blocks 1.C.1 and 1.C.2)

Enter the name of the person whom the public may contact for general questions about the company, its products, or clarification of information submitted on Form U.

#### 4.5.2 Public Contact Telephone Number and Email Address (Blocks 1.C.3 and 1.C.4)

Enter the public contact's telephone number, including the area code, and the contact's email address. If the public contact is outside of the United States, include the country code.

### 4.6 Part I - Section D. Technical Contact Information<sup>3</sup>

This section requests information about the person whom EPA may contact for clarification of the information in your CDR submission. The technical contact should be a person who can answer questions about the reported chemical substance(s). Typically, a person located at the manufacturing site is best able to answer such questions. However, companies may use their discretion in selecting a technical contact or multiple technical contacts, as provided by the e-CDRweb tool. Submitters should consider, in selecting the technical contact, that EPA may have follow-up questions about a CDR submission, one or more years after the submission date. The technical contact need not be the person who signed the certification statement. You can select your technical contact from the drop-down list of support registrants or enter information for a new technical contact.

**Note: This information can be manually populated or populated with your CDX information by clicking on the 'Copy CDX Registration' button. Please double check this information to ensure all required fields are complete and accurate. If any information is incorrect or incomplete, the authorized official should make the necessary changes in CDX.**

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

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<sup>3</sup> See Sec 4.8.1 for information concerning CBI claims for Technical Contact Information.

**4.6.1 Technical Contact Name and Company Name (Blocks 1.D.1 and 1.D.2)**

Enter the name of the person whom EPA may contact for clarification of information submitted on Form U. Enter the name of the company employing the technical contact. Companies may use their discretion in populating one or multiple technical contacts; however, only one technical contact can be identified per chemical report in a single Form U.

**4.6.2 Technical Contact Telephone Number and Email Address (Blocks 1.D.3 and 1.D.4)**

Enter the technical contact's telephone number, including the area code, and the contact's email address. If the technical contact is outside of the United States, include the country code.

**4.6.3 Technical Contact Mailing Address (Blocks 1.D.5 through 1.D.10)**

Enter the technical contact's full mailing address, using standard addressing techniques as established by the U.S. or international postal services, as applicable. Post Office box numbers should be accompanied by a street address. If a Post Office box is used as a mailing address, the street address should be given in Block 1.D.5 followed by the Post Office box number in Block 1.D.6. Standardized conventions for listing a mailing address will be used to account for common formatting discrepancies, such as punctuation, capitalization, and abbreviations (e.g., "St." for "Street" or "P.O. Box" for "PO Box", etc.) and to increase the reliability and usability of the data.



## 4.7 Part II - Section A. Chemical Substance Identification

You must use the Agency's Substance Registry Services (SRS) to report the chemical substance identification information consisting of the currently correct Chemical Abstracts (CA) Index Name and the correct corresponding Chemical Abstracts Service (CAS) Registry Number (CASRN), as described in Sections 4.7.2 and 4.7.4. The SRS is EPA's central system for information about chemical substances that are tracked or regulated by EPA or other sources. It is the authoritative resource for basic information about chemicals, biological organisms, and other chemical substances of interest to EPA and its state and tribal partners.

The correct CA Index Name and CASRN must be reported separately for each CDR reportable chemical substance at your site. If you wish to report a chemical substance listed on the confidential portion of the TSCA Inventory, you will need to report the chemical substance using a TSCA Accession Number (the generic name corresponding to the Accession Number will automatically be incorporated into your form). See Section 4.7.1 for details on how to report confidential chemical substances. You may also report by Metal Compound Category Name or Code if your substance(s) is: (1) an inorganic byproduct, (2) among the list of categories (Table 4-6), and (3) not excluded from category reporting (i.e., if subject to certain TSCA actions as described in §711.6). See Sections 4.7.6 – 4.7.6.2 for more details on how to report by Metal Compound Category.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

You will be able to connect directly to the SRS database from the reporting tool to report the correct CA Index Names and CASRNs for all of your non-confidential chemical substances on the TSCA Inventory. TSCA Accession Numbers and generic chemical names will be listed instead of CA Index Names and CASRNs for chemical substances on the confidential portion of the TSCA Inventory. The use of the SRS to obtain the identities for all CDR reportable chemical substances is a convenient way to meet the chemical nomenclature requirement and will help to prevent errors in the reporting of chemical identification information for the CDR. Furthermore, after choosing a chemical substance, a message will describe whether the chemical substance is on the lists of full or partial exemption chemical substances, as well as show any regulations that affect the reporting volume threshold, full or partial exemption eligibility, and/or small manufacturer exemption eligibility.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

### 4.7.1 Confidentiality of Chemical Substance Information (Block 2.A.1)

If you wish to report a chemical substance listed on the confidential portion of the TSCA Inventory, you will need to report the chemical substance using a TSCA Accession Number. The generic chemical name corresponding to the TSCA Accession Number will also be automatically incorporated into your form.

The identities of chemical substances listed on the public version of the TSCA Inventory are already publicly known. Therefore, claims for confidential treatment of the identity of a chemical substance which is listed on the public section of the TSCA Inventory are not valid and will not be allowed. In addition, metal compound categories are not specific chemical identities and therefore cannot be claimed as confidential. (40CFR711.30(a)(2)(ii))

You may claim as confidential the identity of a chemical substance that is already listed as confidential on the TSCA Inventory (40 CFR 711.30(b)). To do so, you must check the appropriate CBI box in Part II, Section A and submit detailed written answers to the substantiation questions listed in Table 4-4. The confidential claim is only applicable to the information as it is listed on the confidential portion of the TSCA Inventory; the corresponding accession number and generic name listed on the public portion of the TSCA Inventory is already public and cannot be claimed as confidential.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

CBI claims for chemical identity will be accepted only when accompanied by a separate written substantiation for the chemical substances claimed as CBI. Clicking the checkbox next to “CBI for Chemical Identification” triggers the substantiation questions to appear. If you fail to substantiate the claim for confidentiality of the chemical identity in accordance with applicable rules, EPA may make the information available to the public without further notice to you. Note that checking this box does not protect the link between your company and the chemical substance; it only asserts a CBI claim for the specific identity of the chemical substance as listed on the confidential portion of the TSCA Inventory.

**Table 4-4. Substantiation Questions to be Answered when Asserting Chemical Identity CBI Claims (40 CFR 711.30(b) and (c))**

No.	Question
1.	Will disclosure of the information claimed as confidential likely cause substantial harm to your business’s competitive position? If you answered yes, explain the substantial harm.
2.	To the extent your business has disclosed the information to others (both internally and externally), has your business taken precautions to protect the disclosed information? If yes, please explain and identify the specific measures or internal controls your business has taken to protect the information claimed as confidential.

No.	Question
3.	Does any of the information claimed as confidential appear in any public documents, including (but not limited to) safety data sheets, advertising or promotional material, professional or trade publications, or any other media or publications available to the general public? If you answered yes, explain why the information should be treated as confidential.
4.	Does any of the information you are claiming as confidential constitute a trade secret?
5.	Is the claim of confidentiality intended to last less than 10 years (see TSCA section 14(e)(1)(B))? If so, indicate the number of years (between 1–10 years) or the specific date after which the claim is withdrawn.
6.	Has EPA, another federal agency, or court made any confidentiality determination regarding information associated with this chemical substance? If yes, provide the circumstances associated with the prior determination, whether the information was found to be entitled to confidential treatment, the entity that made the decision, and the date of the determination.
7.	<p>Is this chemical substance publicly known to be in U.S. commerce by a specific chemical identity or name that is consistent with its listing on the confidential portion of the TSCA Inventory? If yes, explain why the chemical identity should still be afforded confidential status (i.e. the chemical is publicly known only as being distributed in commerce for research and development purposes). If no, complete the certification statement:</p> <p style="padding-left: 40px;">I certify that on the date referenced, I searched the internet for the chemical substance identity (i.e., by both chemical substance name and CASRN). I did not find a reference to this chemical substance which would indicate the chemical is being manufactured or imported for a commercial purpose and is available in the United States by anyone. [provide date].</p>
8.	Does this particular chemical substance leave the site of manufacture (including import) in any form, e.g., as product, effluent, emission? If so, what measures have been taken to guard against the discovery of its identity?
9.	If the chemical substance leaves the site in a product that is available to the public or your competitors, can the chemical substance be identified by analysis of the product?
10.	Would disclosure of the specific chemical name release confidential process information? If yes, please explain.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

### 4.7.2 Chemical Substance Identifying Number (Block 2.A.2)

Every chemical substance reported in accordance with CDR must be accompanied by its correct CASRN, corresponding to the chemical substance's specific chemical name as described in 4.7.4. (40 CFR

711.15(b)(3)(i)). You may enter either a CASRN (Block 2.A.2) or the specific name of the chemical substance (Block 2.A.4) to select the appropriate CASRN/Chemical Abstracts (CA) Index Name combination from the SRS database. See Section 4.7.6 for information about the alternative method of reporting for certain inorganic byproduct chemical substances.

Report the correct CASRN for your chemical substance if it is listed on the non-confidential portion of the TSCA Inventory. If your chemical substance is listed on the confidential portion of the TSCA Inventory and you wish to continue having the chemical identity be confidential, report the EPA-designated TSCA Accession Number. Each TSCA Inventory chemical substance has at least one of these types of numbers.

EPA is requiring that you report only the CASRN as a chemical identifying number, except in the cases of confidential chemical substances or category reporting. In the case of confidential chemical substances, EPA is requiring that you report only the TSCA Accession Number as a chemical identifying number. If, in the past, you reported using the PMN case number of a confidential substance, you can use the PMN case number to search the SRS to populate the pertinent chemical identification information for the confidential chemical substance listed on the TSCA Inventory. In the SRS, you can readily find a cross-reference list that displays the Accession Number, generic chemical name, and the PMN case number (or for an initial TSCA Inventory substance, the TSCA Inventory reporting form number) for any confidential chemical substance listed on the TSCA Inventory. You can then select from the SRS the correct Accession Number corresponding to the confidential chemical substance intended to be reported (the generic name corresponding to the Accession Number will automatically be incorporated into your report).

There are certain circumstances where you occasionally may not be sure of the particular PMN case number and Accession Number the Agency has assigned to one of its confidential chemical substances, such that you would not be able to definitely determine this solely from searching the SRS. This could happen, for example, if the chemical substance were originally reported as part of a consolidated PMN and you did not learn from EPA which particular case number in the consolidated PMN number sequence corresponds to which of the several reported confidential chemical substances. This could also happen if a certain PMN represented a mixture of two or more confidential chemical substances, such that multiple Accession Numbers were assigned to the different chemical substances reported in that single PMN, and you didn't already request the particular Accession Numbers from EPA for the individual chemical substances comprising that multi-component type of PMN. In such circumstances, you should contact EPA well before initiating CDR reporting to obtain the required Accession Numbers from the Agency.

Submitters who are not able to identify the Accession Number by searching the SRS should contact EPA, in writing on company letterhead, well before initiating CDR reporting to obtain the Accession Number assigned when the Notice of Commencement (NOC) was submitted to the Agency. Individuals are urged to submit a complete and accurate TSCA Inventory Correspondence at least one month before the submission deadline. Note that incomplete and/or inaccurate requests may be rejected. The Agency will respond to such inquiries in as timely a manner as possible. It is the responsibility of the submitter to contact the

Agency for such information in sufficient time to allow for the Agency to respond.

Please send requests for a TSCA Accession Number as soon as possible to:

**By U.S. Postal Service:**

U.S. Environmental Protection Agency  
Office of Pollution Prevention and  
Toxics 1200 Pennsylvania Ave, NW  
(7407M) Room 6428  
Washington, DC 20460  
Attention: Industrial Chemistry Branch

**By Hand Delivery or Courier:**

U.S. Environmental Protection Agency  
Office of Pollution Prevention and  
Toxics Confidential Business  
Information Center EPA East Building,  
Room 6428  
1201 Constitution Ave,  
NW Washington, DC  
20004  
202-564-8930; 202-564-8940

### 4.7.3 ID Code (Block 2.A.3)

The code corresponding to the type of identifying number you selected in the SRS will be entered in Block 2.A.1. See codes in Table 4-5.

**Table 4-5. ID Code for Chemical Identifying Numbers**

If the Number You are Reporting is a(n)	This Code Will be Entered
TSCA Accession Number	A
TSCA Metal Compound Category Code	M
CAS Registry Number	C

### 4.7.4 Chemical Name (Block 2.A.4)

EPA is requiring the reporting of the CA Index Name currently used to list the chemical substance on the TSCA Inventory as the chemical name reported for CDR. You may enter either a CASRN (Block 2.A.2) or the specific name of the chemical substance (Block 2.A.4) to select the appropriate CASRN/Chemical Abstracts (CA) Index Name combination from the SRS database.

In cases where a chemical substance is listed on the confidential portion of the TSCA Inventory, you are to report the chemical substance's Accession Number which is listed on the non-confidential portion of the TSCA Inventory and is included in the SRS (the generic name corresponding to the Accession Number will automatically be incorporated into your report). In order to continue to protect the confidentiality of the underlying specific chemical identification information (i.e., the CASRN and specific chemical name), you must claim the chemical identity as CBI and complete the upfront substantiation. Doing so will maintain the confidentiality of the underlying specific chemical name and CASRN of the confidential chemical substance. The Accession Number and generic chemical name will remain non-confidential. Failure to identify the chemical identity as CBI and complete the upfront substantiation will waive any CBI claim to the chemical identity and will result in the transfer of the chemical substance from the

confidential portion of the TSCA Inventory to the non-confidential, publicly releasable, portion of the TSCA Inventory.

For those who are eligible, you alternately may enter a TSCA Metal Compound Category Name or Code. See Section 4.7.6 for additional information.

#### 4.7.5 Special Provisions for Manufacturing by Contract

When a company contracts with a producing company to manufacture a chemical substance and each party meets the definition of *manufacturer* as set forth in 40 CFR 711.3, the contracting company (as the primary submitter) has the responsibility to initiate a co-manufacture report that triggers the reporting requirements for the producing company (as the secondary submitter). The contracting company completes the chemical identity fields described in Sections 4.7.1-4.7.4 of this document and may provide a trade name or other alternate identifier for communicating with the producing company.

#### 4.7.6 Special Optional Provision for Manufacturers of Inorganic Byproducts

Manufacturers of inorganic byproducts may choose to report an inorganic byproduct chemical substance using a designated metal compound category instead of as a specific chemical substance (as described in 4.7.2 – 4.7.4), unless the chemical substance is excluded from reporting in categories (i.e., if subject to certain TSCA actions as described in §711.6). Metal compound categories are listed in Table 4-6. For purposes of determining whether any of the thresholds specified in §711.8 are met for a metal compound category, you must make the threshold determination based on the total amount of all members of the metal compound category manufactured at the site. A variety of possible reporting scenarios can be found in [Fact Sheet: Optional Reporting in Metal Categories for Inorganic Byproducts](#) [Note: the draft version of this fact sheet is called “CDR Support Document: Proposed Optional Reporting in Metal Categories for Inorganic Byproducts”]. These scenarios are intended to serve as a general aid in appropriately reporting by category rather than by individual TSCA Inventory-defined substance, but they will not necessarily account for each potential circumstance of every particular industry and production process.

##### 4.7.6.1 Excluded substances

Substances excluded from reporting in categories include three categories of substances:

- *Carbonic acid, barium salt (1:1)* (referred to as Barium carbonate) (CASRN 513-77-9);
- Chemical substances subject to the rules, orders, or other TSCA actions described in §711.6; and
- Chemicals undergoing risk assessment or evaluation under TSCA section 6, as listed on EPA’s CDR website at <https://www.epa.gov/cdr>.

##### 4.7.6.2 Confidentiality claims when reporting in a category

You cannot claim a metal compound category as confidential because the categories are not specific chemical identities listed on the confidential portion of the TSCA Inventory.

#### Table 4-6. Metal Compound Categories for Inorganic Byproduct Chemical Substances Only

Code	Category Name
M01	Antimony and Antimony Compounds: Includes any unique chemical substance that contains antimony as part of that chemical's structure
M02	Arsenic and Arsenic Compounds: Includes any unique chemical substance that contains arsenic as part of that chemical's structure
M03	Barium and Barium Compounds: Includes any unique chemical substance that contains barium as part of that chemical's structure
M04	Beryllium and Beryllium Compounds: Includes any unique chemical substance that contains beryllium as part of that chemical's structure
M05	Cadmium and Cadmium Compounds: Includes any unique chemical substance that contains cadmium as part of that chemical's structure
M06	Chromium and Chromium Compounds: Includes any unique chemical substance that contains chromium as part of that chemical's structure
M07	Cobalt and Cobalt Compounds: Includes any unique chemical substance that contains cobalt as part of that chemical's structure
M08	Copper and Copper Compounds: Includes any unique chemical substance that contains copper as part of that chemical's structure
M09	Lead and Lead Compounds: Includes any unique chemical substance that contains lead as part of that chemical's structure
M10	Manganese and Manganese Compounds: Includes any unique chemical substance that contains manganese as part of that chemical's structure
M11	Mercury and Mercury Compounds: Includes any unique chemical substance that contains mercury as part of that chemical's structure
M12	Molybdenum and Molybdenum compounds. Includes any unique chemical substance that contains molybdenum as part of that chemical's structure
M13	Nickel and Nickel Compounds: Includes any unique chemical substance that contains nickel as part of that chemical's structure
M14	Selenium and Selenium Compounds: Includes any unique chemical substance that contains selenium as part of that chemical's structure
M15	Silver and Silver Compounds: Includes any unique chemical substance that contains silver as part of that chemical's structure
M16	Thallium and Thallium Compounds: Includes any unique chemical substance that contains thallium as part of that chemical's structure
M17	Vanadium and Vanadium compounds. Includes any unique chemical substance that contains vanadium as part of that chemical's structure
M18	Zinc and Zinc Compounds: Includes any unique chemical substance that contains zinc as part of that chemical's structure

#### 4.7.7 Special Provisions for Joint Submitters of Unknown Chemical Substances

You may report an alternate chemical name, and in the case of importers, a trade name, in those instances where your supplier will not disclose to you the specific chemical name of the imported TSCA Inventory chemical substance or a reactant used to manufacture the TSCA Inventory chemical substance because the information is claimed confidential. In these cases, you and the supplier may report the information required in a joint submission, which is further discussed in Section 4.11 of this chapter. If you as the importer cannot provide the chemical name, supply a trade name or other designation to identify the proprietary chemical substance and provide the supplier's (secondary submitter's) company information. Complete as much of

the Form U as is known to or reasonably ascertainable by you. In addition, you must use e-CDRweb to ask the supplier (secondary submitter) of the confidential chemical substance to directly provide EPA with the correct chemical identity (as described in Section 4.7.2), in a joint submission with you. Your request to the supplier must include instructions for submitting chemical identity information electronically, using e-CDRweb and CDX (see 40 CFR 711.35), and for clearly referencing your submission. Contact information for the supplier, a trade name or other designation for the chemical substance or mixture, and a copy of the request to the supplier must be included with your submission for the chemical substance.

Similarly, in the event that you as the manufacturer cannot provide the complete chemical identity because you manufacture the reportable chemical substance using a reactant that has a specific chemical identity claimed as confidential by its supplier, supply a trade name or other designation to identify the proprietary chemical substance and provide the supplier's (secondary submitter's) company information. Complete as much of the Form U as you can. In addition, you must use e-CDRweb to ask the supplier to directly provide to EPA the correct chemical identity of the confidential reactant in a joint submission. Such request must include instructions for submitting chemical identity information electronically using e-CDRweb and CDX (see 40 CFR 711.35), and for clearly referencing your submission. Contact information for the supplier, a trade name or other designation for the chemical substance, and a copy of the request to the supplier must be included with your submission referencing the chemical substance.

In both cases, if the secondary submitter chooses to respond to the primary submitter's request, the secondary submitter would use e-CDRweb to identify the chemical substance in question and the percent composition (4.D.2.d) and the chemical-specific function (4.D.2.e) of each component chemical substance of the trade name product or mixture.

These special provisions only apply in cases where the supplier will not reveal the pertinent chemical identity to you because it is claimed confidential. In the event that you actually know the chemical identity of a chemical substance subject to CDR reporting, you must provide that information irrespective of a supplier's confidentiality claims.

EPA will only accept joint submissions that are submitted electronically using e-CDRweb and CDX (see 40 CFR 711.35) and that clearly reference the Form U submission to which they refer. See Section 4.11 in this chapter for more information on preparing joint submissions.



## 4.8 Part II - Section B. Manufacturing Information

The following subsections describe the manufacturing information required to be reported for each chemical substance.

### **Update regarding substantiation requirements for claims of confidentiality:**

All claims of confidentiality, except for information exempt from substantiation under TSCA section 14(c)(2) such as production volume information (including domestic manufacture and import), and certain information in joint submissions, must be substantiated at the time of submission as required by TSCA section 14(c)(3).

EPA modified the electronic reporting applications for TSCA submissions to accept CBI substantiations for CBI claims made during the creation of electronic submissions. Specific instructions are available in the e-CDRweb User Guides for [Primary Authorized Official](#), [Primary Support](#), [Secondary Authorized Official](#), or [Secondary Support](#).

For information on EPA's policy of reviewing CBI claims, visit [EPA Review and Determination of CBI Claims under TSCA](#) on the EPA website.

### **4.8.1 Confidentiality of Company, Site, and Technical Contact Information (Blocks 2.B.1 through 2.B.3)**

Check the appropriate CBI box in this block and complete the substantiation questions to assert a confidentiality claim for the link between the chemical substance and the company, site, or technical contact identity reported in Part I. Checking the CBI box automatically triggers the substantiation questions. See Table 4-7 for substantiation questions related to these data elements. If you fail to substantiate your CBI claims in accordance with the statute and applicable rules, EPA may make the information available to the public without further notice to you.

You may claim the connection between chemical substance and company, site, or technical contact as confidential for some chemical substances for which you are reporting, while not making the claim for others (each chemical substance is reported separately in Form U). EPA will not impute the existence of a CBI claim for one chemical substance from a CBI claim associated with a different chemical substance.

EPA also has observed that submitters sometimes claim only their company identity, but not their site identity, as confidential. EPA will not impute the existence of a CBI claim for site identity from a CBI claim for company identity, even if the company name appears within the site identity information. In other words, if your intent is to claim company name as confidential you must claim all data elements that reference or allude to company name as CBI. The failure to do this will likely result in a denial of a CBI claim for company name.

**Table 4-7. Substantiation Questions to be Answered when Asserting Company, Site, or Technical Contact Identity CBI Claims (40 CFR 711.30(c)(1))**

No.	Question
1.	Will disclosure of the information claimed as confidential likely cause substantial harm to your business's competitive position? If you answered yes, explain the substantial harm.
2.	To the extent your business has disclosed the information to others (both internally and externally), has your business taken precautions to protect the disclosed information? If yes, please explain and identify the specific measures or internal controls your business has taken to protect the information claimed as confidential.
3.	Does any of the information claimed as confidential appear in any public documents, including (but not limited to) safety data sheets, advertising or promotional material, professional or trade publications, or any other media or publications available to the general public? If you answered yes, explain why the information should be treated as confidential.
4.	Does any of the information you are claiming as confidential constitute a trade secret?
5.	Is the claim of confidentiality intended to last less than 10 years (see TSCA section 14(e)(1)(B))? If so, indicate the number of years (between 1–10 years) or the specific date after which the claim is withdrawn.
6.	Has EPA, another federal agency, or court made any confidentiality determination regarding information associated with this chemical substance? If yes, provide the circumstances associated with the prior determination, whether the information was found to be entitled to confidential treatment, the entity that made the decision, and the date of the determination.
7.	Has company, site, or technical contact identity information been linked with a reportable chemical substance in any public document or in any other Federal, State, or local reporting scheme? For example, is the chemical identity linked to a facility in a filing under the Emergency Planning and Community Right-to-Know Act (EPCRA) section 311, namely through a Safety Data Sheet (SDS)? If yes, explain why the information should be treated as confidential.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

#### 4.8.2 Reporting Manufacturing Information for Calendar Year 2019 (Blocks 2.B.4. through 2.B.21)

This section of the CDR describes the manufacturing data elements that should be reported for your CDR reportable chemical substance for the calendar year 2019, the principal reporting year for the 2020 submission period. If any information is not known or reasonably ascertainable by you (including your company), enter or select “NKRA” for “not known or reasonably ascertainable” in the box corresponding to that data element. You may also check the CBI box next to each data element to claim data as confidential. However, keep in mind that you **cannot** claim an “NKRA” designation as confidential.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

#### **4.8.2.1 Activity (Domestically Manufacture and/or Import) (Block 2.B.4)**

The “Manufacture” and/or “Import” boxes will be automatically checked once you enter volume information in Blocks 2.B.5 and 2.B.6.

#### **4.8.2.2 Domestically Manufactured Production Volume (Block 2.B.5)**

Report the volume of the chemical substance domestically manufactured at your site during calendar year 2019, in pounds. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. Production volumes should be reported in numeric format, without commas (e.g., 6352000). For example, “2 million” or “2 E6” are not acceptable, nor are production volumes with decimals or abbreviations such as M (e.g., 12,000,000 = 12M) or K (e.g., 50,000 = 50K).

#### **4.8.2.3 Imported Production Volume (Block 2.B.6)**

Report the volume of chemical substance imported by your site in 2019, in pounds. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. You should use the same numeric format as described for Block 2.B.5, domestically manufactured production volume. Imported and domestically manufactured production volumes are reported separately for each chemical substance at each site. e-CDRweb has built-in validation systems that provide automated chemical identity and threshold checks.

Note that if you import various mixtures containing reportable chemical substances, you should add all import volumes associated with each chemical substance. For instance, if you import three mixtures and each mixture contains Chemical A, then you would determine the volume of Chemical A in each mixture and report the aggregated amount.

#### **4.8.2.4 For Imported Chemical Substances, Is the Chemical Never Physically at Site? (Block 2.B.7)**

Use the drop-down box to select one of the following choices:

Y = Yes, the imported chemical substance is never physically at the reporting site (e.g., if you ship the chemical substance from a foreign country directly to another location such as a warehouse, a processing or use site, or a customer’s site),

N = No, the imported chemical substance is actually physically present at the site.

NKRA = It is not known to or reasonably ascertainable by you whether the imported chemical substance is physically present at the site.

#### 4.8.2.5 Volume Used On-Site (Block 2.B.8)

Report the total volume of the domestically manufactured and imported chemical substance used at the reporting site, in pounds. The number represents the volume of the chemical substance that does not leave the manufacturing site and is consumed or chemically reacted on-site. Do not include volumes that are only stored on-site or mixed with other chemical substances, without reaction, and then stored on-site or moved off-site.

The volume used on-site should not exceed the sum of the domestically manufactured and imported volumes minus the volume exported (i.e., (Block 2.B.5 + Block 2.B.6) – Block 2.B.9). If you report “Y” in Block 2.B.7, indicating that the imported chemical substance is never physically present at the reporting site (for example because you ship it directly from a foreign supplier to your client’s warehouse), you would report “0” in block 2.B.8, because that volume is not used at your site. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. You should use the same numeric format as described for Block 2.B.5, domestically manufactured production volume. e-CDRweb has built-in validation systems that provide automated chemical identity/threshold checks.

#### 4.8.2.6 Volume Exported (Block 2.B.9)

Report the volume directly exported and not domestically processed or used, in pounds. The volume exported should not exceed the sum of the domestically manufactured and imported volumes minus volume used on site (i.e., (Block 2.B.5 + Block 2.B.6 – Block 2.B.8). Note that direct exporting includes sending a chemical substance to a distributor who then exports it without repackaging it, even if it is relabeled. Direct exporting does not include sending a chemical substance to a distributor who repackages and relabels it. The latter case would be considered a processing and use activity potentially reportable under Part III of Form U. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. You should use the same numeric format as described for Block 2.B.5, domestically manufactured production volume.

**Table 4-8. Examples of Reporting Volumes for Part II Manufacturing Information**

Description	2020 Reporting Requirement
Site 1 domestically manufactures 30,000 lb of Chemical X.	Site 1 should report 30,000 lb as domestically manufactured for Chemical X. The total production volume (i.e., the domestically manufactured volume) should be used to report the remaining CDR information.
Site 2 domestically manufactures 15,000 lb of Chemical X and directly imports 15,000 lb of Chemical X.	Site 2 should report 15,000 lb as domestically manufactured. Because Site 2 controls the import transaction, Site 2 should also report 15,000 lb as imported for Chemical X. The total production volume (i.e., sum of the domestically manufactured and import volumes) should be used to report the remaining CDR information.

Site 3 domestically manufactures 30,000 lb of Chemical X. Of the 30,000 lb manufactured, Site 3 directly exports 10,000 lb to a foreign customer.	Site 3 should report 30,000 lb as domestically manufactured and 10,000 lb as exported for Chemical X. The volume not directly exported should be used to report the remaining CDR information.
Site 4 domestically manufactures 70,000 lb and imports 30,000 lb of Chemical X. Site 4 uses 20,000 lb of Chemical X on site.	Site 4 should report 70,000 lb as domestically manufactured, 30,000 lb as imported and 20,000 lb as used on site. The total production volume (i.e., sum of the domestically manufactured and import volumes) should be used to report the remaining CDR information.
In 2019, Company B coordinates the import of 100,000 lb of Chemical X, which is imported directly to three different sites owned by Company B. Site 5 receives 40,000 lb and Sites 6 and 7 each receive 30,000 lb of Chemical X.	Company B should report 100,000 lb as imported for Chemical X. The total production volume (i.e., the imported volume) should be used to report the remaining CDR information. Because the three sites controlled by Company B did not control the import transaction, the sites are not required to report the imported volumes.
Site 6 domestically manufactures 10,000 lb of Chemical X, which is not the subject of any of the certain TSCA actions	Site 6 is not required to report because production was less than 25,000 lb. Note that if Chemical X were the subject of one of the listed TSCA actions, reporting would be required because the production volume exceeds the 2,500 lb threshold.

#### 4.8.2.7 Number of Workers (Block 2.B.11)

Report the total number of workers reasonably likely to be exposed to each reportable chemical substance at each site during calendar year 2019 (40 CFR 711.15(b)(3)(viii)). For Block 2.B.11, use the drop-down box to select the code corresponding to the appropriate range for the number of workers reasonably likely to be exposed to a reportable chemical substance during manufacture. Table 4-9 shows the codes and ranges which appear in the drop-down box.

**Table 4-9. Codes for Reporting Number of Workers Reasonably Likely to be Exposed**

Code	Range of Workers Reasonably Likely to be Exposed
W1	Fewer than 10 workers
W2	At least 10 but fewer than 25 workers
W3	At least 25 but fewer than 50 workers
W4	At least 50 but fewer than 100 workers
W5	At least 100 but fewer than 500 workers
W6	At least 500 but fewer than 1,000 workers
W7	At least 1,000 but fewer than 10,000 workers
W8	At least 10,000 workers

“Reasonably likely to be exposed” means “an exposure to a chemical substance which, under foreseeable conditions of manufacture, processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures” (40 CFR 711.3).

Persons reasonably likely to be exposed to a chemical substance include workers whose employment requires them to pass through areas where chemical substances are manufactured, processed, or used (e.g., production workers and foremen, process engineers, and plant managers). Workers employed to drive vehicles which transport the chemical substance should be included in the number of workers reasonably likely to be exposed to the chemical substance if they come into contact with the chemical substance during loading or unloading. For example, workers engaged in the connection or disengagement of hoses used to load or unload the chemical substance should be included. However, workers involved solely with transporting chemical substances in sealed containers that are totally enclosed with no potential for exposure should not be included.

In addition, when a site employs temporary, seasonal, or contract workers in the manufacture of a reportable chemical substance, these workers should be included in the number of workers reasonably likely to be exposed to a chemical substance if they work in areas where the chemical substance is manufactured. The term does not include those employees whose jobs are not associated with potential exposures to a chemical substance or mixture (e.g., administrative staff who never enter areas where the chemical substance is manufactured) and who are unlikely to be exposed to a chemical substance for even a brief period of time. No allowance is made for personal protective equipment or for engineering controls that reduce but do not preclude exposure to a chemical substance; however, if contact between a worker and a chemical substance is highly improbable, the worker should not be included among those persons reasonably likely to be exposed to the chemical substance.

When there is no potential exposure to a chemical substance, the code W1 corresponding to fewer than 10 workers would be reported. This would be the case, for instance, when a chemical substance is imported in sealed containers and resold without repackaging or is shipped from a foreign source directly to a customer.

#### **4.8.2.8 Maximum Concentration (Block 2.B.12)**

Report the maximum concentration, measured by percentage of weight, of your reportable chemical substance at the time it is reacted on-site to produce a different chemical substance (site-limited) or as it leaves the site (40 CFR 711.15(b)(3)(ix)). The concentration must be accurate to the extent that information is known to or reasonably ascertainable by you. In your determination of the maximum concentration, do not include concentrations of the product sent off-site for non-commercial purposes (40 CFR 710.1(a)).

For each chemical substance, from the drop-down box, select the code which corresponds to the appropriate maximum concentration range of the chemical substance. Table 4-10 shows the codes and concentration ranges which appear in the drop-down box. If the maximum concentration falls between two ranges, round your estimate to the nearest one percent using standard rounding procedures. Report the code that corresponds to the appropriate range. Report the maximum concentration regardless of the various physical forms in which the chemical substance may be sent off-site or reacted on-site to produce a different chemical substance.

**Table 4-10. Codes for Reporting Maximum Concentration**

Code	Concentration Range (weight percent)
M1	Less than 1% by weight
M2	At least 1 but less than 30% by weight
M3	At least 30 but less than 60% by weight
M4	At least 60 but less than 90% by weight
M5	At least 90% by weight

#### **4.8.2.9 What Percentage of this Chemical Substance is Being Manufactured as a Byproduct? (Block 2.B.13)**

Estimate the percentage of total 2019 production volume that is being manufactured as a byproduct. The percentage should be accurate to the extent that it is known to or reasonably ascertainable by you. Round your estimates to the nearest 10 percent of production volume (40 CFR 711.15(b)(3)(vi)). If you would like to provide more specific percentages, please do so. Do not round a particular percentage that accounts for less than five percent of the total production volume to zero percent, but instead report to the nearest one percent of production volume (40 CFR 711.15(b)(3)(vi)). Table 4-11 provides examples of reporting percentages of manufacturing as a byproduct.

If you do not know or cannot reasonably ascertain information about how much of your production volume is manufactured as a byproduct, you may use the response NKRA in lieu of an estimated percentage.

#### **How to determine your percent production volume:**

1. Determine the production volume that is manufactured as a byproduct.
2. Determine your total production volume for 2019.
  - a. Add together the volume domestically manufactured and the volume imported.
  - b. DO NOT subtract the volume used on-site or the volume exported
3. Divide the volume determined in step 1 by the volume determined in step 2 and multiply by 100.

#### **4.8.2.10 Is the Chemical Substance Being Recycled? (Block 2.B.14)**

Use the drop-down box to select one of the following choices:

Y = Yes, the manufactured chemical substance, such as a byproduct, is to be recycled or otherwise used for a commercial purpose instead of being disposed of as a waste or included in a waste stream.

N = No, the manufactured chemical substance, such as a byproduct, is not to be recycled or otherwise used for a commercial purpose instead of being disposed of as a waste or included in a waste stream.

NKRA = It is not known to or reasonably ascertainable by you whether the

manufactured chemical substance, such as a byproduct, is to be recycled or otherwise used for a commercial purpose instead of being disposed of as a waste or included in a waste stream.

By selecting “Yes,” you indicate that the manufactured chemical substance, which otherwise would be disposed of as a waste, is being removed from the waste stream and is being used or reused for a commercial purpose (40 CFR 711.15(b)(3)(vii)). Table 4-11 provides examples of reporting recycling activities.

**Table 4-11. Examples of Reporting Byproduct Percentages and Recycling**

Description	2020 Reporting Requirement
Site 1 manufactures 500,000 lb of Chemical X, 165,000 lbs of which (or 33%) is manufactured as a byproduct and then recycled instead of being disposed of as a waste. You may either report the exact percentage or round to the nearest 10% (i.e. 30% manufactured as a byproduct).	On line 2.B.13 of Form U, enter either 33% or 30% for the amount of 2019 production volume recycled. On line 2.B.14 of Form U, enter Y as the chemical is being recycled.
Site 2 manufactures 500,000 lb of Chemical Y, 3% (15,000 lb) of which is manufactured as a byproduct.	On line 2.B.13 of Form U, enter 3% because less than 5% of the production volume is manufactured as a byproduct.
Site 3 manufactures 12,000,000 lb of Chemical Z for processing for incorporation into a mixture. Of the production volume, 92% (11,040,000 lb) is processed for incorporation and 8% (960,000 lb) is shipped to a waste management facility that also recycles certain materials. The manufacturer cannot reasonably ascertain whether this portion of Chemical Z is being recycled or disposed of as a waste.	On line 2.B.13 of Form U, enter either 8% or 10% for the percentage of 2019 production volume that is a byproduct. On line 2.B.14 of Form U, enter NKRA as the manufacturer does not know and cannot reasonably ascertain whether Chemical Z is being recycled or disposed of as a waste.

#### **4.8.2.11 Physical Form and Percentage of Production Volume (Blocks 2.B.15 through 2.B.21)**

Report all physical forms of the chemical substance at the time it is reacted or as it leaves your site and the percentage of production volume (including both domestically manufactured and imported volumes) for each physical form (40 CFR 711.15(b)(3)(x)). For each chemical substance at each site, the submitter must report as many physical forms as applicable by selecting the appropriate blocks which correspond to the following six physical forms:

- Dry Powder
- Pellets or Large Crystals
- Water- or Solvent-Wet Solid
- Other Solid
- Gas or Vapor
- Liquid

Select “Not Known or Reasonably Ascertainable (NKRA)” if the physical form of the chemical substance is not known to or reasonably ascertainable by you.

Report the percentage of the total production volume of the chemical substance for each



physical form reacted onsite or sent off-site rounded off to the closest 10 percent (40 CFR 711.15(b)(3)(ix)). If the chemical substance is sent off-site in more than one physical form, report all the physical forms in which it is sent off-site. These percentages may total more or less than 100% due to rounding.

**Example 4-5. Determining Percentage of Production Volume**

Company A domestically manufactures 75,000 lb and imports 25,000 lb of Chemical X, for a total production volume of 100,000 lb. Forty-eight percent (48,000 lb) of the production volume is produced as dry powder, 24 percent (24,000 lb) is produced as pellets, 24 percent (24,000 lb) as a liquid solution, and 4 percent (4,000 lb) as a water-wet solid. Company A would report the following:

Dry Powder	50%
Pellets or Large Crystals	20%
Water- or Solvent-Wet Solid	0%
Other Solid	0%
Gas or Vapor	0%
Liquid	20%

#### 4.8.3 Reporting Past Production Volume (PV) (Block 2.B.22)

If the reporting threshold of 25,000 pounds is met or exceeded during any calendar year since 2015 (or 2,500 lb or more for chemical substances subject to certain TSCA actions), reporting is required for each calendar year in the CDR submission period. Report the total volume of the chemical substance manufactured at your site (includes domestically manufactured and imported volumes) during calendar year 2016, 2017, and 2018 in pounds. Report the production volume to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. Production volumes should be reported in numeric format, with or without commas (i.e., 58,000 or 6352000). For example, “2 million” or “2 E6” are not acceptable, nor are production volumes with decimals or abbreviations such as M (e.g., 12,000,000 = 12M) or K (e.g., 50,000 = 50K).

#### 4.8.4 Special Provisions for Manufacturing by Contract

When a company contracts with a producing company to manufacture a chemical substance and each party meets the definition of *manufacturer* as set forth in 40 CFR 711.3, the contracting company (as the primary submitter) has the responsibility to initiate a co-manufacture report that triggers the reporting requirements for the producing company (as the secondary submitter). Information in Part II Section B of Form U is reported in part by the contracting company and in part by the producing company.

If known or reasonably ascertainable, the contracting company must complete the chemical identity field and the volume manufactured. The producing company must report the volume manufactured and the rest of the Part II information not already reported by the contracting company.

## 4.9 Part III - Processing and Use Information

In addition to completing Parts I and II, you must complete Part III of Form U for reportable chemical substances manufactured (including imported), unless the chemical substance is partially exempt. See Sections 2.3.2 and 2.3.3 to determine whether you qualify for a partial exemption. You should report the processing and use activities for the total 2019 production volume reported (both domestically manufactured (Block 2.B.5) and imported (Block 2.B.6)) in Part II.

Information regarding processing or use activities must be reported to the extent that it is known to or reasonably ascertainable by the submitter (40 CFR 711.15(b)(4)).

The processing or use information should be reported to the extent that it is known to or reasonably ascertainable by you (40 CFR 711.15). Under the “known to or reasonably ascertainable by” standard, a submitter would therefore prepare its report about the processing and use of a chemical substance it manufactures (including imports), without confining its inquiry solely to what is known to managerial and supervisory employees, but would also be expected to review information which the manufacturer (including importer) may have in their possession or control, plus all information that a reasonable person similarly situated might be expected to possess, control, or know. The inquiry would be as extensive as a reasonable person, similarly situated, might be expected to perform within the organization. Information derived from customer surveys or other customer contacts, like any other information, would be “known to” the submitter if it is available after a reasonable inquiry within the organization. The standard does not necessarily require that the manufacturer conduct an exhaustive survey of all employees.

For further clarity, submitters are not required to conduct a new or additional customer survey (i.e., to pose a comprehensive set of identical questions to multiple customers) under this standard. If particular information cannot be derived or reasonably estimated from the information available to the company without conducting further customer surveys, it is not “known to or reasonably ascertainable” to the submitter for purposes of the CDR. However, to the extent that customer surveys are already in the submitter’s possession or control, and to the extent that reasonable efforts to analyze or derive information from already-available customer surveys may inform processing and use information that is reported, the information is generally “known to or reasonably ascertainable.” Section 4.2 contains additional information on the “known to or reasonably ascertainable by” reporting standard.

If any information is not known or reasonably ascertainable by you (including your company), enter or select “NKRA” for “not known or reasonably ascertainable” in the box corresponding to that data element.

### 4.9.1 Confidentiality of Processing and Use Information

You may check the CBI box next to each data element to claim data as confidential. However, you may not claim the following data elements as confidential:

- *Certain Industrial processing and use data elements.* These data elements directly relate to how the chemical is used or processed and cannot be claimed as confidential (Form U

## Part III - Section A):

- type of process or use (§711.15(b)(4)(i)(A));
  - industrial sector (§711.15(b)(4)(i)(B)); and
  - function code (§711.15(b)(4)(i)(C)).
- *Certain Consumer and Commercial use data elements.* These data elements directly relate to how the chemical is used and cannot be claimed as confidential (Form U Part III - Section B):
    - product category (§711.15(b)(4)(ii)(A));
    - function of the chemical in the consumer or commercial product (§711.15(b)(4)(ii)(B));
    - whether the chemical is used in commercial or consumer products (§711.15(b)(4)(ii)(C)); and
    - whether the chemical predictably is used in children’s products (§711.15(b)(4)(ii)(D)).

With regard to the other use and processing data elements which may be claimed as CBI, keep in mind that you **cannot** claim an “NKRA” designation as confidential. Checking a CBI box associated with a specific processing and use data element automatically triggers substantiation questions. See Table 4-12 for substantiation questions to be answered when asserting CBI claims for processing and use information.

**Table 4-12. Substantiation Questions to be Answered when Asserting Processing and Use Information CBI Claims (40 CFR 711.30(d)(1))**

No.	Question
1.	Will disclosure of the information claimed as confidential likely cause substantial harm to your business’s competitive position? If you answered yes, explain the substantial harm.
2.	To the extent your business has disclosed the information to others (both internally and externally), has your business taken precautions to protect the disclosed information? If yes, please explain and identify the specific measures or internal controls your business has taken to protect the information claimed as confidential.
3.	Does any of the information claimed as confidential appear in any public documents, including (but not limited to) safety data sheets, advertising or promotional material, professional or trade publications, or any other media or publications available to the general public? If you answered yes, explain why the information should be treated as confidential.
4.	Does any of the information you are claiming as confidential constitute a trade secret?
5.	Is the claim of confidentiality intended to last less than 10 years (see TSCA section 14(e)(1)(B))? If so, indicate the number of years (between 1–10 years) or the specific date after which the claim is withdrawn.
6.	Has EPA, another federal agency, or court made any confidentiality determination regarding information associated with this chemical substance? If yes, provide the circumstances associated with the prior determination, whether the information was found to be entitled to confidential treatment, the entity that made the decision, and the date of the determination.
7.	Is the information claimed as confidential publicly known? For example, is the information available in advertisements or other marketing materials, professional journals or other similar materials, or in non-confidential mandatory or voluntary government filings or publications? Has your company ever publicly released this information? If yes, explain why the information should be treated as confidential.

8.	Has your company ever provided this information on the chemical substance to any person and not asked that it be treated as confidential? If yes, explain why the information should be treated as confidential.
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Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

## 4.9.2 Part III - Section A. Industrial Processing and Use Data (Blocks 3.A.1 through 3.A.10)

For each CDR chemical substance manufactured (including imported), report up to ten unique combinations of the following data elements: the Type of Process or Use Operation (TPU) (described in Section 4.9.2.1), the Industrial Sector (IS) (described in Section 4.9.2.2), and the Function Category (FC) (described in Section 4.9.2.3) (40 CFR 711.15(b)(4)(i)). A combination of these three data elements defines a potential exposure scenario for risk-screening and priority-setting purposes. For each of these unique combinations, you are also required to report the percentage of production volume (described in Section 4.9.2.4), the number of sites (described in Section 4.9.2.5), and the number of workers (described in Section 4.9.2.6) (40 CFR 711.15(b)(4)(i)). If more than ten unique combinations apply to a chemical substance, you need only report the ten combinations for the chemical substance that cumulatively represent the largest percentage of production volume, measured by weight (40 CFR 711.15(b)(4)(i)(C)). The reporting tool will allow you to enter more than ten combinations if you choose to do so.

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

### 4.9.2.1 Type of Processing or Use Operation

To the extent that it is known to or reasonably ascertainable by you, use the drop-down box to select the code which corresponds to the appropriate Type of Processing or Use Operation (TPU) for the particular combination of IS and FC codes. Table 4-13 shows the codes and TPUs which appear in the drop-down box. Note that if a chemical substance is fully reacted (i.e., reporting “PC” for the processing code), then the chemical substance is consumed and further processing and use information for that chemical substance will not exist. In such a situation, there is no further downstream processing and use information to be reported for that particular type of processing or use operation under 40 CFR 711.15(b)(4). A processing or use code may be reported more than once if more than one IS and/or FC code applies to the same processing or use operation. Definitions for each code are provided in Appendix D, which may assist you in determining which code to report.

**Table 4-13. Codes for Reporting Type of Industrial Processing or Use Operations**

Code	Operation
PC	Processing as a reactant
PF	Processing—incorporation into formulation, mixture, or reaction product
PA	Processing—incorporation into article
PK	Processing—repackaging
U	Use—non-incorporative activities

### 4.9.2.2 Industrial Sectors

You must select from the dropdown box the code which corresponds to the appropriate Industrial Sector (IS) for all sites that receive a reportable chemical substance from you either directly or indirectly (including through a broker/distributor, from a customer of yours, etc.) and that process and use of the reportable chemical substance to the extent that this information is known to or reasonably ascertainable by you (40 CFR 711.15(b)(4)(i)(B)). Table 4-14 shows the codes and sectors which appear in the drop-down box. Because an industrial sector may apply to more than one processing and use scenario for a chemical substance, the same IS code may be reported with different combinations of FC and TPU codes.

A listing identifying the correspondence between NAICS codes and IS codes is provided in Appendix D. Additional, more detailed information can be found on the CDR website at [www.epa.gov/chemical-data-reporting/replacement-5-digit-naics-codes-industrial-sector-codes](http://www.epa.gov/chemical-data-reporting/replacement-5-digit-naics-codes-industrial-sector-codes).

When you chose the IS “Other,” you also need to provide a written description of the use of the chemical substance. The written description should be used to provide a description at a comparable level of specificity as found with the current codes. It should not be used to add additional, more specific detail. Your description may include the NAICS code.

**Table 4-14. Industrial Sectors (IS)**

Code	Sector Description
IS1	Agriculture, forestry, fishing and hunting
IS2	Oil and gas drilling, extraction, and support activities
IS3	Mining (except oil and gas) and support activities
IS4	Utilities
IS5	Construction
IS6	Food, beverage, and tobacco product manufacturing
IS7	Textiles, apparel, and leather manufacturing
IS8	Wood product manufacturing
IS9	Paper manufacturing
IS10	Printing and related support activities
IS11	Petroleum refineries
IS12	Asphalt paving, roofing, and coating materials manufacturing
IS13	Petroleum lubricating oil and grease manufacturing
IS14	All other petroleum and coal products manufacturing
IS15	Petrochemical manufacturing
IS16	Industrial gas manufacturing
IS17	Synthetic dye and pigment manufacturing
IS18	Carbon black manufacturing
IS19	All other basic inorganic chemical manufacturing
IS20	Cyclic crude and intermediate manufacturing
IS21	All other basic organic chemical manufacturing
IS22	Plastic material and resin manufacturing

Code	Sector Description
IS23	Synthetic rubber manufacturing
IS24	Organic fiber manufacturing
IS25	Pesticide, fertilizer, and other agricultural chemical manufacturing
IS26	Pharmaceutical and medicine manufacturing
IS27	Paint and coating manufacturing
IS28	Adhesive manufacturing
IS29	Soap, cleaning compound, and toilet preparation manufacturing
IS30	Printing ink manufacturing
IS31	Explosives manufacturing
IS32	Custom compounding of purchased resin
IS33	Photographic film paper, plate, and chemical manufacturing
IS34	All other chemical product and preparation manufacturing
IS35	Plastics product manufacturing
IS36	Rubber product manufacturing
IS37	Nonmetallic mineral product manufacturing (includes clay, glass, cement, concrete, lime, gypsum, and other nonmetallic mineral product manufacturing).
IS38	Primary metal manufacturing
IS39	Fabricated metal product manufacturing
IS40	Machinery manufacturing
IS41	Computer and electronic product manufacturing
IS42	Electrical equipment, appliance, and component manufacturing
IS43	Transportation equipment manufacturing
IS44	Furniture and related product manufacturing
IS45	Miscellaneous manufacturing
IS46	Wholesale and retail trade
IS47	Services
IS48	Other (requires additional information)

### 4.9.2.3 Function Category

Select from the drop-down box the code that corresponds to the appropriate Industrial Function Category (FC) for each particular combination of TPU and IS that you report (40 CFR 711.15(b)(4)(i)(C)). Table 4-15 shows the codes and FCs that appear in the drop-down box. Descriptions for each FC are provided in Appendix D. If you select U999A (Other), you must provide a description of the function of the chemical substance. The written description should be used to provide a description at a comparable level of specificity as found with the current codes. It should not be used to add additional, more specific detail.

Function codes are based on the intended physical or chemical characteristic for when a chemical substance or mixture is consumed as a reactant; incorporated into a formulation, mixture, reaction product, or article; repackaged; or used (e.g., as an abrasive, a catalyst, or an elasticizer). However, the functional use categories cover the life cycle and describe the specific function that a chemical provides when used in the formulation of a product or article, or when used within an industrial process. While the function of a chemical may be the same across its life cycle, certain functions may only be appropriate for consideration in an industrial setting,

while others may be relevant for a consumer or commercial setting. For more information on reporting consumer and commercial use data, see Section 4.9.3 (Part III – Section B of the Form U) below.

**Table 4-15. Codes for Reporting Function Categories (FCs)**

<b>Code</b>	<b>Category</b>
U001A	Abrasives
U001B	Etching agent
U002A	Adhesion/cohesion promoter
U002B	Binder
U002C	Flux agent
U002D	Sealant (barrier)
U003A	Absorbent
U003B	Adsorbent
U003C	Dehydrating agent (desiccant)
U003D	Drier
U003E	Humectant
U004A	Soil amendments (fertilizers)
U005A	Anti-adhesive/cohesive
U005B	Dusting agent
U006A	Bleaching agent
U006B	Brightener
U007A	Anti-scaling agent
U007B	Corrosion inhibitor
U008A	Dye
U008B	Fixing agent (mordant)
U009A	Hardener
U009B	Filler
U010A	Anti-static agent
U010B	Softener and conditioner
U010C	Swelling agent
U010D	Tanning agents not otherwise specified
U010E	Waterproofing agent
U010F	Wrinkle resisting agent
U011A	Flame retardant
U012A	Fuel agents
U012B	Fuel
U013A	Heat transferring agent
U013B	Hydraulic fluids
U013C	Insulators
U013D	Refrigerants
U014A	Anti-freeze agent



Code	Category
U015A	Intermediate
U015B	Monomers
U016A	Ion exchange agent
U017A	Anti-slip agent
U017B	Lubricating agent
U018A	Deodorizer
U018B	Fragrance
U019A	Oxidizing agent
U019B	Reducing agent
U020A	Photosensitive agent
U020B	Photosensitizers
U020C	Semiconductor and photovoltaic agent
U020D	UV stabilizer
U021A	Opacifer
U021B	Pigment
U022A	Plasticizer
U023A	Plating agent
U024A	Catalyst
U024B	Chain transfer agent
U024C	Chemical reaction regulator
U024D	Crystal growth modifiers (nucleating agents)
U024E	Polymerization promoter
U024F	Terminator/Blocker
U025A	Processing aids, specific to petroleum production
U026A	Antioxidant
U026B	Chelating agent
U026C	Defoamer
U026D	pH regulating agent
U026E	Processing aids not otherwise specified
U027A	Energy Releasers (explosives, motive propellant)
U027B	Foamant
U027C	Propellants, non-motive (blowing agents)
U028A	Cloud-point depressant
U028B	Flocculating agent
U028C	Flotation agent
U028D	Solids separation (precipitating) agent, not otherwise specified
U029A	Cleaning agent
U030A	Diluent
U030B	Solvent
U031A	Surfactant (surface active agent)
U031B	Emulsifier

<b>Code</b>	<b>Category</b>
U032A	Thickening agent
U032B	Viscosity modifiers
U033A	Laboratory chemicals
U034A	Dispersing agent
U034B	Freeze-thaw additive
U034C	Surface modifier
U034D	Wetting agent (non-aqueous)
U035A	Aerating and deaerating agents
U035B	Explosion inhibitor
U035C	Fire extinguishing agent
U035D	Flavoring and nutrient
U036A	Anti-redeposition agent
U036B	Anti-stain agent
U036C	Anti-streaking agent
U037A	Conductive agent
U037B	Incandescent agent
U037C	Magnetic element
U038A	Anti-condensation agent
U038B	Coalescing agent
U038C	Film former
U039A	Demulsifier
U039B	Stabilizing agent
U040A	Alloying element
U040B	Density modifier
U040C	Elasticizer
U040D	Flow promoter
U040E	Sizing agent
U040F	Solubility enhancer
U040G	Vapor pressure modifiers
U041A	Embalming agent
U041B	Heat stabilizer
U041C	Preservative
U042A	Anti-caking agent
U042B	Deflocculant
U042C	Dust suppressant
U042D	Impregnation agent
U042E	Leaching agent
U043A	Tracer
U044A	X-ray absorber
U999A	Other

#### 4.9.2.4 Percentage of Production Volume

Estimate the percentage of total 2019 production volume that is attributable to each unique combination of TPU, IS, and FC. The percentage should be accurate to the extent that it is known to or reasonably ascertainable by you. Round your estimates to the nearest 10 percent of production volume (40 CFR 711.15(b)(4)(i)(D)). If you would like to provide more specific percentages, please do so. Do not round a particular combination that accounts for less than five percent of the total production volume to zero percent if the production volume attributable to that combination is greater than or equal to 25,000 lb. In such cases, you must report the percentage of production volume attributable to that combination to the nearest one percent of production volume (40 CFR 711.15(b)(4)(i)(D)).

The total percentage of production volumes associated with the TPU, IS, and FC combinations may add up to more than 100 percent, given that you are reporting on distribution of a chemical substance to sites in your control as well as downstream sites, some of which are not immediate purchasers from your original manufacturing site. Additionally, the total percentage of production volume may add up to less than 100 percent if, for example:

**How to determine your percent production volume:**

1. Determine the production volume that is attributable to each unique combination of TPU, IS, and FC.
2. Determine your total production volume for 2015.
  - a. Add together the volume domestically manufactured and the volume imported.
  - b. DO NOT subtract the volume used on-site or the volume exported
3. Divide the volume determined in step 1 by the volume determined in step 2 and multiply by 100.

- You do not know or cannot reasonably ascertain information about how all of your production volume is processed or used;
- More than 10 combinations of codes are applicable to your chemical substance; or
- You export a portion of the production volume.

Table 4-16 provides examples of reporting industrial processing and use data.

**Table 4-16. Examples of Reporting Industrial Processing and Use Information**

Description	2020 Reporting Requirement
Site 1 manufactures 500,000 lb of Chemical X for processing for incorporation into a mixture. All of the production is for use in industrial sector IS17 (Synthetic Dye and Pigment Manufacturing). Of the production volume, 67% (335,000 lb) is used as a dye and 33% (165,000 lb) is used as a pigment.	On line 3.A.1 of Form U, enter PF for type of process or use, IS17 for industrial sector, U008A for FC, and 70% for production volume. On line 3.A.2 of Form U, enter PF for type of process or use, IS17 for industrial sector, U021B for FC, and 30% for production volume.
Site 1 manufactures 500,000 lb of Chemical X for processing for incorporation into a mixture. All of the production is for use under industrial sector IS17 (Synthetic Dye and Pigment Manufacturing). Of the production volume, 97% (485,000 lb) is used as a coloring agent for dyes and 3% (15,000 lb) is used as a coloring agent for pigments.	On line 3.A.1 of Form U, enter PF for type of process or use, IS17 for industrial sector, U008A for FC, and 100% for production volume. On line 3.A.2 of Form U, enter PF for type of process or use, IS14 for industrial sector, and U021B for FC. Because less than 25,000 lb is used for pigments, enter 0% for production volume.
Site 1 manufactures 12,000,000 lb of Chemical X for processing for incorporation into a mixture. All of the production is for use under industrial sector IS17 (Synthetic Dye and Pigment Manufacturing). Of the production volume, 97% (11,640,000 lb) is used as a coloring agent for dyes and 3% (360,000 lb) is used as a coloring agent for pigments.	On line 3.A.1 of Form U, enter PF for type of process or use, IS17 for industrial sector, U008A for IFC, and 100% for production volume. Because the use in pigments, FC U021B, accounts for 100,000 lb or more, on line 3.A.2 of Form U, enter PF for type of process or use, IS17 for industrial sector, U021 for FC, and 3% for production volume.

#### 4.9.2.5 Number of Sites Code

For each unique combination of Type of Process or Use Operation, Industrial Sector, and Function Category, select from the drop-down box the code which corresponds to the appropriate number range for the total number of industrial sites, including those not under your control, that process or use each reported chemical substance to the extent that such information is known or reasonable ascertainable by you (40 CFR 711.15(b)(4)(i)I). In the event you both manufacture (including import) and process or use the same reportable chemical substance at the reporting plant site, your site would be counted as both a manufacturing site in Part II of Form U and a processing or use site reported in Part III of Form U (40 CFR 711.15(b)(4)). Table 4-17 shows the codes and site number ranges which appear in the drop-down box.

**Table 4-17. Codes for Reporting Numbers of Sites**

Code	Range
S1	Fewer than 10 sites
S2	At least 10 but fewer than 25 sites
S3	At least 25 but fewer than 100 sites
S4	At least 100 but fewer than 250 sites
S5	At least 250 but fewer than 1,000 sites
S6	At least 1,000 but fewer than 10,000 sites
S7	At least 10,000 sites

### 4.9.2.6 Number of Workers Code

For each unique combination of Type of Process or Use Operation, Industrial Sector, and Function Category, estimate the total number of workers that are reasonably likely to be exposed to the chemical substance at sites that process or use the chemical substance (40 CFR 711.15(b)(4)(i)(F)). Include workers at sites that are not under your control as well as those sites you control. For each chemical substance, select from the drop-down box the code that corresponds to the estimated range of the number of workers reasonably likely to be exposed. To claim this information as confidential, check the box adjacent to the reported information. Table 4-18 shows the codes and worker ranges which appear in the drop-down box.

**Table 4-18. Codes for Reporting Number of Workers Reasonably Likely to be Exposed During Processing and Use**

Code	Range of Workers Reasonably Likely to be Exposed
W1	Fewer than 10 workers
W2	At least 10 but fewer than 25 workers
W3	At least 25 but fewer than 50 workers
W4	At least 50 but fewer than 100 workers
W5	At least 100 but fewer than 500 workers
W6	At least 500 but fewer than 1,000 workers
W7	At least 1,000 but fewer than 10,000 workers
W8	At least 10,000 workers

“Reasonably likely to be exposed” means “an exposure to a chemical substance which, under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures” (40 CFR 711.3).

Persons reasonably likely to be exposed to a chemical substance include workers whose employment requires them to pass through areas where chemical substances are manufactured, processed, or used (e.g., production workers and foremen, process engineers, and plant managers). Workers employed to drive vehicles that transport the chemical substances should be included in the number of workers reasonably likely to be exposed to the chemical substance *if* they come into contact with the chemical substance during loading or unloading. For example, workers engaged in the connection or disengagement of hoses used to load or unload the chemical substance should be included. However, workers involved solely with transporting chemical substances in sealed (totally enclosed with no potential for exposure) containers should not be included.

In addition, when a site employs temporary, seasonal, or contract workers in the manufacture of a reportable chemical substance, these workers should be included in the number of workers reasonably likely to be exposed to a chemical substance if they work in areas where the chemical substance is manufactured. The term does not include those employees whose jobs

are unassociated with potential exposures to a chemical substance or mixture (e.g., administrative staff who never enter areas where the chemical substance is manufactured) and who are unlikely to be exposed to a chemical substance for even a brief period of time. No allowance is made for personal protective equipment or for engineering controls that reduce but do not preclude exposure to a chemical substance; however, if contact between a worker and a chemical substance is highly improbable, the worker should not be included among those persons reasonably likely to be exposed to the chemical substance.

#### **4.9.3 Part III - Section B. Consumer and Commercial Use Data (Blocks 3.B.1 through 3.B.10)**

For purposes of CDR reporting, a commercial use means the use of a chemical substance or a mixture (including as part of an article) in a commercial enterprise providing saleable goods or a service (40 CFR 711.3). A consumer use, on the other hand, means the use of a chemical substance or a mixture (including as part of an article) when sold to or made available to consumers for their use (40 CFR 711.3).

You are required to report information that is known to or reasonably ascertainable by you concerning the consumer and commercial end uses of each chemical substance manufactured (including imported) at sites you control and at sites controlled by people to whom you have either directly or indirectly (including through a broker/distributor, from a customer, etc.) distributed the reportable chemical substance (40 CFR 711.15(b)(4)).

Future e-CDRweb reporting tool screen shot to be added.

See mock-up document for draft versions of the 2020 reporting tool affected by the proposed changes.

### 4.9.3.1 Product Category

You must designate up to ten product categories which correspond to the actual use of the chemical substance by selecting from the drop-down box the codes which correspond to the appropriate product categories (40 CFR 711.15(b)(4)(ii)(A)). The reporting tool will allow you to enter more than ten categories if you choose to do so. Table 4-19 shows the codes and product categories which appear in the drop-down box.

If you select C909A (Other), you must provide a description of the product category. The written description should be used to provide a description at a comparable level of specificity as found with the current codes. It should not be used to add additional, more specific detail. If more than ten codes apply, you need report only the ten codes for the chemical substance that cumulatively represent the largest percentage of production volume, measured by weight (40 CFR 711.15(b)(4)(ii)(A)).

**Table 4-19. Product Category Codes**

Code	Category
<b>Chemical Substances in Furnishing, Cleaning, Treatment Care Products</b>	
C101A	Construction and building materials covering large surface areas including stone, plaster, cement, glass and ceramic articles; fabrics, textiles, and apparel
C102A	Furniture & furnishings including plastic articles (soft); leather articles
C103A	Furniture & furnishings including stone, plaster, cement, glass and ceramic articles; metal articles; or rubber articles
C104A	Leather conditioner
C104B	Leather tanning, dye, finishing, impregnation and care products
C104C	Textile (fabric) dyes
C104D	Textile finishing and impregnating/surface treatment products
C105A	All-purpose foam spray cleaner
C105B	All-purpose liquid cleaner/polish
C105C	All-purpose liquid spray cleaner
C105D	All-purpose waxes and polishes
C105E	Appliance cleaners
C105F	Drain and toilet cleaners (liquid)
C105G	Powder cleaners (floors)
C105H	Powder cleaners (porcelain)
C106A	Dishwashing detergent (liquid/gel)
C106B	Dishwashing detergent (unit dose/granule)
C106C	Dishwashing detergent liquid (hand-wash)
C106D	Dry cleaning and associated products
C106E	Fabric enhancers
C106F	Laundry detergent (unit-dose/granule)
C106G	Laundry detergent (liquid)
C106H	Stain removers

<b>Code</b>	<b>Category</b>
C107A	Ion exchangers
C107B	Liquid water treatment products
C107C	Solid/Powder water treatment products
C108A	Liquid body soap
C108B	Liquid hand soap
C108C	Solid bar soap
C109A	Air fresheners for motor vehicles
C109B	Continuous action air fresheners
C109C	Instant action air fresheners
C110A	Anti-static spray
C110B	Apparel finishing, and impregnating/surface treatment products
C110C	Insect repellent treatment
C110D	Pre-market waxes, stains, and polishes applied to footwear
C110E	Post-market waxes, and polishes applied to footwear (shoe polish)
C110F	Waterproofing and water-resistant sprays
<b>Chemical Substances in Construction, Paint, Electrical, and Metal Products</b>	
C201A	Fillers and putties
C201B	Hot-melt adhesives
C201C	One component caulks
C201D	Solder
C201E	Single component glues and adhesives
C201F	Two component caulks
C201G	Two-component glues and adhesives
C202A	Adhesive/Caulk removers
C202B	Aerosol spray paints
C202C	Lacquers, stains, varnishes and floor finishes
C202D	Paint strippers/removers
C202E	Powder coatings
C202F	Radiation curable coatings
C202G	Solvent-based paint
C202H	Thinners
C202I	Water-based paint
C203A	Construction and building materials covering large surface areas, including wood articles
C204A	Construction and building materials covering large surface areas, including paper articles; metal articles; stone, plaster, cement, glass and ceramic articles
C205A	Machinery, mechanical appliances, electrical/electronic articles
C205B	Other machinery, mechanical appliances, electronic/electronic articles
C206A	Articles intended for food contact, including metal articles
C206B	Construction and building materials covering large surface areas, including metal articles
C207A	Electrical batteries and accumulators



Code	Category
<b>Chemical Substances in Packaging, Paper, Plastic, Toys, Hobby Products</b>	
C301A	Articles intended for food contact including paper articles; plastic articles (soft); plastic articles (hard); rubber articles; metal articles; fabrics, textiles, and apparel
C302A	Packaging (excluding food packaging), including paper articles
C302B	Other articles with routine direct contact during normal use, including paper articles
C303A	Packaging (excluding food packaging), including rubber articles; plastic articles (hard); plastic articles (soft)
C303B	Other articles with routine direct contact during normal use including rubber articles; plastic articles (hard)
C304A	Toys intended for children's use (and child dedicated articles), including fabrics, textiles, and apparel; or plastic articles (hard)
C305A	Adhesives applied at elevated temperatures
C305B	Cement/concrete
C305C	Crafting glue
C305D	Crafting paint (applied to body)
C305E	Crafting paint (applied to craft)
C305F	Fixatives and finishing spray coatings
C305G	Modelling clay
C306A	Correction fluid/tape
C306B	Inks in writing equipment (liquid)
C306C	Inks used for stamps
C306D	Toner/Printer cartridge
C307A	Liquid photographic processing solutions
<b>Chemical Substances in Automotive, Fuel, Agriculture, Outdoor Use Products</b>	
C401A	Exterior car washes and soaps
C401B	Exterior car waxes, polishes, and coatings
C401C	Interior car care
C401D	Touch up auto paint
C402A	Degreasers
C402B	Liquid lubricants and greases
C402C	Paste lubricants and greases
C402D	Spray lubricants and greases
C403A	Anti-freeze liquids
C403B	De-icing liquids
C403C	De-icing solids
C403D	Lock de-icers/releasers
C404A	Cooking and heating fuels
C404B	Fuel additives
C404C	Vehicular or appliance fuels
C405A	Explosive materials
C406A	Agricultural non-pesticidal products

Code	Category
C407A	Lawn and garden care products
<b>Chemical Substances in Products not Described by Other Codes</b>	
C980A	Non-TSCA use
C909A	Other (specify)

#### **4.9.3.2 Functional Use for Consumer and/or Commercial Products**

For each consumer and/or commercial product category reported, select from the drop-down box in the “Function Category” column in Part III.B of the Form U the code(s) that designates the function category(ies) that best represents the specific manner in which the chemical substance is used (40 CFR 711.(b)(4)(ii)(B)). These codes are the same as those used above in Table 4-15 to report the appropriate Function Category for industrial processing and use. A particular function category may need to be reported more than once, to the extent that a submitter reports more than one consumer or commercial product category that applies to a given function category under this paragraph. If none of the listed function categories accurately describes a use of a chemical substance, the category “Other” may be used, and must include a description of the use. The written description should be used to provide a description at a comparable level of specificity as found with the current codes. It should not be used to add additional, more specific detail.

#### **4.9.3.3 Consumer and/or Commercial Use**

For each Product Category reported, select from the drop-down box in the “Consumer and/or Commercial” column in Part III.B of Form U the options to indicate whether the use is a consumer use or a commercial use (40 CFR 711.15b)(4)(ii)(C). If the product has both consumer and commercial uses, select both options.

#### **4.9.3.4 Use in Product(s) Intended for Use by Children**

Within each consumer product category reported, you must determine whether any amount of each reportable chemical substance manufactured (including imported) by you is present in or on any consumer product(s) intended for use by children age 14 or younger, regardless of the concentration of the chemical substance remaining in or on the product (40 CFR 711.15(b)(4)(ii)(D)). If you determine that your chemical substance or mixture is used in a consumer product intended for use by children, select “Yes” from the drop-down box in the “Used in Product(s) Intended for Children” column in Part III.B of Form U. If you determine that your chemical substance or mixture is not used in a consumer product intended for use by children, select “No” from the drop-down box. If information as to whether the chemical substance is used in or on any consumer products intended for use by children is not known to or reasonably ascertainable by you, select “NKRA” from the drop-down box. If your chemical substance is not used in products intended for use by children (i.e., you answered ‘No’ in Part III.B), you are encouraged not to claim the information as confidential.

EPA defines “intended for use by children” to mean the chemical substance or mixture is used in or on a product that is specifically intended for use by children age 14 or younger (40 CFR 711.3). Your chemical substance or mixture is intended for use by children if you answer

“yes” to at least one of the following questions about the product into which your chemical substance or mixture is incorporated:

- Is the product commonly recognized (i.e., by a reasonable person) as being intended for use by children age 14 or younger?
- Does the manufacturer of the product state through product labeling or other written materials that the product is intended or will be used by children age 14 or younger?
- Is the advertising, promotion, or marketing of the product aimed at children age 14 or younger?

Table 4-20 illustrates some examples of “Use in Product(s) Intended for Use by Children.” For example, certain products (e.g., crayons, coloring books, diapers, and toy cars) are typically used by children age 14 or younger. If you determine that your chemical substance or mixture is used in crayons, for example, you would report “Y” for children’s use for C305.

Certain products, such as household cleaning products, automotive supplies, and lubricants, typically are not intended to be used by children age 14 or younger. As such, if you determine that your chemical substance or mixture is used in automotive care products and lubricants, for example, you would report “no” for children’s use for categories C401 and C402.

**Table 4-20. Examples of Products Intended for Use by Children**

Codes	Category	Examples
<b>Chemical Substances in Furnishings, Cleanings, Treatment Care Products</b>		
C102A	Furniture & furnishings including Plastic articles (soft); Leather articles	Child’s car seat, children’s sheets
C103A	Furniture & furnishings including Stone, plaster, cement, glass and ceramic articles; Metal articles; or Rubber articles	Baby cribs, changing tables
C104C	Textile (fabric) dyes	Children’s clothing
C104D	Textile finishing and impregnating/surface treatment products	Children’s clothing, children’s sheets, child’s car seat
C108A	Liquid Body Soap	Baby shampoo, children’s bubble bath
<b>Chemical Substances in Construction, Paint, Electrical and Metal Products</b>		
C205A	Machinery, mechanical appliances, electrical/electronic articles	Electronic games, remote control cars
C207A	Batteries	Batteries used in toys
<b>Chemical Substances in Packaging, Paper, Plastic, Hobby Products</b>		
C302B	Other articles with routine direct contact during normal use, including paper articles	Diapers, baby wipes, coloring books

C304A	Toys intended for children's use (and child dedicated articles), including Fabrics, textiles, and apparel; or Plastic articles (hard)	Pacifiers, toy trucks, dolls, toy cars, wagons, action figures, balls, swing sets, slides, skates, baseball gloves, kid's rake
C305A	Adhesives applied at elevated temperatures	Craft glue for a hot glue gun
C305C	Crafting glue	Craft glue
C305D	Crafting Paint (applied to body)	Chemicals used to add color to body paint, finger paints

#### 4.9.3.5 Percentage of Production Volume

Estimate the percentage of your production volume that is attributable to each specific consumer and commercial end use carried out at sites under your control, as well as at sites that receive a reportable chemical substance from you either directly or indirectly (including through a broker/distributor, from a customer, etc.), to the extent that such information is known to or reasonably ascertainable to you (40 CFR 711.15(b)(4)(ii)(E)). You should round estimates to the nearest ten percent of production volume (40 CFR 711.15(b)(4)(ii)(E)). If you would like to provide more specific percentages, please do so. You may not round a consumer and commercial product category that accounts for five percent or less of the total production volume attributable to that consumer and commercial product category is greater than or equal to 25,000 lb. (40 CFR 711.15(b)(4)(ii)(E)). In such cases, you must report the percentage of production volume attributable to that consumer and commercial product category to the nearest one percent of the production volume (40 CFR 711.15(b)(4)(ii)(E)).

Note that the total percentage of production volumes reported may add up to more or less than 100 percent. Rounding to the nearest ten percent can result in summed percentages either above or below 100 percent. Additionally, the total percentage of production volume may add up to less than 100 percent if, for example:

#### **How to determine your percent production volume:**

1. Determine the production volume that is attributable to each consumer and commercial end use.
2. Determine your total production volume for 2015.
  - a. Add together the volume domestically manufactured and the volume imported.
  - b. DO NOT subtract the volume used on-site or the volume exported
3. Divide the volume determined in step 1 by the volume determined in step 2 and multiply by 100.

- You do not know or cannot reasonably ascertain information about how all your production volume is used in consumer and commercial products;
- More than ten commercial or consumer product categories are applicable to your chemical substance; or
- A portion of your production is consumed in industrial uses or exported.

#### 4.9.3.6 Maximum Concentration Code

When the chemical substance you manufacture (including import) is used in commercial or consumer products, you are required to report the estimated typical maximum concentration

(measured by weight) of each chemical substance in each commercial or consumer product category reported in Part III of Form U (40 CFR 711.15(b)(4)(ii)(F)). For each chemical substance used in a reported commercial or consumer product, select from the drop-down box the code that corresponds to the appropriate concentration range. Table 4-10 shows the codes and concentration ranges which appear in the drop-down box.

#### **4.9.3.7 Number of Commercial Workers Code**

Report the total number of commercial workers, including those at sites not under your control that are reasonably likely to be exposed while using the reportable chemical substance, with respect to each commercial use (40 CFR 711.15(B)(4)(II)(G)). For each chemical substance with a commercial use reported in Part III, select code which corresponds to the appropriate range of commercial workers reasonably likely to be exposed. Table 4-18 shows the code and worker ranges which appear in the drop-down box.

“Reasonably likely to be exposed” means “an exposure to a chemical substance which, under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Such exposures also include commercial worker exposure during the use phase which could include but is not limited to using cleaning products, paints, dry cleaning solvents, and adhesives. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures” (40 CFR 711.3).

Persons reasonably likely to be exposed to a chemical substance include workers whose employment requires them to pass through areas where chemical substances are processed or used (e.g., production workers and foremen, process engineers, and plant managers). Workers employed to drive vehicles that transport the chemical substances should be included in the number of workers reasonably likely to be exposed to the chemical substance *if* they come into contact with the chemical substance during loading or unloading. For example, workers engaged in the connection or disengagement of hoses used to load or unload the chemical substance should be included. However, workers involved solely with transporting chemical substances in sealed (totally enclosed with no potential for exposure) containers should not be included. Similarly, workers employed during the use phase at sites not under your control such as workers that provide commercial cleaning services, painting, dry cleaning, and repairs should be included in the number of workers reasonably likely to be exposed to the chemical substance.

In addition, when a site employs temporary, seasonal, or contract workers in the processing or use of a reportable chemical substance, these workers should be included in the number of workers reasonably likely to be exposed to a chemical substance if they work in areas where the chemical substance is processed or used. The term does not include those employees whose jobs are unassociated with potential exposures to a chemical substance or mixture (e.g., administrative staff who never enter areas where the chemical substance is manufactured) and who are unlikely to be exposed to a chemical substance for even a brief period of time. No allowance is made for personal protective equipment or for engineering controls that reduce but do not preclude exposure to a chemical substance; however, if contact between a worker and a chemical substance is highly improbable, the worker should not be included among those

persons reasonably likely to be exposed to the chemical substance.

#### **4.9.4 Special Provisions for Manufacturing by Contract**

When a company contracts with a producing company to manufacture a chemical substance and each party meets the definition of *manufacturer* as set forth in 40 CFR 711.3, the contracting company (as the primary submitter) has the responsibility to initiate a co-manufacture report that triggers the reporting requirements for the producing company (as the secondary submitter). The contracting company completes the processing and use-related information described in Sections 4.9.1 to 4.9.3 of this document.

#### **4.9.5 Special Provisions for Joint Submitters of Unknown Chemical Substances**

In the situation where a primary submitter, such as an importer, has sent a request to a secondary submitter, such as a foreign supplier, to provide the chemical composition of an imported product or mixture, the secondary submitter must also provide the chemical-specific function of each constituent substance along with information on chemical composition of the imported product or mixture. See Section 4.9.2.3 for additional information about reporting the function of a chemical substance.

### **4.10 Manufacturing by Contract: Co-manufacture Report**

#### **4.10.1 Determining the Need for a Co-manufacture Report when Manufacturing by Contract**

A manufacturing by contract (co-manufacturing) relationship occurs when a chemical substance, manufactured other than by import, is produced exclusively for another person who contracts for such production. To be considered a co-manufacture situation, the producing company produces the chemical substance exclusively for another person (the contracting manufacturer) under contract for that production. If the chemical substance is produced for other purposes, then the situation fails this first test of “co-manufacturing.” In addition, the other person contracting the manufacture (i.e., the contracting company) specifies the identity of the chemical substance, the total amount produced, and the basic technology for the plant process. This is the second test of “co-manufacturing.” To be considered co-manufacturers, both of these tests must be met. See Appendix A for the definition of “manufacture” (40 CFR 711.3).

Companies that are co-manufacturing a chemical substance each contribute to completing the required CDR report for that chemical substance. In this type of multi-reporter submission, the contracting company is the primary submitter and the producing company is the secondary submitter. As the primary submitter, the contracting company is responsible for initiating a co-manufacture report that prompts the reporting requirements for the producing company (as the secondary submitter).

This reporting process helps to protect the confidentiality of both the producing company and contracting company by ensuring that the contracting company would not require any potentially confidential information from the producing company. This method also eliminates confusion between the two involved parties by designating the contracting company as the primary submitter responsible for initiating the reporting process. As with past reporting under CDR, both parties are liable for reporting the co-manufactured chemical under CDR.

**NOTE: In the event that the contracting company knows or can reasonably ascertain the information that would otherwise be reported by the producing company, the contracting company may instead solely report and not initiate a co-manufacture report. In this situation, the contracting company must still provide the producing company's site address as the site of manufacture.**

#### **4.10.2 The Primary Report is Completed by the Contracting Company**

The contracting company, as the primary submitter, is responsible for initiating the co-manufacture report, uses e-CDRweb to notify the producing company of its need to complete the secondary portion of the co-manufacture report, and completes the primary portion of the manufacturing-related section (Form U Part II) (40 CFR 711.15(b)(3)) and the processing and use-related section (Form U Part III) (40 CFR 711.15(b)(4)).

##### *Identifying the manufacturing site for the co-manufactured chemical substance*

In its portion of the co-manufacture report, the primary submitter identifies the site of manufacture of the co-manufactured chemical substance, which is always the producing company's site. See Section 4.4.1.2 for additional information.

##### *Notifying the producing company about the co-manufacture report*

Using the e-CDRweb reporting tool, the contracting company enters the email address of the producing company, and any necessary instruction for the producing company to complete its part of the co-manufacture report, into a system generated email. Also contained within the email is the unique identifier. The primary submitter may send the email before it has completed its part of the co-manufacture report.

##### *Completing the primary portion of the co-manufacture report*

The contracting company is responsible for completing portions of Part II (manufacturing-related) and all of Part III (processing- and use-related) of Form U. Specifically, in Part II the contracting company provides the chemical identity and the volume manufactured. See Sections 4.7.5 and 4.8.4 of this document for additional information about Part II and Section 4.9.4 for additional information about Part III.

The contracting company completes any other chemical reports as part of its overall Form U submission and submits one Form U, including any co-manufacture reports, for its site. For specific instructions on how to report using the e-CDRweb reporting tool, see the appropriate e-CDRweb User Guide, available at <https://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting>.

#### **4.10.3 The Secondary Report is Completed by the Producing Company**

The producing company, as the secondary submitter, is responsible for identifying that it is providing information for the co-manufacture report using the information (e.g., identification number)

provided by the primary submitter and completes the secondary portion of the manufacturing-related section (Form U Part II) (40 CFR 711.15(b)(3)).

#### *Receiving notification from the contract company about the co-manufacture report*

The producing company receives an email from the contractor identifying that a co-manufacture report has been initiated and providing unique identification number needed for the producing company to complete its part of the co-manufacture report.

#### *Identifying the manufacturing site for the co-manufactured chemical substance*

In its portion of the co-manufacture report, the secondary submitter confirms that its site is the site of manufacture of the co-manufactured chemical substance. See Section 4.4.1.2 for additional information.

#### *Completing the secondary portion of the co-manufacture report*

The producing company is responsible for completing portions of Part II (manufacturing-related) of Form U that were not completed by the contractor. Specifically, in Part II the producing manufacturer provides the volume manufactured and the rest of the Part II information except for the chemical identification, which is reported by the contracting company. See Sections 4.7.5 and 4.8.4 of this document for additional information about Part II.

The producing company completes any other chemical reports as part of its overall Form U submission and submits one Form U, including any co-manufacture reports, for its site. For specific instructions on how to report using the e-CDRweb reporting tool, see the appropriate e-CDRweb User Guide, available at <https://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting>.

### **4.10.4 Confidentiality of Information on a Co-manufacture Report**

All of the confidentiality requirements discussed earlier in these Instructions apply to information submitted jointly. However, multi-reporter submissions include information required to connect the two reports and their related data. For example, a manufacturing by contract co-manufacture report requires that the primary submitter provide their producing company identity. As the primary submitter you are required to report your producing company's identity, which you may claim as confidential without providing substantiation at the time your claim is made, because your producing company is considered your supplier (40 CFR 711.30(a)(3)(ii)).

Because signatures are required by each party of a multi-reporter submission, they must each register with CDX, and complete their own sections of the overall Form U report. (See separate CDR registration and e-CDRweb User Guides). The reporting tool will match the two portions of a multi-reporter chemical report based upon the unique ID number sent by the contracting company to notify the producing company of the partial CDR submission. Producing companies do not have access to any of the information submitted to EPA by the contracting company. Likewise, contracting companies cannot see the information that the producing company reports to EPA. This way, the confidentiality of information for all submitters is protected. The information provided by both submitters will be combined and processed as one co-manufacture report once they are received by EPA.



## 4.11 Joint Submissions using Part IV – Unknown Chemical Identity

### 4.11.1 Determining the Need for a Joint Submission using Part IV

Joint submissions are allowed in those instances where a supplier will not disclose to the manufacturer (including importer) the specific chemical name of the imported chemical substance or of a reactant used to manufacture a chemical substance, because the supplier claims the specific chemical name is confidential.

This may happen, for instance, when a company is importing a mixture under a trade name, and the foreign manufacturer refuses to reveal the chemical identity of a confidential component of the mixture. In this case, the importer and the supplier can jointly report the information through a joint submission. The importer must ask the supplier of the confidential chemical substance to directly provide EPA with the correct chemical identity in Part IV of Form U (see 40 CFR 711.15(b)(3)(i)(A)).

This may also happen in the event a manufacturer cannot provide the entire chemical identity of a chemical substance it manufactures because the chemical substance is manufactured using a reactant having a specific chemical identity that the reactant supplier claims as confidential and will not reveal to the manufacturer. In this case, the manufacturer and the supplier of the reactant can jointly report the information through a joint submission. The manufacturer must submit a report directly to EPA containing all information he or she knows or can reasonably ascertain about the chemical identity, including the chemical-specific function along with information on chemical composition. Furthermore, the manufacturer must also ask the reactant supplier to directly provide to EPA the correct chemical identity of the confidential reactant in Part IV of Form U (see 40 CFR 711.15(b)(3)(i)(B)). More detailed instructions for completing a joint submission can be found in the e-CDRweb user guides.

A manufacturer (including importer) can identify, on a chemical-by-chemical basis, the supplier for a chemical substance. A site may have different suppliers for different chemical substances in its overall Form U submission. The e-CDRweb tool will generate a unique ID number for each chemical substance (identified by a trade name). Therefore, a supplier may receive multiple ID numbers from a manufacturer (including importer). A supplier may also report multiple chemical substances under one ID number in the case that the ID number refers to a mixture. In that situation, the supplier will be identifying the chemical substances that comprise the mixture.

It is the responsibility of the primary submitter to ask their supplier, or secondary submitter, to complete Part IV of Form U and send the information to EPA by the end of the submission period. The e-CDRweb electronic reporting tool leads the primary submitter through this notification process.

If the secondary submitter decides to provide you directly with the required trade name product information, you should change your submission type and submit a single submission.

### 4.11.2 The Primary Submission is Completed by the Importer or Reactant User

The primary submitter for a joint submission is either an importer or a manufacturer using a reactant of unknown chemical identity. For ease of presentation, both types of primary submitters will be referred to as “importer.” The importer, as the primary submitter, is responsible for initiating the joint submission, uses e-CDRweb to notify its supplier of the need to complete the secondary portion of the joint submission, and completes the manufacturing-related section (Form U Part II) (40 CFR 711.15(b)(3)) and the processing and use-related section (Form U Part III) (40 CFR 711.15(b)(4)) for the imported substance.

#### *Identifying the chemical identity of the unknown chemical substance and its supplier*

In its portion of the joint submission, the primary submitter identifies the proprietary substance or mixture using the trade name or another name, additional information as needed to help the supplier correctly identify the substance, and the identity and contact information for the supplier. See Section 4.4.1.1 and 4.7.7 for additional information.

#### *Notifying the supplier about the joint submission*

Using the e-CDRweb reporting tool, the importer enters the email address of the supplier, and any necessary instruction for the supplier to complete its part of the joint submission, into a system generated email. Also contained within the email is the unique identifier. The primary submitter may send the email before it has completed its part of the joint submission.

#### *Completing the primary portion of the joint submission*

The importer is responsible for completing the rest of Part II (manufacturing-related) and Part III (processing- and use-related) of Form U as it relates to the proprietary substance or mixture. See Sections 4.8 and 4.9 of this document for additional information about completing Part II and Part III.

The importer completes any other chemical reports as part of its overall Form U submission and submits one Form U, including any joint submission, for its site. For specific instructions on how to report using the e-CDRweb reporting tool, see the appropriate e-CDRweb User Guide, available at <https://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting>.

### 4.11.3 The Secondary Submission is Completed by the Supplier (Foreign or Reactant)

The supplier, as the secondary submitter, is responsible for identifying that it is providing information for the joint submission using the information (e.g., identification number) provided by the primary submitter and completing Part IV of Form U.

#### *Receiving notification from the importer about the joint submission*

The supplier receives an email from the importer identifying that a joint submission has been initiated and providing unique identification number needed for the supplier to complete its part of the joint submission.

### *Completing Form U Part IV, the secondary portion of the joint submission*

The supplier is responsible for completing Part IV of the joint submission, which includes its company identity, a technical contact, identification of its customer (e.g., the primary submitter), the product trade name, and the unique identifier supplied by the primary submitter. The supplier then provides the chemical identity and composition of the product and the function of each chemical in the product. Additional information is provided elsewhere in this document. Specifically, see Section 4.7 for information about chemical identity and 4.9.5 for information about chemical function.

For specific instructions on how to report using the e-CDRweb reporting tool, see the appropriate e-CDRweb User Guide, available at <https://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting>.

#### *When the supplier doesn't know the identity*

There may be instances where a foreign supplier purchases a mixture, under a trade name, from another company (tertiary company) and does not know the chemical components of the mixture. The foreign supplier can ask the company manufacturing the trade secret mixture or chemical substance to directly provide EPA with the correct chemical identity in Part IV of Form U. In this case, the tertiary company would register with CDX and use the Unique Identifier for Joint Submissions, sent to the foreign supplier by the manufacturer (including importer), to complete Part IV of Form U.

Under this scenario, the foreign supplier does not have access to any of the information submitted to EPA by the tertiary company. Likewise, the tertiary company cannot see the information the foreign supplier reports to EPA. This way, the confidentiality of information for both the foreign supplier and tertiary company is protected.

#### **4.11.4 Confidentiality of Information Jointly Submitted**

All of the confidentiality requirements discussed earlier in these Instructions apply to information submitted jointly. However, joint submissions include information required to connect the two reports and their related data. For example, a joint submission requires that the primary submitter provide its trade name and supplier identity. A secondary submitter would provide the composition of its product.

These data elements specific to joint submissions do require that claims of confidentiality be made, but do not require upfront substantiation:

- Joint submission information from the primary submitter including trade name and supplier identification required pursuant to § 711.15(b)(3)(i)(A), (B), and (C).
- Joint submission information from the secondary submitter including the percentage of formulation required pursuant to § 711.15(b)(3)(i)(A), (B), and (C). (40 CFR 711.30(a)(3))

Because signatures are required by each party of a joint submission, they must each register with CDX, and complete their own sections of the same Form U report. (See separate CDR registration and e-CDRweb User Guides). The reporting tool will match both submissions based upon the unique ID number sent by the manufacturer (including importer) to notify the

supplier of the partial CDR submission. Suppliers do not have access to any of the information submitted to EPA by the manufacturer. Likewise, manufacturers cannot see the information that the supplier reports to EPA. This way, the confidentiality of information for all submitters is protected. The information provided by both submitters will be combined and processed as one joint submission once they are received by EPA.

**NOTE: In the event that a manufacturer (including importer) actually knows or can reasonably ascertain the chemical identity (e.g., the CASRN or Accession Number) of a chemical substance subject to CDR reporting, the manufacturer (including importer) must provide that information irrespective of a supplier's confidentiality claims. If such a primary submitter wishes to claim the chemical identity as confidential, to do so they must check the CBI box and provide upfront substantiation as described in 4.7.1 of this chapter.**

## 5. How to Obtain Copies of Documents Cited in This Instructions Document

### 5.1 Obtaining Copies of the TSCA Rules

The CDR rule, [40 CFR Part 711](#), is available on the U.S. Government Publishing Office website, [www.ecfr.gov](http://www.ecfr.gov).

You may also contact the TSCA Hotline by telephone at (202) 554-1404 or by email [tsc hotline@epa.gov](mailto:tsc hotline@epa.gov) for assistance.

### 5.2 Obtaining Copies of the Public Portion of the TSCA Inventory

Information on how to access the non-confidential version of the TSCA Inventory and help using the files is available on EPA's website at [www.epa.gov/tsc a-inventory](http://www.epa.gov/tsc a-inventory).

### 5.3 Obtaining Copies of Other Information Materials for the 2020 CDR

EPA has developed documents to provide additional information on submitting information for the 2020 CDR. All materials are available on the "[How To Report Under Chemical Data Reporting](#)" page of the CDR website at [www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting](http://www.epa.gov/chemical-data-reporting/how-report-under-chemical-data-reporting).

Reporting Electronically: *[note: these documents have not yet been updated, but will be prior to the start of the 2020 submission period]*

- Instructions on CDX registration
- e-CDRweb user guides
- Schemas and Schema guides

#### [2020 Chemical Data Reporting Frequent Questions](#)

Fact Sheets: *[note: these documents have not yet been updated, but will be prior to the start of the 2020 submission period]*

- [Reporting Thresholds for 2020](#)
- [Chemical Substances which are the Subject of Certain TSCA Actions](#)
- [Reporting After Changes to Company Ownership or Legal Identity](#)
- [Importers](#)
- [Imported Articles](#)
- [Co-Manufacturing](#)
- [Byproducts Reporting for the Printed Circuit Board Industry](#)

Webinars and Training:

- 2020 CDR Reporting Requirements Presentations

# Appendix A

## Glossary

The definitions and descriptions of terms used in CDR reporting provided below are taken from 40 CFR Part 711 unless otherwise noted.

**Act** means the Toxic Substances Control Act, as amended, 15 U.S.C. 2601 *et seq.*

**Administrator** means the Administrator of the Environmental Protection Agency. (See TSCA 3(1))

**Article** means a manufactured item (1) which is formed to a specific shape or design during manufacture, (2) which has end-use function(s) dependent in whole or in part upon its shape or design during end use, and (3) which has either no change of chemical composition during its end use or only those changes of composition which have no commercial purpose separate from that of the article, and that result from a chemical reaction that occurs upon end use of other chemical substances, mixtures, or articles; except that fluids and particles are not considered articles regardless of shape or design. (40 CFR 704.3)

**Byproduct** means a chemical substance produced without separate commercial intent during the manufacture, processing, use, or disposal of another chemical substance(s) or mixture(s). (40 CFR 704.3)

**Central Data Exchange (CDX)** means EPA's centralized electronic document receiving system, or its successors, including associated instructions for registering to submit electronic documents.

**Chemical substance** means any organic or inorganic substance of a particular molecular identity, including any combination of such substances occurring in whole or in part as a result of a chemical reaction or occurring in nature, and any element or uncombined radical.

“Chemical substance” does *not* include:

- (1) Any mixture;
- (2) Any pesticide (as defined in the Federal Insecticide, Fungicide, and Rodenticide Act) when manufactured, processed, or distributed in commerce for use as a pesticide;
- (3) Tobacco or any tobacco product;
- (4) Any source material, special nuclear material, or byproduct material (as such terms are defined in the Atomic Energy Act of 1954 [42 U.S.C. 2011 *et seq.*] and the regulations issued under such Act);
- (5) Any article the sale of which is the subject to the tax imposed by section 4181 of the Internal Revenue Code of 1986 [26 U.S.C. 4181] (determined without regard to any exemptions from such tax provided by section 4182 or 4221 or any other provision of such Code) and any component of such an article (limited to shot shells, cartridges, and components of shot shells and cartridges); and
- (6) Any food, food additive, drug, cosmetic, or device (as such terms are defined in section 201 of the Federal Food, Drug, and Cosmetic Act [21 U.S.C. 321]) when manufactured, processed, or distributed in commerce for use as a food, food additive, drug, cosmetic, or device. (See TSCA 3(2))

**Commerce** means trade, traffic, transportation, or other commerce: (A) between a place in a State and any place outside of such State, or (B) which affects trade, traffic, transportation, or commerce described in clause (A). (TSCA 3(3))

**Commercial use** means the use of a chemical substance or a mixture containing a chemical substance (including as part of an article) in a commercial enterprise providing saleable goods or services.

**Consumer use** means the use of a chemical substance or a mixture containing a chemical substance (including as part of an article) when sold to or made available to consumers for their use.

**Customs territory of the United States**, as referenced in TSCA section 3 and defined in general note 2 of the Harmonized Tariff Schedule of the United States, includes only the States, the District of Columbia, and Puerto Rico.

**Distribute in commerce and distribution in commerce**, when used to describe an action taken with respect to a chemical substance or mixture or article containing a substance or mixture mean to sell, or the sale of, the substance, mixture, or article in commerce; to introduce or deliver for introduction into commerce, or the introduction or delivery for introduction into commerce of, the substance, mixture, or article; or to hold, or the holding of, the substance, mixture, or article after its introduction into commerce. (TSCA 3(5))

**e-CDRweb** means the electronic, web-based tool provided by EPA for the completion of Form U and submission of the CDR data.

**EPA** means the United States Environmental Protection Agency. (40 CFR 704.3)

**Importer** means

- (1) any person who imports any chemical substance or any chemical substance as part of a mixture or article into the customs territory of the United States, and includes:
  - (i) the person primarily liable for the payment of any duties on the merchandise, or
  - (ii) an authorized agent acting on his/her behalf.
- (2) Importer also includes, as appropriate:
  - (i) The consignee.
  - (ii) The importer of record.
  - (iii) The actual owner if an actual owner's declaration and superseding bond have been filed in accordance with 19 CFR 141.20.
  - (iv) The transferee, if the right to draw merchandise in a bonded warehouse has been transferred in accordance with subpart C of 19 CFR part 144.
- (3) For the purposes of this definition, the customs territory of the United States consists of the 50 States, Puerto Rico, and the District of Columbia. (40 CFR 704.3)

**Impurity** means a chemical substance which is unintentionally present with another chemical substance. (40 CFR 704.3)

**Industrial function** means the intended physical or chemical characteristic for which a chemical substance or mixture is consumed as a reactant; incorporated into a formulation,

mixture, reaction product, or article; repackaged; or used.

**Industrial use** means use at a site at which one or more chemical substances or mixtures are manufactured (including imported) or processed.

**Inorganic chemical substance** means any chemical substance which does not contain carbon or contains carbon only in the form of carbonato [=CO<sub>3</sub>], cyano [-CN], cyanato [-OCN], isociano [-NC], or isocyanato [-NCO] groups, or the chalcogen analogues of such groups.

**Intended for use by children** means the chemical substance or mixture is used in a product that is specifically intended for use by children age 14 or younger. A chemical substance or mixture is intended for use by children when the submitter answers “yes” to at least one of the following questions for the product into which the submitter’s chemical substance or mixture is incorporated:

- (1) Is the product commonly recognized (i.e., by a reasonable person) as being intended for children age 14 or younger?
- (2) Does the manufacturer of the product state through product labeling or other written materials that the product is intended or will be used by children age 14 or younger?
- (3) Is the advertising, promotion, or marketing of the product aimed at children age 14 or younger?

**Intermediate** means any chemical substance that is consumed, in whole or in part, in chemical reactions used for the intentional manufacture of other chemical substances or mixtures, or that is intentionally present for the purpose of altering the rates of such chemical reactions. (40 CFR 704.3)

**Known to or reasonably ascertainable by** means all information in a person’s possession or control, plus all information that a reasonable person similarly situated might be expected to possess, control, or know. (40 CFR 704.3)

**Manufacture** means to manufacture, produce, or import for commercial purposes. Manufacture includes the extraction, for commercial purposes, of a component chemical substance from a previously existing chemical substance or complex combination of substances. A chemical substance is co-manufactured by the person who physically does the manufacturing and the person contracting for such production when that chemical substance, manufactured other than by import, is: (1) produced exclusively for another person who contracts for such production, and (2) that other person dictates the specific identity of the chemical substance and controls the total amount produced and the basic technology for the manufacturing process.

**Manufacturer** means a person who manufactures a chemical substance.

**Manufacture for commercial purposes** means: (1) to import, produce, or manufacture with the purpose of obtaining an immediate or eventual commercial advantage for the manufacturer, and includes among other things, such “manufacture” of any amount of a chemical substance or mixture:

- (i) For commercial distribution, including for test marketing.
- (ii) For use by the manufacturer, including use for product research and development, or as an intermediate.

(2) Manufacture for commercial purposes also applies to substances that are produced



coincidentally during the manufacture, processing, use, or disposal of another substance or mixture, including both byproducts that are separated from that other substance or mixture and impurities that remain in that substance or mixture. Such byproducts and impurities may, or may not, in themselves have commercial value. They are nonetheless produced for the purpose of obtaining a commercial advantage since they are part of the manufacture of a chemical product for a commercial purpose. (40 CFR 704.3)

**Master Inventory File** means EPA's comprehensive list of chemical substances which constitute the Chemical Substances Inventory compiled under section 8(b) of the Act. It includes substances reported under 40 CFR Part 710 and substances reported under Part 720 for which a Notice of Commencement of Manufacture or Import has been received under §720.120.

**Microorganism** means any combination of chemical substances that is a living organism and that meets the definition of microorganism at 40 CFR 725.3. Any chemical substance produced from a living microorganism is reportable under the CDR regulation unless otherwise excluded.

**Mixture** means any combination of two or more chemical substances if the combination does not occur in nature and is not, in whole or in part, the result of a chemical reaction; except that such term does include any combination which occurs, in whole or in part, as a result of a chemical reaction if none of the chemical substances comprising the combination is a new chemical substance and if the combination could have been manufactured for commercial purposes without a chemical reaction at the time the chemical substances comprising the combination were combined. (TSCA 3(10))

**Naturally occurring substance** is any chemical substance which is naturally occurring and: (1) which is (i) unprocessed or (ii) processed only by manual, mechanical, or gravitational means, by dissolution in water, by flotation, or by heating solely to remove water; or (2) which is extracted from air by any means. (40 CFR 710.4(b))

**Non-isolated intermediate** means any intermediate that is not intentionally removed from the equipment in which it is manufactured, including the reaction vessel in which it is manufactured, equipment which is ancillary to the reaction vessel, and any equipment through which the substance passes during a continuous flow process, but not including tanks or other vessels in which the substance is stored after its manufacture. (40 CFR 704.3)

**Parent Company** means the highest-level company(s) of the site's ownership hierarchy as of the start of the submission period during which data are being reported according to the following instructions. The U.S. parent company is located within the United States while the foreign parent company is located outside the United States:

- (1) If the site is entirely owned by a single U.S. company that is not owned by another company, that single company is the U.S. parent company.
- (2) If the site is entirely owned by a single U.S. company that is, itself, owned by another U.S.-based company (e.g., it is a division or subsidiary of a higher-level company), the highest-level company in the ownership hierarchy is the United States parent company. If there is a higher-level parent company that is outside of the United States, the highest-level foreign company in the ownership hierarchy is the foreign parent company.
- (3) If the site is owned by more than one company (e.g., company A owns 40 percent,

company B owns 35 percent, and company C owns 25 percent), the highest-level U.S. company with the largest ownership interest in the site is the U.S. parent company. If there is a higher-level foreign company in the ownership hierarchy, that company is the foreign parent company.

(4) If the site is owned by a 50:50 joint venture or a cooperative, the joint venture or cooperative is its own parent company. If the site is owned by a U.S. joint venture or cooperative, the highest level of the joint venture or cooperative is the U.S. parent company. If the site is owned by a joint venture or cooperative outside the United States, the highest level of the joint venture or cooperative outside the United States is the foreign parent company.

(5) If the site is entirely owned by a foreign company (i.e., without a U.S.-based subsidiary within the site's ownership hierarchy), the highest-level foreign parent company is the facility's foreign parent company.

(6) If the site is federally owned, the highest-level federal agency or department is the U.S. parent company.

(7) If the site is owned by a non-federal public entity, that entity (such as a municipality, State, or tribe) is the U.S. parent company.

**Person** means any individual, firm, company, corporation, joint venture, partnership, sole proprietorship, association, or any other business entity; any State or political subdivision thereof, or any municipality; any interstate body; and any department, agency, or instrumentality of the Federal government. (40 CFR 704.3)

**Polymer** means any chemical substance described with the word fragments “\*polym\*”, “\*alkyd\*”, or “oxylated” in the Chemical Abstracts (CA) Index Name in the Master Inventory File, where the asterisk (\*) in the listed word fragments indicates that any sets of characters may precede, or follow, the character string defined. Polymers also include any chemical substance which is identified in the Master Inventory File as siloxane(s) and silicone(s), silsesquioxane(s), a protein (albumin, casein, gelatin, gluten, hemoglobin), an enzyme, a polysaccharide (starch, cellulose, or gum), rubber, or lignin. The polymer exclusion does not apply to a polymeric substance that has been hydrolyzed, depolymerized, or otherwise chemically modified, except in cases where the intended product of this reaction is totally polymeric in structure.

**Principal reporting year** means the latest complete calendar year preceding the submission period.

**Process** means to process for commercial purposes. (40 CFR 704.3)

**Process for commercial purposes** means the preparation of a chemical substance or mixture after its manufacture for distribution in commerce with the purpose of obtaining an immediate or eventual commercial advantage for the processor. Processing of any amount of a chemical substance or mixture is included in this definition. If a chemical substance or mixture containing impurities is processed for commercial purposes, then the impurities also are processed for commercial purposes. (40 CFR 704.3)

**Processor** means any person who processes a chemical substance or mixture. (40 CFR 704.3)

**Reasonably likely to be exposed** means an exposure to a chemical substance which,

under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures.

**Repackaging** means the physical transfer of a chemical substance or mixture, as is, from one container to another container or containers in preparation for distribution of the chemical substance or mixture in commerce.

**Reportable chemical substance** means a chemical substance described in §711.5.

**Site** means a contiguous property unit. Property divided only by a public right-of-way shall be considered one site. More than one plant may be located on a single site.

(a) For chemical substances manufactured under contract, i.e., by a co-manufacturer, the site is the location where the chemical substance is physically manufactured.

(b) The site for an importer who imports a chemical substance described in §711.5 is the U.S. site of the operating unit within the person's organization that is directly responsible for importing the substance. The import site, in some instances, may be the organization's headquarters in the United States. If there is no such operating unit or headquarters in the United States, the site address for the importer is the United States address of an agent acting on behalf of the importer who is authorized to accept service of process for the importer.

(c) For portable manufacturing units sent out to different locations from a single distribution center, the distribution center shall be considered the site.

**Site-limited** means a chemical substance is manufactured and processed only within a site and is not distributed for commercial purposes as a substance or as part of a mixture or article outside the site. Imported substances are never site-limited. Although a site-limited chemical substance is not distributed for commercial purposes outside the site at which it is manufactured and processed, the substance is considered to have been manufactured and processed for commercial purposes.

**Small government** means the government of a city, county, town, township, village, school district, or special district with a population of less than 50,000. 40 CFR 704.3)

**Small manufacturer** means a manufacturer (including importer) that meets either of the following standards:

(1) *First standard.* A manufacturer (including importer) of a substance is small if its total annual sales, when combined with those of its parent company (if any), are less than \$110 million. However, if the annual production or importation volume of a particular substance at any individual site owned or controlled by the manufacturer or importer is greater than 45,400 kilograms (100,000 lbs), the manufacturer (including importer) will not qualify as small for purposes of reporting on the production or

importation of that substance at that site, unless the manufacturer (including importer) qualifies as small under standard (2) of this definition.

(2) *Second standard.* A manufacturer (including importer) of a substance is small if its total annual sales, when combined with those of its parent company (if any), are less than \$11 million, regardless of the quantity of substances produced or imported by that manufacturer (including importer). (40 CFR 704.3)

**Small quantities solely for research and development** (or “small quantities solely for purposes of scientific experimentation or analysis or chemical research on, or analysis of, such substance or another substance, including such research or analysis for the development of a product”) means quantities of a chemical substance manufactured, imported, or processed or proposed to be manufactured, imported, or processed solely for research and development that are no greater than reasonably necessary for such purposes. (40 CFR 704.3)

**State** means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, the Canal Zone, American Samoa, the Northern Mariana Islands, or any other territory or possession of the United States. (TSCA 3(16))

**Submission period** means the period in which manufacturing, processing, and use data are submitted to EPA.

**Test marketing** means the distribution in commerce of no more than a predetermined amount of chemical substance, mixture, or article containing that chemical substance or mixture, or a mixture containing that substance, by a manufacturer or processor, to no more than a defined number of potential customers to explore market capability in a competitive situation during a predetermined testing period prior to the broader distribution of that chemical substance, mixture, or article in commerce. (40 CFR 704.3)

**United States**, when used in the geographic sense, means all of the States. (TSCA 3(17))

**Use** means any utilization of a chemical substance or mixture that is not otherwise covered by the terms *manufacture* or *process*. Relabeling or redistributing a container holding a chemical substance or mixture where no repackaging of the chemical substance or mixture occurs does not constitute use or processing of the chemical substance or mixture.

# Appendix B

## Chemical Substances That Are the Subject of Certain TSCA Actions

This appendix provides assistance in determining whether your chemical substance is the subject of certain TSCA actions that affect your ability to use the exemptions allowed for in the CDR rule. Certain chemical substances, such as polymers, microorganisms, naturally occurring substances, certain natural gases, and water, generally are exempted from reporting under CDR (see 40 CFR 711.6). Small manufactures as described in 40 CFR 711.9 also generally are exempted from reporting under CDR. Table B-1 provides a brief description of these two provisions. If, however, a chemical substance is the subject of certain TSCA actions, the exemption may no longer be applicable. Table B-2 provides a comparison of the effects of TSCA actions on different CDR requirements or exemptions. See Sections 2.1.4 and 2.2.4 for further discussion.

You can access a list of the chemical substances using EPA's Substance Registry Services (SRS) at [www.epa.gov/srs](http://www.epa.gov/srs). In SRS, you can search for either a specific chemical or you can search for a complete list of chemicals related to a type of regulation or other characteristic that affects the status of a chemical related to CDR. Note that CDR submitters are ultimately responsible for adhering to a chemical's reporting requirements that are based upon the status of the chemical in SRS on June 1, 2020, which is the first day of the CDR submission period.

To search for a specific chemical, visit the SRS "Search and Retrieve" webpage, type in a substance name in the "Synonym" field or a CASRN in the "Substance Identifier" field, and select "Search". Link to the chemical result that most closely meets your search needs. Select "Program and Regulatory Information." You can see the "Statutes/Regulations" and other characteristics that apply to the chemical.

To search for a list of chemicals that are related to a regulation or other CDR-related characteristic, visit the SRS "Search and Retrieve" webpage and select "Search by List". Select the chemical list that you would like to view and select "Search." To see only 2020 CDR-specific lists, type "2020 CDR" in the "Filter" box and select "Filter."

For more detailed instructions, view [How to Search for Chemicals that are the Subject of Certain TSCA Actions](#) on the CDR website.

**Table B-1. Explanation of Reporting Requirements**

<b>40 CFR 711</b>	<b>Reporting Requirements</b>	<b>Explanation of Reporting Requirements</b>
§ 711.6	Some groups or categories of chemical substances are exempted from some or all of the reporting requirements of this part, with the following exception: A chemical substance described in paragraph (a)(1), (a)(2), or (a)(4), or (b) of this section is not exempted from any of the reporting requirements of this part if that chemical substance is the subject of a rule proposed or promulgated under TSCA section 4, 5(a)(2), 5(b)(4), or 6, or is the subject of a consent agreement developed under the procedures of 40 CFR part 790, or is the subject of an order issued under TSCA section 4, 5(e), or 5(f), or is the subject of relief that has been granted under a civil action under TSCA section 5 or 7.	Information must be reported for chemical substances that would otherwise be wholly or partially exempted from CDR requirements because they are the subject of certain TSCA actions.
§ 711.8	Any person who manufactured (including imported) for commercial purposes any chemical substance that is the subject of a rule proposed or promulgated under TSCA section 5(a)(2), 5(b)(4), or 6, or is the subject of an order in effect under TSCA section 4, 5(e) or 5(f), or is the subject of relief that has been granted under a civil action under TSCA section 5 or 7 is subject to reporting as described in §711.8(a), except that the applicable production volume threshold is 2,500 lb (1,134 kg).	Chemical substances that are the subject of certain TSCA actions are to be reported based on a lower threshold of 2,500 lbs.
§ 711.9	A person described in § 711.8 is not subject to the requirements of this part if that person qualifies as a small manufacturer as that term is defined in 40 CFR 704.3. Notwithstanding this exclusion, a person who qualifies as a small manufacturer is subject to this part with respect to any chemical substance that is the subject of a rule proposed or promulgated under TSCA section 4, 5(b)(4), or 6, or is the subject of an order in effect under TSCA section 4 or 5(e), or is the subject of relief that has been granted under a civil action under TSCA section 5 or 7.	The exemption for small businesses does not apply to persons who manufacture (including import) a chemical substance that is the subject of certain TSCA actions. Even in such circumstances, however, the volume thresholds for reporting found in §711.8 still apply.

**Table B-2. Comparison of the effects of TSCA actions on different CDR requirements or exemptions**

TSCA action	CDR requirement		
	Subject to 2,500 lb reporting threshold	Not eligible for certain full or partial exemptions from reporting	Not eligible for small manufacturer exemption
TSCA section 4 rules (proposed or promulgated)		✓	✓
TSCA section 4 orders	✓	✓	✓
Enforceable Consent Agreements (ECAs)		✓	
TSCA section 5(a)(2) SNURs (proposed or promulgated)	✓	✓	
TSCA section 5(b)(4) rules (proposed or promulgated)	✓	✓	✓
TSCA section 6 rules (proposed or promulgated)	✓	✓	✓
TSCA section 5(e) orders	✓	✓	✓
TSCA section 5(f) orders	✓	✓	
TSCA section 5 civil actions	✓	✓	✓
TSCA section 7 civil actions	✓	✓	✓

# Appendix C

## Chemical Substances Partially Exempt from Reporting in 2020

Chemical substances that are partially exempt from reporting requirements under the CDR rule in 2020 are listed in 40 CFR 711.6(b)(1) and 711.6(b)(2); these lists are included below. Note that inorganic chemical substances are no longer partially exempt from reporting requirements in 2020, so submitters should report complete information on inorganic chemical substances, including processing and use information.

IMPORTANT: This document is intended to be an information resource. While EPA has tried to provide an accurate list of chemical substances, the list may contain errors and omissions. This list should not be relied upon in lieu of the *Code of Federal Rules*. In the event of a conflict between this list and the *Code of Federal Rules*, this list will not be considered controlling.

**Table C-1. Partially Exempt Chemical Substances Termed “Petroleum Process Streams” Under 40 CFR 711.6(b)(1)**

CAS Registry Number	Product
8002-05-9	Petroleum
8002-74-2	Paraffin waxes and hydrocarbon waxes
8006-20-0	Fuel gases, low and medium B.T.U.
8008-20-6	Kerosine (petroleum)
8009-03-8	Petrolatum
8012-95-1	Paraffin oils
8030-30-6	Naphtha
8032-32-4	Ligroine
8042-47-5	White mineral oil (petroleum)
8052-41-3	Stoddard solvent
8052-42-4	Asphalt
61789-60-4	Pitch
63231-60-7	Paraffin waxes and hydrocarbon waxes, microcryst.
64741-41-9	Naphtha (petroleum), heavy straight-run
64741-42-0	Naphtha (petroleum), full-range straight-run
64741-43-1	Gas oils (petroleum), straight-run
64741-44-2	Distillates (petroleum), straight-run middle
64741-45-3	Residues (petroleum), atm. Tower
64741-46-4	Naphtha (petroleum), light straight-run
64741-47-5	Natural gas condensates (petroleum)
64741-49-7	Condensates (petroleum), vacuum tower
64741-50-0	Distillates (petroleum), light paraffinic



CAS Registry Number	Product
64741-51-1	Distillates (petroleum), heavy paraffinic
64741-52-2	Distillates (petroleum), light naphthenic
64741-53-3	Distillates (petroleum), heavy naphthenic
64741-54-4	Naphtha (petroleum), heavy catalytic cracked
64741-55-5	Naphtha (petroleum), light catalytic cracked
64741-56-6	Residues (petroleum), vacuum
64741-57-7	Gas oils (petroleum), heavy vacuum
64741-58-8	Gas oils (petroleum), light vacuum
64741-59-9	Distillates (petroleum), light catalytic cracked
64741-60-2	Distillates (petroleum), intermediate catalytic cracked
64741-61-3	Distillates (petroleum), heavy catalytic cracked
64741-62-4	Clarified oils (petroleum), catalytic cracked
64741-63-5	Naphtha (petroleum), light catalytic reformed
64741-64-6	Naphtha (petroleum), full-range alkylate
64741-65-7	Naphtha (petroleum), heavy alkylate
64741-66-8	Naphtha (petroleum), light alkylate
64741-67-9	Residues (petroleum), catalytic reformer fractionator
64741-68-0	Naphtha (petroleum), heavy catalytic reformed
64741-69-1	Naphtha (petroleum), light hydrocracked
64741-70-4	Naphtha (petroleum), isomerization
64741-73-7	Distillates (petroleum), alkylate
64741-74-8	Naphtha (petroleum), light thermal cracked
64741-75-9	Residues (petroleum), hydrocracked
64741-76-0	Distillates (petroleum), heavy hydrocracked
64741-77-1	Distillates (petroleum), light hydrocracked
64741-78-2	Naphtha (petroleum), heavy hydrocracked
64741-79-3	Coke (petroleum)
64741-80-6	Residues (petroleum), thermal cracked
64741-81-7	Distillates (petroleum), heavy thermal cracked
64741-82-8	Distillates (petroleum), light thermal cracked
64741-83-9	Naphtha (petroleum), heavy thermal cracked
64741-84-0	Naphtha (petroleum), solvent-refined light
64741-85-1	Raffinates (petroleum), sorption process
64741-86-2	Distillates (petroleum), sweetened middle
64741-87-3	Naphtha (petroleum), sweetened
64741-88-4	Distillates (petroleum), solvent-refined heavy paraffinic
64741-89-5	Distillates (petroleum), solvent-refined light paraffinic
64741-90-8	Gas oils (petroleum), solvent-refined

CAS Registry Number	Product
64741-91-9	Distillates (petroleum), solvent-refined middle
64741-92-0	Naphtha (petroleum), solvent-refined heavy
64741-95-3	Residual oils (petroleum), solvent deasphalted
64741-96-4	Distillates (petroleum), solvent-refined heavy naphthenic
64741-97-5	Distillates (petroleum), solvent-refined light naphthenic
64741-98-6	Extracts (petroleum), heavy naphtha solvent
64741-99-7	Extracts (petroleum), light naphtha solvent
64742-01-4	Residual oils (petroleum), solvent-refined
64742-03-6	Extracts (petroleum), light naphthenic distillate solvent
64742-04-7	Extracts (petroleum), heavy paraffinic distillate solvent
64742-05-8	Extracts (petroleum), light paraffinic distillate solvent
64742-06-9	Extracts (petroleum), middle distillate solvent
64742-07-0	Raffinates (petroleum), residual oil decarbonization
64742-08-1	Raffinates (petroleum), heavy naphthenic distillate decarbonization
64742-09-2	Raffinates (petroleum), heavy paraffinic distillate decarbonization
64742-10-5	Extracts (petroleum), residual oil solvent
64742-11-6	Extracts (petroleum), heavy naphthenic distillate solvent
64742-12-7	Gas oils (petroleum), acid-treated
64742-13-8	Distillates (petroleum), acid-treated middle
64742-14-9	Distillates (petroleum), acid-treated light
64742-15-0	Naphtha (petroleum), acid-treated
64742-16-1	Petroleum resins
64742-18-3	Distillates (petroleum), acid-treated heavy naphthenic
64742-19-4	Distillates (petroleum), acid-treated light naphthenic
64742-20-7	Distillates (petroleum), acid-treated heavy paraffinic
64742-21-8	Distillates (petroleum), acid-treated light paraffinic
64742-22-9	Naphtha (petroleum), chemically neutralized heavy
64742-23-0	Naphtha (petroleum), chemically neutralized light
64742-24-1	Sludges (petroleum), acid
64742-25-2	Lubricating oils (petroleum), acid-treated spent
64742-26-3	Hydrocarbon waxes (petroleum), acid-treated
64742-27-4	Distillates (petroleum), chemically neutralized heavy paraffinic
64742-28-5	Distillates (petroleum), chemically neutralized light paraffinic
64742-29-6	Gas oils (petroleum), chemically neutralized
64742-30-9	Distillates (petroleum), chemically neutralized middle
64742-31-0	Distillates (petroleum), chemically neutralized light
64742-32-1	Lubricating oils (petroleum), chemically neutralized spent
64742-33-2	Hydrocarbon waxes (petroleum), chemically neutralized

CAS Registry Number	Product
64742-34-3	Distillates (petroleum), chemically neutralized heavy naphthenic
64742-35-4	Distillates (petroleum), chemically neutralized light naphthenic
64742-36-5	Distillates (petroleum), clay-treated heavy paraffinic
64742-37-6	Distillates (petroleum), clay-treated light paraffinic
64742-38-7	Distillates (petroleum), clay-treated middle
64742-39-8	Neutralizing agents (petroleum), spent sodium carbonate
64742-40-1	Neutralizing agents (petroleum), spent sodium hydroxide
64742-41-2	Residual oils (petroleum), clay-treated
64742-42-3	Hydrocarbon waxes (petroleum), clay-treated microcryst.
64742-43-4	Paraffin waxes (petroleum), clay-treated
64742-44-5	Distillates (petroleum), clay-treated heavy naphthenic
64742-45-6	Distillates (petroleum), clay-treated light naphthenic
64742-46-7	Distillates (petroleum), hydrotreated middle
64742-47-8	Distillates (petroleum), hydrotreated light
64742-48-9	Naphtha (petroleum), hydrotreated heavy
64742-49-0	Naphtha (petroleum), hydrotreated light
64742-50-3	Lubricating oils (petroleum), clay-treated spent
64742-51-4	Paraffin waxes (petroleum), hydrotreated
64742-52-5	Distillates (petroleum), hydrotreated heavy naphthenic
64742-53-6	Distillates (petroleum), hydrotreated light naphthenic
64742-54-7	Distillates (petroleum), hydrotreated heavy paraffinic
64742-55-8	Distillates (petroleum), hydrotreated light paraffinic
64742-56-9	Distillates (petroleum), solvent-dewaxed light paraffinic
64742-57-0	Residual oils (petroleum), hydrotreated
64742-58-1	Lubricating oils (petroleum), hydrotreated spent
64742-59-2	Gas oils (petroleum), hydrotreated vacuum
64742-60-5	Hydrocarbon waxes (petroleum), hydrotreated microcryst.
64742-61-6	Slack wax (petroleum)
64742-62-7	Residual oils (petroleum), solvent-dewaxed
64742-63-8	Distillates (petroleum), solvent-dewaxed heavy naphthenic
64742-64-9	Distillates (petroleum), solvent-dewaxed light naphthenic
64742-65-0	Distillates (petroleum), solvent-dewaxed heavy paraffinic
64742-67-2	Foots oil (petroleum)
64742-68-3	Naphthenic oils (petroleum), catalytic dewaxed heavy
64742-69-4	Naphthenic oils (petroleum), catalytic dewaxed light
64742-70-7	Paraffin oils (petroleum), catalytic dewaxed heavy
64742-71-8	Paraffin oils (petroleum), catalytic dewaxed light
64742-72-9	Distillates (petroleum), catalytic dewaxed middle

CAS Registry Number	Product
64742-73-0	Naphtha (petroleum), hydrodesulfurized light
64742-75-2	Naphthenic oils (petroleum), complex dewaxed heavy
64742-76-3	Naphthenic oils (petroleum), complex dewaxed light
64742-78-5	Residues (petroleum), hydrodesulfurized atmospheric tower
64742-79-6	Gas oils (petroleum), hydrodesulfurized
64742-80-9	Distillates (petroleum), hydrodesulfurized middle
64742-81-0	Kerosine (petroleum), hydrodesulfurized
64742-82-1	Naphtha (petroleum), hydrodesulfurized heavy
64742-83-2	Naphtha (petroleum), light steam-cracked
64742-85-4	Residues (petroleum), hydrodesulfurized vacuum
64742-86-5	Gas oils (petroleum), hydrodesulfurized heavy vacuum
64742-87-6	Gas oils (petroleum), hydrodesulfurized light vacuum
64742-88-7	Solvent naphtha (petroleum), medium aliph.
64742-89-8	Solvent naphtha (petroleum), light aliph.
64742-90-1	Residues (petroleum), steam-cracked
64742-91-2	Distillates (petroleum), steam-cracked
64742-92-3	Petroleum resins, oxidized
64742-93-4	Asphalt, oxidized
64742-94-5	Solvent naphtha (petroleum), heavy arom.
64742-95-6	Solvent naphtha (petroleum), light arom.
64742-96-7	Solvent naphtha (petroleum), heavy aliph.
64742-97-8	Distillates (petroleum), oxidized heavy
64742-98-9	Distillates (petroleum), oxidized light
64742-99-0	Residual oils (petroleum), oxidized
64743-00-6	Hydrocarbon waxes (petroleum), oxidized
64743-01-7	Petrolatum (petroleum), oxidized
64743-02-8	Alkenes, C>10 .alpha.-
64743-03-9	Phenols (petroleum)
64743-04-0	Coke (petroleum), recovery
64743-05-1	Coke (petroleum), calcined
64743-06-2	Extracts (petroleum), gas oil solvent
64743-07-3	Sludges (petroleum), chemically neutralized
64754-89-8	Naphthenic acids (petroleum), crude
64771-71-7	Paraffins (petroleum), normal C>10
64771-72-8	Paraffins (petroleum), normal C5-20
67254-74-4	Naphthenic oils
67674-12-8	Residual oils (petroleum), oxidized, compounds with triethanolamine
67674-13-9	Petrolatum (petroleum), oxidized, partially deacidified

CAS Registry Number	Product
67674-15-1	Petrolatum (petroleum), oxidized, Me ester
67674-16-2	Hydrocarbon waxes (petroleum), oxidized, partially deacidified
67674-17-3	Distillates (petroleum), oxidized light, compounds with triethanolamine
67674-18-4	Distillates (petroleum), oxidized light, Bu esters
67891-79-6	Distillates (petroleum), heavy arom.
67891-80-9	Distillates (petroleum), light arom.
67891-81-0	Distillates (petroleum), oxidized light, potassium salts
67891-82-1	Hydrocarbon waxes (petroleum), oxidized, compounds with ethanolamine
67891-83-2	Hydrocarbon waxes (petroleum), oxidized, compounds with isopropanolamine
67891-85-4	Hydrocarbon waxes (petroleum), oxidized, compounds with triisopropanolamine
67891-86-5	Hydrocarbon waxes (petroleum), oxidized, compounds with diisopropanolamine
68131-05-5	Hydrocarbon oils, process blends
68131-49-7	Aromatic hydrocarbons, C6-10, acid-treated, neutralized
68131-75-9	Gases (petroleum), C3-4
68153-22-0	Paraffin waxes and Hydrocarbon waxes, oxidized
68187-57-5	Pitch, coal tar-petroleum
68187-58-6	Pitch, petroleum, arom.
68187-60-0	Hydrocarbons, C4, ethane-propane-cracked
68307-98-2	Tail gas (petroleum), catalytic cracked distillate and catalytic cracked naphtha fractionation absorber
68307-99-3	Tail gas (petroleum), catalytic polymn. naphtha fractionation stabilizer
68308-00-9	Tail gas (petroleum), catalytic reformed naphtha fractionation stabilizer, hydrogen sulfide-free
68308-01-0	Tail gas (petroleum), cracked distillate hydrotreater stripper
68308-02-1	Tail gas (petroleum), distn., hydrogen sulfide-free
68308-03-2	Tail gas (petroleum), gas oil catalytic cracking absorber
68308-04-3	Tail gas (petroleum), gas recovery plant
68308-05-4	Tail gas (petroleum), gas recovery plant deethanizer
68308-06-5	Tail gas (petroleum), hydrodesulfurized distillate and hydrodesulfurized naphtha fractionator, acid-free
68308-07-6	Tail gas (petroleum), hydrodesulfurized vacuum gas oil stripper, hydrogen sulfide-free
68308-08-7	Tail gas (petroleum), isomerized naphtha fractionation stabilizer
68308-09-8	Tail gas (petroleum), light straight-run naphtha stabilizer, hydrogen sulfide-free
68308-10-1	Tail gas (petroleum), straight-run distillate hydrodesulfurizer, hydrogen sulfide-free
68308-11-2	Tail gas (petroleum), propane-propylene alkylation feed prep deethanizer
68308-12-3	Tail gas (petroleum), vacuum gas oil hydrodesulfurizer, hydrogen sulfide-free
68308-27-0	Fuel gases, refinery
68333-22-2	Residues (petroleum), atmospheric
68333-23-3	Naphtha (petroleum), heavy coker

CAS Registry Number	Product
68333-24-4	Hydrocarbon waxes (petroleum), oxidized, compds. with triethanolamine
68333-25-5	Distillates (petroleum), hydrodesulfurized light catalytic cracked
68333-26-6	Clarified oils (petroleum), hydrodesulfurized catalytic cracked
68333-27-7	Distillates (petroleum), hydrodesulfurized intermediate catalytic cracked
68333-28-8	Distillates (petroleum), hydrodesulfurized heavy catalytic cracked
68333-29-9	Residues (petroleum), light naphtha solvent extracts
68333-30-2	Distillates (petroleum), oxidized heavy thermal cracked
68333-81-3	Alkanes, C4-12
68333-88-0	Aromatic hydrocarbons, C9-17
68334-30-5	Fuels, diesel
68409-99-4	Gases (petroleum), catalytic cracked overheads
68410-00-4	Distillates (petroleum), crude oil
68410-05-9	Distillates (petroleum), straight-run light
68410-12-8	Distillates (petroleum), steam-cracked, C5-10 fraction, high-temp. stripping products with light steamcracked petroleum naphtha C5 fraction polymers
68410-71-9	Raffinates (petroleum), catalytic reformer ethylene glycol-water countercurrent exts.
68410-96-8	Distillates (petroleum), hydrotreated middle, intermediate boiling
68410-97-9	Distillates (petroleum), light distillate hydrotreating process, low-boiling
68410-98-0	Distillates (petroleum), hydrotreated heavy naphtha, deisohexanizer overheads
68411-00-7	Alkenes, C>8
68425-29-6	Distillates (petroleum), naphtha-raffinate pyrolyzate-derived, gasoline-blending
68425-33-2	Petrolatum (petroleum), oxidized, barium salt
68425-34-3	Petrolatum (petroleum), oxidized, calcium salt
68425-35-4	Raffinates (petroleum), reformer, Lurgi unit-sepd.
68425-39-8	Alkenes, C>10 .alpha.-, oxidized
68441-09-8	Hydrocarbon waxes (petroleum), clay-treated microcryst, contg. polyethylene, oxidized
68459-78-9	Alkenes, C18-24 .alpha.-, dimers
68475-57-0	Alkanes, C1-2
68475-58-1	Alkanes, C2-3
68475-59-2	Alkanes, C3-4
68475-60-5	Alkanes, C4-5
68475-61-6	Alkenes, C5, naphtha-raffinate pyrolyzate-derived
68475-70-7	Aromatic hydrocarbons, C6-8, naphtha-raffinate pyrolyzate-derived
68475-79-6	Distillates (petroleum), catalytic reformed depentanizer
68475-80-9	Distillates (petroleum), light steam-cracked naphtha
68476-26-6	Fuel gases
68476-27-7	Fuel gases, amine system residues
68476-28-8	Fuel gases, C6-8 catalytic reformer

CAS Registry Number	Product
68476-29-9	Fuel gases, crude oil distillates
68476-30-2	Fuel oil, no. 2
68476-31-3	Fuel oil, no. 4
68476-32-4	Fuel oil, residues-straight-run gas oils, high-sulfur
68476-33-5	Fuel oil, residual
68476-34-6	Fuels, diesel, no. 2
68476-39-1	Hydrocarbons, aliph.-arom.-C4-5-olefinic
68476-40-4	Hydrocarbons, C3-4
68476-42-6	Hydrocarbons, C4-5
68476-43-7	Hydrocarbons, C4-6, C5-rich
68476-44-8	Hydrocarbons, C>3
68476-45-9	Hydrocarbons, C5-10 arom. conc., ethylene-manuf.-by-product
68476-46-0	Hydrocarbons, C3-11, catalytic cracker distillates
68476-47-1	Hydrocarbons, C2-6, C6-8 catalytic reformer
68476-49-3	Hydrocarbons, C2-4, C3-rich
68476-50-6	Hydrocarbons, C>5, C5-6-rich
68476-52-8	Hydrocarbons, C4, ethylene-manuf.-by-product
68476-53-9	Hydrocarbons, C>20, petroleum wastes
68476-54-0	Hydrocarbons, C3-5, polymn. unit feed
68476-55-1	Hydrocarbons, C5-rich
68476-56-2	Hydrocarbons, cyclic C5 and C6
68476-77-7	Lubricating oils, refined used
68476-81-3	Paraffin waxes and Hydrocarbon waxes, oxidized, calcium salts
68476-84-6	Petroleum products, gases, inorg.
68476-85-7	Petroleum gases, liquefied
68476-86-8	Petroleum gases, liquefied, sweetened
68477-25-8	Waste gases, vent gas, C1-6
68477-26-9	Wastes, petroleum
68477-29-2	Distillates (petroleum), catalytic reformer fractionator residue, high-boiling
68477-30-5	Distillates (petroleum), catalytic reformer fractionator residue, intermediate-boiling
68477-31-6	Distillates (petroleum), catalytic reformer fractionator residue, low-boiling
68477-33-8	Gases (petroleum), C3-4, isobutane-rich
68477-34-9	Distillates (petroleum), C3-5, 2-methyl-2-butene-rich
68477-35-0	Distillates (petroleum), C3-6, piperylene-rich
68477-36-1	Distillates (petroleum), cracked steam-cracked, C5-18 fraction
68477-38-3	Distillates (petroleum), cracked steam-cracked petroleum distillates
68477-39-4	Distillates (petroleum), cracked stripped steam-cracked petroleum distillates, C8-10 fraction
68477-40-7	Distillates (petroleum), cracked stripped steam-cracked petroleum distillates, C10-12 fraction

CAS Registry Number	Product
68477-41-8	Gases (petroleum), extractive, C3-5, butadiene-butene-rich
68477-42-9	Gases (petroleum), extractive, C3-5, butene-isobutylene-rich
68477-44-1	Distillates (petroleum), heavy naphthenic, mixed with steam-cracked petroleum distillates C5-12 fraction
68477-47-4	Distillates (petroleum), mixed heavy olefin vacuum, heart-cut
68477-48-5	Distillates (petroleum), mixed heavy olefin vacuum, low-boiling
68477-53-2	Distillates (petroleum), steam-cracked, C5-12 fraction
68477-54-3	Distillates (petroleum), steam-cracked, C8-12 fraction
68477-55-4	Distillates (petroleum), steam-cracked, C5-10 fraction, mixed with light steam-cracked petroleum naphtha C5 fraction
68477-58-7	Distillates (petroleum), steam-cracked petroleum distillates, C5-18 fraction
68477-59-8	Distillates (petroleum), steam-cracked petroleum distillates cyclopentadiene conc.
68477-60-1	Extracts (petroleum), cold-acid
68477-61-2	Extracts (petroleum), cold-acid, C4-6
68477-62-3	Extracts (petroleum), cold-acid, C3-5, butene-rich
68477-63-4	Extracts (petroleum), reformer recycle
68477-64-5	Gases (petroleum), acetylene manuf. off
68477-65-6	Gases (petroleum), amine system feed
68477-66-7	Gases (petroleum), benzene unit hydrodesulfurizer off
68477-67-8	Gases (petroleum), benzene unit recycle, hydrogen-rich
68477-68-9	Gases (petroleum), blend oil, hydrogen-nitrogen-rich
68477-69-0	Gases (petroleum), butane splitter overheads
68477-70-3	Gases (petroleum), C2-3
68477-71-4	Gases (petroleum), catalytic-cracked gas oil depropanizer bottoms, C4-rich acid-free
68477-72-5	Gases (petroleum), catalytic-cracked naphtha debutanizer bottoms, C3-5-rich
68477-73-6	Gases (petroleum), catalytic cracked naphtha depropanizer overhead, C3-rich acid-free
68477-74-7	Gases (petroleum), catalytic cracker
68477-75-8	Gases (petroleum), catalytic cracker, C1-5-rich
68477-76-9	Gases (petroleum), catalytic polymd. naphtha stabilizer overhead, C2-4-rich
68477-77-0	Gases (petroleum), catalytic reformed naphtha stripper overheads
68477-79-2	Gases (petroleum), catalytic reformer, C1-4-rich
68477-80-5	Gases (petroleum), C6-8 catalytic reformer recycle
68477-81-6	Gases (petroleum), C6-8 catalytic reformer
68477-82-7	Gases (petroleum), C6-8 catalytic reformer recycle, hydrogen-rich
68477-83-8	Gases (petroleum), C3-5 olefinic-paraffinic alkylation feed
68477-84-9	Gases (petroleum), C2-return stream
68477-85-0	Gases (petroleum), C4-rich
68477-86-1	Gases (petroleum), deethanizer overheads
68477-87-2	Gases (petroleum), deisobutanizer tower overheads



CAS Registry Number	Product
68477-88-3	Gases (petroleum), deethanizer overheads, C3-rich
68477-89-4	Distillates (petroleum), depentanizer overheads
68477-90-7	Gases (petroleum), depropanizer dry, propene-rich
68477-91-8	Gases (petroleum), depropanizer overheads
68477-92-9	Gases (petroleum), dry sour, gas-concn.-unit-off
68477-93-0	Gases (petroleum), gas concn. reabsorber distn.
68477-94-1	Gases (petroleum), gas recovery plant depropanizer overheads
68477-95-2	Gases (petroleum), Girbatol unit feed
68477-96-3	Gases (petroleum), hydrogen absorber off
68477-97-4	Gases (petroleum), hydrogen-rich
68477-98-5	Gases (petroleum), hydrotreater blend oil recycle, hydrogen-nitrogen rich
68477-99-6	Gases (petroleum), isomerized naphtha fractionater, C4-rich, hydrogen sulfide-free
68478-00-2	Gases (petroleum), recycle, hydrogen-rich
68478-01-3	Gases (petroleum), reformer make-up, hydrogen-rich
68478-02-4	Gases (petroleum), reforming hydrotreater
68478-03-5	Gases (petroleum), reforming hydrotreater, hydrogen-methane-rich
68478-04-6	Gases (petroleum), reforming hydrotreater make-up, hydrogen-rich
68478-05-7	Gases (petroleum), thermal cracking distn.
68478-08-0	Naphtha (petroleum), light steam-cracked, C5-fraction, oligomer conc.
68478-10-4	Naphtha (petroleum), light steam-cracked, debenzenized, C8-16-cycloalkadiene conc.
68478-12-6	Residues (petroleum), butane splitter bottoms
68478-13-7	Residues (petroleum), catalytic reformer fractionator residue distn.
68478-15-9	Residues (petroleum), C6-8 catalytic reformer
68478-16-0	Residual oils (petroleum), deisobutanizer tower
68478-17-1	Residues (petroleum), heavy coker gas oil and vacuum gas oil
68478-18-2	Residues (petroleum), heavy olefin vacuum
68478-19-3	Residual oils (petroleum), propene purifn. splitter
68478-20-6	Residues (petroleum), steam-cracked petroleum distillates cyclopentadiene conc., C4 cyclopentadiene free
68478-22-8	Tail gas (petroleum), catalytic cracked naphtha stabilization absorber
68478-24-0	Tail gas (petroleum), catalytic cracker, catalytic reformer and hydrodesulfurizer combined fractionater
68478-25-1	Tail gas (petroleum), catalytic cracker refractionation absorber
68478-26-2	Tail gas (petroleum), catalytic reformed naphtha fractionation stabilizer
68478-27-3	Tail gas (petroleum), catalytic reformed naphtha separator
68478-28-4	Tail gas (petroleum), catalytic reformed naphtha stabilizer
68478-29-5	Tail gas (petroleum), cracked distillate hydrotreater separator
68478-30-8	Tail gas (petroleum), hydrodesulfurized straight-run naphtha separator
68478-31-9	Tail gas (petroleum), isomerized naphtha fractionates, hydrogen sulfide-free

CAS Registry Number	Product
68478-32-0	Tail gas (petroleum), saturate gas plant mixed stream, C4-rich
68478-33-1	Tail gas (petroleum), saturate gas recovery plant, C1-2-rich
68478-34-2	Tail gas (petroleum), vacuum residues thermal cracker
68512-61-8	Residues (petroleum), heavy coker and light vacuum
68512-62-9	Residues (petroleum), light vacuum
68512-78-7	Solvent naphtha (petroleum), light arom., hydrotreated
68512-91-4	Hydrocarbons, C3-4-rich, petroleum distillates
68513-02-0	Naphtha (petroleum), full-range coker
68513-03-1	Naphtha (petroleum), light catalytic reformed, aromatic-free
68513-11-1	Fuel gases, hydrotreater fractionation, scrubbed
68513-12-2	Fuel gases, saturate gas unit fractionater-absorber overheads
68513-13-3	Fuel gases, thermal cracked catalytic cracking residue
68513-14-4	Gases (petroleum), catalytic reformed straight-run naphtha stabilizer overheads
68513-15-5	Gases (petroleum), full-range straight-run naphtha dehexanizer off
68513-16-6	Gases (petroleum), hydrocracking depropanizer off, hydrocarbon-rich
68513-17-7	Gases (petroleum), light straight-run naphtha stabilizer off
68513-18-8	Gases (petroleum), reformer effluent high-pressure flash drum off
68513-19-9	Gases (petroleum), reformer effluent low-pressure flash drum off
68513-62-2	Disulfides, C5-12-alkyl
68513-63-3	Distillates (petroleum), catalytic reformed straight-run naphtha overheads
68513-65-5	Butane, branched and linear
68513-66-6	Residues (petroleum), alkylation splitter, C4-rich
68513-67-7	Residues (petroleum), cyclooctadiene bottoms
68513-68-8	Residues (petroleum), deethanizer tower
68513-69-9	Residues (petroleum), steam-cracked light
68513-74-6	Waste gases, ethylene oxide absorber-reactor
68514-15-8	Gasoline, vapor-recovery
68514-29-4	Hydrocarbons, amylene feed debutanizer overheads nonextractable raffinates
68514-31-8	Hydrocarbons, C1-4
68514-32-9	Hydrocarbons, C10 and C12, olefin-rich
68514-33-0	Hydrocarbons, C12 and C14, olefin-rich
68514-34-1	Hydrocarbons, C9-14, ethylene-manuf.-by-product
68514-35-2	Hydrocarbons, C14-30, olefin-rich
68514-36-3	Hydrocarbons, C1-4, sweetened
68514-37-4	Hydrocarbons, C4-5-unsatd.
68514-38-5	Hydrocarbons, C4-10-unsatd.
68514-39-6	Naphtha (petroleum), light steam-cracked, isoprene-rich
68514-79-4	Petroleum products, hydrofiner-powerformer reformates

CAS Registry Number	Product
68515-25-3	Benzene, C1-9-alkyl derivs.
68515-26-4	Benzene, di-C12-14-alkyl derivs.
68515-27-5	Benzene, di-C10-14-alkyl derivs., fractionation overheads, heavy ends
68515-28-6	Benzene, di-C10-14-alkyl derivs., fractionation overheads, light ends
68515-29-7	Benzene, di-C10-14-alkyl derivs., fractionation overheads, middle cut
68515-30-0	Benzene, mono-C20-48-alkyl derivs.
68515-32-2	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms
68515-33-3	Benzene, mono-C10-12-alkyl derivs., fractionation bottoms, heavy ends
68515-34-4	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms, heavy ends
68515-35-5	Benzene, mono-C10-12-alkyl derivs., fractionation bottoms, light ends
68515-36-6	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms, light ends
68516-20-1	Naphtha (petroleum), steam-cracked middle arom.
68526-52-3	Alkenes, C6
68526-53-4	Alkenes, C6-8, C7-rich
68526-54-5	Alkenes, C7-9, C8-rich
68526-55-6	Alkenes, C8-10, C9-rich
68526-56-7	Alkenes, C9-11, C10-rich
68526-57-8	Alkenes, C10-12, C11-rich
68526-58-9	Alkenes, C11-13, C12-rich
68526-77-2	Aromatic hydrocarbons, ethane cracking scrubber effluent and flare drum
68526-99-8	Alkenes, C6-9 .alpha.-
68527-00-4	Alkenes, C8-9 .alpha.-
68527-11-7	Alkenes, C5
68527-13-9	Gases (petroleum), acid, ethanolamine scrubber
68527-14-0	Gases (petroleum), methane-rich off
68527-15-1	Gases (petroleum), oil refinery gas distn. off
68527-16-2	Hydrocarbons, C1-3
68527-18-4	Gas oils (petroleum), steam-cracked
68527-19-5	Hydrocarbons, C1-4, debutanizer fraction
68527-21-9	Naphtha (petroleum), clay-treated full-range straight-run
68527-22-0	Naphtha (petroleum), clay-treated light straight-run
68527-23-1	Naphtha (petroleum), light steam-cracked arom.
68527-26-4	Naphtha (petroleum), light steam-cracked, debenzenized
68527-27-5	Naphtha (petroleum), full-range alkylate, butane-contg.
68553-00-4	Fuel oil, no. 6
68553-14-0	Hydrocarbons, C8-11
68602-79-9	Distillates (petroleum), benzene unit hydrotreater dipentanizer overheads
68602-81-3	Distillates, hydrocarbon resin prodn. higher boiling

CAS Registry Number	Product
68602-82-4	Gases (petroleum), benzene unit hydrotreater depentenizer overheads
68602-83-5	Gases (petroleum), C1-5, wet
68602-84-6	Gases (petroleum), secondary absorber off, fluidized catalytic cracker overheads fractionater
68602-96-0	Distillates (petroleum), oxidized light, strong acid components, compds. with diethanolamine
68602-97-1	Distillates (petroleum), oxidized light, strong acid components, sodium salts
68602-98-2	Distillates (petroleum), oxidized light, strong acid components
68602-99-3	Distillates (petroleum), oxidized light, strong acid-free
68603-00-9	Distillates (petroleum), thermal cracked naphtha and gas oil
68603-01-0	Distillates (petroleum), thermal cracked naphtha and gas oil, C5-dimer-contg.
68603-02-1	Distillates (petroleum), thermal cracked naphtha and gas oil, dimerized
68603-03-2	Distillates (petroleum), thermal cracked naphtha and gas oil, extractive
68603-08-7	Naphtha (petroleum), arom.-contg.
68603-09-8	Hydrocarbon waxes (petroleum), oxidized, calcium salts
68603-10-1	Hydrocarbon waxes (petroleum), oxidized, Me esters, barium salts
68603-11-2	Hydrocarbon waxes (petroleum), oxidized, Me esters, calcium salts
68603-12-3	Hydrocarbon waxes (petroleum), oxidized, Me esters, sodium salts
68603-13-4	Petrolatum (petroleum), oxidized, ester with sorbitol
68603-14-5	Residual oils (petroleum), oxidized, calcium salts
68603-31-6	Alkenes, C10, tert-amylene concentrator by-product
68603-32-7	Alkenes, C15-20 .alpha.-, isomerized
68606-09-7	Fuel gases, expander off
68606-10-0	Gasoline, pyrolysis, debutanizer bottoms
68606-11-1	Gasoline, straight-run, topping-plant
68606-24-6	Hydrocarbons, C4, butene concentrator by-product
68606-25-7	Hydrocarbons, C2-4
68606-26-8	Hydrocarbons, C3
68606-27-9	Gases (petroleum), alkylation feed
68606-28-0	Hydrocarbons, C5 and C10-aliph. and C6-8-arom.
68606-31-5	Hydrocarbons, C3-5, butadiene purifn. by-product
68606-34-8	Gases (petroleum), depropanizer bottoms fractionation off
68606-36-0	Hydrocarbons, C5-unsatd. rich, isoprene purifn. by-product
68607-11-4	Petroleum products, refinery gases
68607-30-7	Residues (petroleum), topping plant, low-sulfur
68608-56-0	Waste gases, from carbon black manuf.
68647-60-9	Hydrocarbons, C>4
68647-61-0	Hydrocarbons, C4-5, tert-amylene concentrator by-product
68647-62-1	Hydrocarbons, C4-5, butene concentrator by-product, sour
68650-36-2	Aromatic hydrocarbons, C8, o-xylene-lean

CAS Registry Number	Product
68650-37-3	Paraffin waxes (petroleum), oxidized, sodium salts
68782-97-8	Distillates (petroleum), hydrofined lubricating-oil
68782-98-9	Extracts (petroleum), clarified oil solvent, condensed-ring-arom.-contg.
68782-99-0	Extracts (petroleum), heavy clarified oil solvent, condensed-ring-arom.-contg.
68783-00-6	Extracts (petroleum), heavy naphthenic distillate solvent, arom. conc.
68783-01-7	Extracts (petroleum), heavy naphthenic distillate solvent, paraffinic conc.
68783-02-8	Extracts (petroleum), intermediate clarified oil solvent, condensed-ring-arom.-contg.
68783-04-0	Extracts (petroleum), solvent-refined heavy paraffinic distillate solvent
68783-05-1	Gases (petroleum), ammonia-hydrogen sulfide, water-satd.
68783-06-2	Gases (petroleum), hydrocracking low-pressure separator
68783-07-3	Gases (petroleum), refinery blend
68783-08-4	Gas oils (petroleum), heavy atmospheric
68783-09-5	Naphtha (petroleum), catalytic cracked light distd.
68783-12-0	Naphtha (petroleum), unsweetened
68783-13-1	Residues (petroleum), coker scrubber, condensed-ring-arom.-contg.
68783-15-3	Alkenes, C6-7 .alpha.-
68783-61-9	Fuel gases, refinery, sweetened
68783-62-0	Fuel gases, refinery, unsweetened
68783-64-2	Gases (petroleum), catalytic cracking
68783-65-3	Gases (petroleum), C2-4, sweetened
68783-66-4	Naphtha (petroleum), light, sweetened
68814-47-1	Waste gases, refinery vent
68814-67-5	Gases (petroleum), refinery
68814-89-1	Extracts (petroleum), heavy paraffinic distillates, solvent-deasphalted
68814-87-9	Distillates (petroleum), full-range straight-run middle
68814-90-4	Gases (petroleum), platformer products separator off
68814-91-5	Alkenes, C5-9 .alpha.-
68855-57-2	Alkenes, C6-12 .alpha.-
68855-58-3	Alkenes, C10-16 .alpha.-
68855-59-4	Alkenes, C14-18 .alpha.-
68855-60-7	Alkenes, C14-20 .alpha.-
68911-58-0	Gases (petroleum), hydrotreated sour kerosine depentanizer stabilizer off
68911-59-1	Gases (petroleum), hydrotreated sour kerosine flash drum
68915-96-8	Distillates (petroleum), heavy straight-run
68915-97-9	Gas oils (petroleum), straight-run, high-boiling
68918-69-4	Petrolatum (petroleum), oxidized, zinc salt
68918-73-0	Residues (petroleum), clay-treating filter wash
68918-93-4	Paraffin waxes and Hydrocarbon waxes, oxidized, alkali metal salts

CAS Registry Number	Product
68918-98-9	Fuel gases, refinery, hydrogen sulfide-free
68918-99-0	Gases (petroleum), crude oil fractionation off
68919-00-6	Gases (petroleum), dehexanizer off
68919-01-7	Gases (petroleum), distillate unfiner desulfurization stripper off
68919-02-8	Gases (petroleum), fluidized catalytic cracker fractionation off
68919-03-9	Gases (petroleum), fluidized catalytic cracker scrubbing secondary absorber off
68919-04-0	Gases (petroleum), heavy distillate hydrotreater desulfurization stripper off
68919-05-1	Gases (petroleum), light straight run gasoline fractionation stabilizer off
68919-06-2	Gases (petroleum), naphtha unfiner desulfurization stripper off
68919-07-3	Gases (petroleum), platformer stabilizer off, light ends fractionation
68919-08-4	Gases (petroleum), preflash tower off, crude distn.
68919-09-5	Gases (petroleum), straight-run naphtha catalytic reforming off
68919-10-8	Gases (petroleum), straight-run stabilizer off
68919-11-9	Gases (petroleum), tar stripper off
68919-12-0	Gases (petroleum), unfiner stripper off
68919-15-3	Hydrocarbons, C6-12, benzene-recovery
68919-16-4	Hydrocarbons, catalytic alkylation, by-products, C3-6
68919-17-5	Hydrocarbons, C12-20, catalytic alkylation by-products
68919-19-7	Gases (petroleum), fluidized catalytic cracker splitter residues
68919-20-0	Gases (petroleum), fluidized catalytic cracker splitter overheads
68919-37-9	Naphtha (petroleum), full-range reformed
68920-06-9	Hydrocarbons, C7-9
68920-07-0	Hydrocarbons, C<10-linear
68920-64-9	Disulfides, di-C1-2-alkyl
68921-07-3	Distillates (petroleum), hydrotreated light catalytic cracked
68921-09-5	Distillates (petroleum), naphtha unfiner stripper
68921-08-4	Distillates (petroleum), light straight-run gasoline fractionation stabilizer overheads
68921-67-5	Hydrocarbons, ethylene-manuf.-by-product distn. residues
68952-76-1	Gases (petroleum), catalytic cracked naphtha debutanizer
68952-77-2	Tail gas (petroleum), catalytic cracked distillate and naphtha stabilizer
68952-78-3	Tail gas (petroleum), catalytic hydrodesulfurized distillate fractionation stabilizer, hydrogen sulfide-free
68952-79-4	Tail gas (petroleum), catalytic hydrodesulfurized naphtha separator
68952-80-7	Tail gas (petroleum), straight-run naphtha hydrodesulfurizer
68952-81-8	Tail gas (petroleum), thermal-cracked distillate, gas oil and naphtha absorber
68952-82-9	Tail gas (petroleum), thermal cracked hydrocarbon fractionation stabilizer, petroleum coking
68953-80-0	Benzene, mixed with toluene, dealkylation product
68955-27-1	Distillates (petroleum), petroleum residues vacuum

CAS Registry Number	Product
68955-28-2	Gases (petroleum), light steam-cracked, butadiene conc.
68955-31-7	Gases (petroleum), butadiene process, inorg.
68955-32-8	Natural gas, substitute, steam-reformed desulfurized naphtha
68955-33-9	Gases (petroleum), sponge absorber off, fluidized catalytic cracker and gas oil desulfurizer overhead fractionation
68955-34-0	Gases (petroleum), straight-run naphtha catalytic reformer stabilizer overhead
68955-35-1	Naphtha (petroleum), catalytic reformed
68955-36-2	Residues (petroleum), steam-cracked, resinous
68955-76-0	Aromatic hydrocarbons, C9-16, biphenyl deriv.-rich
68955-96-4	Disulfides, dialkyl and di-Ph, naphtha sweetening
68956-47-8	Fuel oil, isoprene reject absorption
68956-48-9	Fuel oil, residual, wastewater skimmings
68956-52-5	Hydrocarbons, C4-8
68956-54-7	Hydrocarbons, C4-unsatd.
68956-55-8	Hydrocarbons, C5-unsatd.
68956-70-7	Petroleum products, C5-12, reclaimed, wastewater treatment
68988-79-4	Benzene, C10-12-alkyl derivs., distn. residues
68988-99-8	Phenols, sodium salts, mixed with sulfur compounds, gasoline alk. scrubber residues
68989-88-8	Gases (petroleum), crude distn. and catalytic cracking
68990-35-2	Distillates (petroleum), arom., hydrotreated, dicyclopentadiene-rich
68991-49-1	Alkanes, C10-13, arom.-free desulfurized
68991-50-4	Alkanes, C14-17, arom.-free desulfurized
68991-51-5	Alkanes, C10-13, desulfurized
68991-52-6	Alkenes, C10-16
69013-21-4	Fuel oil, pyrolysis
69029-75-0	Oils, reclaimed
69430-33-7	Hydrocarbons, C6-30
70024-88-3	Ethene, thermal cracking products
70528-71-1	Distillates (petroleum), heavy distillate solvent ext. heart-cut
70528-72-2	Distillates (petroleum), heavy distillate solvent ext. vacuum overheads
70528-73-3	Residues (petroleum), heavy distillate solvent ext. vacuum
70592-76-6	Distillates (petroleum), intermediate vacuum
70592-77-7	Distillates (petroleum), light vacuum
70592-78-8	Distillates (petroleum), vacuum
70592-79-9	Residues (petroleum), atm. tower, light
70693-00-4	Hydrocarbon waxes (petroleum), oxidized, sodium salts
70693-06-0	Aromatic hydrocarbons, C9-11
70913-85-8	Residues (petroleum), solvent-extd. vacuum distilled atm. residuum

CAS Registry Number	Product
70913-86-9	Alkanes, C18-70
70955-08-7	Alkanes, C4-6
70955-09-8	Alkenes, C13-14 .alpha.-
70955-10-1	Alkenes, C15-18 .alpha.-
70955-17-8	Aromatic hydrocarbons, C12-20
71243-66-8	Hydrocarbon waxes (petroleum), clay-treated, microcryst., oxidized, potassium salts
71302-82-4	Hydrocarbons, C5-8, Houdry butadiene manuf. by-product
71329-37-8	Residues (petroleum), catalytic cracking depropanizer, C4-rich
71808-30-5	Tail gas (petroleum), thermal cracking absorber
72230-71-8	Distillates (petroleum), cracked steam-cracked, C5-17 fraction
72623-83-7	Lubricating oils (petroleum), C>25, hydrotreated bright stock-based
72623-84-8	Lubricating oils (petroleum), C15-30, hydrotreated neutral oil-based, contg. solvent deasphalted residual oil
72623-85-9	Lubricating oils (petroleum), C20-50, hydrotreated neutral oil-based, high-viscosity
72623-86-0	Lubricating oils (petroleum), C15-30, hydrotreated neutral oil-based
72623-87-1	Lubricating oils (petroleum), C20-50, hydrotreated neutral oil-based
73138-65-5	Hydrocarbon waxes (petroleum), oxidized, magnesium salts
92045-43-7	Lubricating oils (petroleum) hydrocracked nonaromatic solvent deparaffined
92045-58-4	Naphtha (petroleum), isomerization, C6-fraction
92062-09-4	Slack wax (petroleum), hydrotreated
93762-80-2	Alkenes, C15-18
98859-55-3	Distillates (petroleum), oxidized heavy, compounds with diethanolamine
98859-56-4	Distillates (petroleum), oxidized heavy, sodium salts
101316-73-8	Lubricating oils (petroleum), used, noncatalytically refined
164907-78-2	Extracts (petroleum), asphaltene-low vacuum residue solvent
164907-79-3	Residues (petroleum), vacuum, asphaltene-low
178603-63-9	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C10-25
178603-64-0	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C15-30, branched and cyclic
178603-65-1	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C20-40, branched and cyclic
178603-66-2	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C25-55, branched and cyclic
212210-93-0	Solvent naphtha (petroleum), heavy aromatic, distillation residues
221120-39-4	Distillates (petroleum), cracked steam-cracked, C5-12 fraction
445411-73-4	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C10-25, branched and cyclic



**Table C-2. Partially Exempt Chemical Substances Under 40 CFR 711.6(b)(2)**

CAS Registry Number	Chemical Name
50-70-4	<i>D</i> -glucitol.
50-81-7	<i>L</i> -ascorbic acid.
50-99-7	<i>D</i> -glucose.
56-81-5	1,2,3-Propanetriol.
56-87-1	<i>L</i> -lysine.
57-48-7	D-fructose.
57-50-1	.alpha.- <i>D</i> -Glucopyranoside, .beta.- <i>D</i> -fructofuranosyl.
58-95-7	2H-1-Benzopyran-6-ol, 3,4-dihydro-2,5,7,8-tetramethyl-2-[(4R,8R)-4,8,12-trimethyltridecyl]-, acetate, (2R)-.
59-02-9	2H-1-Benzopyran-6-ol, 3,4-dihydro-2,5,7,8-tetramethyl-2-[(4R,8R)-4,8,12-trimethyltridecyl]-, (2R)-.
59-51-8	Methionine.
68-04-2	1,2,3-Propanetricarboxylic acid, 2-hydroxy-, sodium salt (1:3).
69-65-8	<i>D</i> -mannitol.
77-92-9	1,2,3-Propanetricarboxylic acid, 2-hydroxy-.
87-79-6	<i>L</i> -sorbose.
87-99-0	Xylitol.
96-10-6	Aluminum, chlorodiethyl-.
97-93-8	Aluminum, triethyl-.
100-99-2	Aluminum, tris(2-methylpropyl)-.
123-94-4	Octadecanoic acid, 2,3-dihydroxypropyl ester.
124-38-9	Carbon dioxide.
137-08-6	.beta.-Alanine, N-[(2R)-2,4-dihydroxy-3,3-dimethyl-1-oxobutyl]-, calcium salt (2:1).
142-47-2	<i>L</i> -glutamic acid, monosodium salt.
150-30-1	Phenylalanine.
504-63-2	1,3-Propanediol.
563-43-9	Aluminum, dichloroethyl-.
866-84-2	1,2,3-Propanetricarboxylic acid, 2-hydroxy-, potassium salt (1:3).
1070-00-4	Aluminum, trioctyl-.
1116-70-7	Aluminum, tributyl-.
1116-73-0	Aluminum, trihexyl-.
1191-15-7	Aluminum, hydrobis(2-methylpropyl)-.
1317-65-3	Limestone.
1333-74-0	Hydrogen.
1592-23-0	Octadecanoic acid, calcium salt.
7440-37-1	Argon.
7440-44-0	Carbon.
7727-37-9	Nitrogen.
7782-42-5	Graphite.
7782-44-7	Oxygen.
8001-21-6	Sunflower oil.

CAS Registry Number	Chemical Name
8001-22-7	Soybean oil.
8001-23-8	Safflower oil.
8001-26-1	Linseed oil.
8001-29-4	Cottonseed oil.
8001-30-7	Corn oil.
8001-31-8	Coconut oil.
8001-78-3	Castor oil, hydrogenated.
8001-79-4	Castor oil.
8002-03-7	Peanut oil.
8002-13-9	Rape oil.
8002-43-5	Lecithins.
8002-75-3	Palm oil.
8006-54-0	Lanolin.
8013-07-8	Soybean oil, epoxidized.
8016-28-2	Lard, oil.
8016-70-4	Soybean oil, hydrogenated.
8021-99-6	Charcoal, bone.
8023-79-8	Oils, palm kernel.
8029-43-4	Syrups, hydrolyzed starch.
11103-57-4	Vitamin A.
12075-68-2	Aluminum, di-.mu.-chlorochlorotriethyl-di-.
12542-85-7	Aluminum, trichlorotrimethyl-di-.
16291-96-6	Charcoal.
26836-47-5	<i>D</i> -glucitol, monooctadecanoate.
61788-61-2	Fatty acids, tallow, methyl esters.
61789-44-4	Fatty acids, castor-oil.
61789-97-7	Tallow.
61789-99-9	Lard.
64147-40-6	Castor oil, dehydrated.
64755-01-7	Fatty acids, tallow, calcium salts.
65996-63-6	Starch, acid-hydrolyzed.
65996-64-7	Starch, enzyme-hydrolyzed.
66071-94-1	Corn, steep liquor.
67701-01-3	Fatty acids, C12-18.
67762-26-9	Fatty acids, C14-18 and C16-18 unsaturated, methyl esters.
67762-38-3	Fatty acids, C16-18 and C-18 unsaturated, methyl esters.
67784-80-9	Soybean oil, methyl esters.
68002-85-7	Fatty acids, C14-22 and C16-22-unsatd.
68131-37-3	Syrups, hydrolyzed starch, dehydrated.
68188-81-8	Grease, poultry.
68308-36-1	Soybean meal.
68308-54-3	Glycerides, tallow mono-, di- and tri-, hydrogenated.

CAS Registry Number	Chemical Name
68334-00-9	Cottonseed oil, hydrogenated.
68334-28-1	Fats and glyceridic oils, vegetable, hydrogenated.
68409-76-7	Bone meal, steamed.
68424-45-3	Fatty acids, linseed-oil.
68424-61-3	Glycerides, C16-18 and C18-unsatd. mono- and di-.
68425-17-2	Syrups, hydrolyzed starch, hydrogenated
68439-86-1	Bone, ash.
68442-69-3	Benzene, mono-C10-14-alkyl derivs.
68476-78-8	Molasses.
68514-27-2	Grease, catch basin.
68514-74-9	Palm oil, hydrogenated.
68525-87-1	Corn oil, hydrogenated.
68648-87-3	Benzene, C10-16-alkyl derivs.
68918-42-3	Soaps, stocks, soya.
68952-94-3	Soaps, stocks, vegetable-oil.
68956-68-3	Fats and glyceridic oils, vegetable.
68989-98-0	Fats and glyceridic oils, vegetable, residues.
70131-50-9	Bentonite, acid-leached.
73138-67-7	Lard, hydrogenated.
120962-03-0	Canola oil.
129813-58-7	Benzene, mono-C10-13-alkyl derivs.
129813-59-8	Benzene, mono-C12-14-alkyl derivs.
129813-60-1	Benzene, mono-C14-16-alkyl derivs.
129828-16-6	Fatty acids, canola oil, methyl esters.
515152-40-6	Fatty acids, corn oil, methyl esters.

## Appendix D

### ***Descriptions of Codes for Reporting Processing or Use Operations, Industrial Sectors, Function Categories, and Consumer and Commercial Product Categories***

The following descriptions were developed by EPA to assist persons submitting information in response to 40 CFR 711.15(b)(4) and reported in Part III of CDR Form U. For more information, see the Technical Support Document: “Harmonizing CDR Functional and Product codes with OECD Functional, Product, and Article Codes,” located in the rulemaking record (EPA-HQ-OPPT-2018-0321).

**Table D-1. Processing or Use Operation Descriptions**

Code	Operation	Description
PC	Processing as a reactant	Chemical substance is used in chemical reactions for the manufacturing of another chemical substance or product.
PF	Processing—incorporation into formulation, mixture, or reaction product	Chemical substance is added to a product (or product mixture) prior to further distribution of the product.
PA	Processing—incorporation into article	Chemical substance becomes an integral component of an article distributed for industrial, trade, or consumer use.
PK	Processing—repackaging	Preparation of a chemical substance for distribution in commerce in a different form, state, or quantity. This includes transferring the chemical substance from a bulk container into smaller containers. This definition does not apply to sites that only relabel or redistribute the reportable chemical substance without removing the chemical substance from the container in which it is received or purchased.
U	Use—non-incorporative activities	Chemical substance is otherwise used (e.g., as a chemical processing or manufacturing aid).

**Table D-2. Industrial Sector (IS) Code Descriptions**

NAICS	IS Code	IS Title
11	IS1	Agriculture, Forestry, Fishing and Hunting
211	IS2	Oil and Gas Drilling, Extraction, and Support Activities
213		
212	IS3	Mining (except Oil and Gas) and Support Activities
22	IS4	Utilities
23	IS5	Construction
311	IS6	Food, beverage, and tobacco product manufacturing
312		
313	IS7	Textiles, apparel, and leather manufacturing
314		
315		
316		

321	IS8	Wood Product Manufacturing
322	IS9	Paper Manufacturing
323	IS10	Printing and Related Support Activities
32411	IS11	Petroleum Refineries
32412	IS12	Asphalt Paving, Roofing, and Coating Materials Manufacturing
324191	IS13	Petroleum Lubricating Oil and Grease Manufacturing
324199	IS14	All Other Petroleum and Coal Products Manufacturing
32511	IS15	Petrochemical Manufacturing
32512	IS16	Industrial Gas Manufacturing
32513	IS17	Synthetic Dye and Pigment Manufacturing
325182	IS18	Carbon Black Manufacturing
32518	IS19	All Other Basic Inorganic Chemical Manufacturing
325192	IS20	Cyclic Crude and Intermediate Manufacturing
32519	IS21	All Other Basic Organic Chemical Manufacturing
325211	IS22	Plastic Material and Resin Manufacturing
325212	IS23	Synthetic Rubber Manufacturing
32522	IS24	Organic Fiber Manufacturing
3253	IS25	Pesticide, Fertilizer, and Other Agricultural Chemical Manufacturing
3254	IS26	Pharmaceutical and Medicine Manufacturing
32551	IS27	Paint and Coating Manufacturing
32552	IS28	Adhesive Manufacturing
3256	IS29	Soap, Cleaning Compound, and Toilet Preparation Manufacturing
32591	IS30	Printing Ink Manufacturing
32592	IS31	Explosives Manufacturing
325991	IS32	Custom Compounding of Purchased Resin
325992	IS33	Photographic Film Paper, Plate, and Chemical Manufacturing
325998	IS34	All Other Chemical Product and Preparation Manufacturing
3261	IS35	Plastics Product Manufacturing
3262	IS36	Rubber Product Manufacturing
327	IS37	Nonmetallic Mineral Product Manufacturing (includes clay, glass, cement, concrete, lime, gypsum, and other nonmetallic mineral product manufacturing.

NAICS	IS Code	IS Title
331	IS38	Primary Metal Manufacturing
332	IS39	Fabricated Metal Product Manufacturing
333	IS40	Machinery Manufacturing
334	IS41	Computer and Electronic Product Manufacturing
335	IS42	Electrical Equipment, Appliance, and Component Manufacturing
336	IS43	Transportation Equipment Manufacturing
337	IS44	Furniture and Related Product Manufacturing
339	IS45	Miscellaneous Manufacturing
42	IS46	Wholesale and Retail Trade
44		
45		
48		
49		
51	IS47	Services
52		
53		
54		
55		
56		
61		
62		
71		
72		
81		
92		
	IS48	Other (requires additional information)

**Table D-3. Function Category Descriptions**

<b>Code</b>	<b>Category</b>
U001A	Abrasives
U001B	Etching agent
U002A	Adhesion/cohesion promoter
U002B	Binder
U002C	Flux agent
U002D	Sealant (barrier)
U003A	Absorbent
U003B	Adsorbent
U003C	Dehydrating agent (desiccant)
U003D	Drier
U003E	Humectant
U004A	Soil amendments (fertilizers)
U005A	Anti-adhesive/cohesive
U005B	Dusting agent
U006A	Bleaching agent
U006B	Brightener
U007A	Anti-scaling agent
U007B	Corrosion inhibitor
U008A	Dye
U008B	Fixing agent (mordant)
U009A	Hardener
U009B	Filler
U010A	Anti-static agent
U010B	Softener and conditioner
U010C	Swelling agent
U010D	Tanning agents not otherwise specified
U010E	Waterproofing agent
U010F	Wrinkle resisting agent
U011A	Flame retardant
U012A	Fuel agents
U012B	Fuel
U013A	Heat transferring agent
U013B	Hydraulic fluids
U013C	Insulators

Code	Category
U013D	Refrigerants
U014A	Anti-freeze agent
U015A	Intermediate
U015B	Monomers
U016A	Ion exchange agent
U017A	Anti-slip agent
U017B	Lubricating agent
U018A	Deodorizer
U018B	Fragrance
U019A	Oxidizing agent
U019B	Reducing agent
U020A	Photosensitive agent
U020B	Photosensitizers
U020C	Semiconductor and photovoltaic agent
U020D	UV stabilizer
U021A	Opacifer
U021B	Pigment
U022A	Plasticizer
U023A	Plating agent
U024A	Catalyst
U024B	Chain transfer agent
U024C	Chemical reaction regulator
U024D	Crystal growth modifiers (nucleating agents)
U024E	Polymerization promoter
U024F	Terminator/Blocker
U025A	Processing aids, specific to petroleum production
U026A	Antioxidant
U026B	Chelating agent
U026C	Defoamer
U026D	pH regulating agent
U026E	Processing aids not otherwise specified
U027A	Energy Releasers (explosives, motive propellant)
U027B	Foamant
U027C	Propellants, non-motive (blowing agents)
U028A	Cloud-point depressant
U028B	Flocculating agent



<b>Code</b>	<b>Category</b>
U028C	Flotation agent
U028D	Solids separation (precipitating) agent, not otherwise specified
U029A	Cleaning agent
U030A	Diluent
U030B	Solvent
U031A	Surfactant (surface active agent)
U031B	Emulsifier
U032A	Thickening agent
U032B	Viscosity modifiers
U033A	Laboratory chemicals
U034A	Dispersing agent
U034B	Freeze-thaw additive
U034C	Surface modifier
U034D	Wetting agent (non-aqueous)
U035A	Aerating and deaerating agents
U035B	Explosion inhibitor
U035C	Fire extinguishing agent
U035D	Flavoring and nutrient
U036A	Anti-redeposition agent
U036B	Anti-stain agent
U036C	Anti-streaking agent
U037A	Conductive agent
U037B	Incandescent agent
U037C	Magnetic element
U038A	Anti-condensation agent
U038B	Coalescing agent
U038C	Film former
U039A	Demulsifier
U039B	Stabilizing agent
U040A	Alloying element
U040B	Density modifier
U040C	Elasticizer
U040D	Flow promoter
U040E	Sizing agent
U040F	Solubility enhancer
U040G	Vapor pressure modifiers

<b>Code</b>	<b>Category</b>
U041A	Embalming agent
U041B	Heat stabilizer
U041C	Preservative
U042A	Anti-caking agent
U042B	Deflocculant
U042C	Dust suppressant
U042D	Impregnation agent
U042E	Leaching agent
U043A	Tracer
U044A	X-ray absorber
U999A	Other

**Table D-4. Consumer and Commercial Product Category Descriptions**

<b>Code</b>	<b>Category</b>
<b>Chemical Substances in Furnishing, Cleaning, Treatment Care Products</b>	
C101A	Construction and building materials covering large surface areas including stone, plaster, cement, glass and ceramic articles; fabrics, textiles, and apparel
C102A	Furniture & furnishings including plastic articles (soft); leather articles
C103A	Furniture & furnishings including stone, plaster, cement, glass and ceramic articles; metal articles; or rubber articles
C104A	Leather conditioner
C104B	Leather tanning, dye, finishing, impregnation and care products
C104C	Textile (fabric) dyes
C104D	Textile finishing and impregnating/surface treatment products
C105A	All-purpose foam spray cleaner
C105B	All-purpose liquid cleaner/polish
C105C	All-purpose liquid spray cleaner
C105D	All-purpose waxes and polishes
C105E	Appliance cleaners
C105F	Drain and toilet cleaners (liquid)
C105G	Powder cleaners (floors)
C105H	Powder cleaners (porcelain)
C106A	Dishwashing detergent (liquid/gel)
C106B	Dishwashing detergent (unit dose/granule)
C106C	Dishwashing detergent liquid (hand-wash)
C106D	Dry cleaning and associated products
C106E	Fabric enhancers
C106F	Laundry detergent (unit-dose/granule)
C106G	Laundry detergent (liquid)
C106H	Stain removers
C107A	Ion exchangers
C107B	Liquid water treatment products
C107C	Solid/Powder water treatment products
C108A	Liquid body soap
C108B	Liquid hand soap
C108C	Solid bar soap
C109A	Air fresheners for motor vehicles
C109B	Continuous action air fresheners
C109C	Instant action air fresheners
C110A	Anti-static spray
C110B	Apparel finishing, and impregnating/surface treatment products
C110C	Insect repellent treatment
C110D	Pre-market waxes, stains, and polishes applied to footwear
C110E	Post-market waxes, and polishes applied to footwear (shoe polish)
C110F	Waterproofing and water-resistant sprays
<b>Chemical Substances in Construction, Paint, Electrical, and Metal Products</b>	

Code	Category
C201A	Fillers and putties
C201B	Hot-melt adhesives
C201C	One component caulks
C201D	Solder
C201E	Single component glues and adhesives
C201F	Two component caulks
C201G	Two-component glues and adhesives
C202A	Adhesive/Caulk removers
C202B	Aerosol spray paints
C202C	Lacquers, stains, varnishes and floor finishes
C202D	Paint strippers/removers
C202E	Powder coatings
C202F	Radiation curable coatings
C202G	Solvent-based paint
C202H	Thinners
C202I	Water-based paint
C203A	Construction and building materials covering large surface areas, including wood articles
C204A	Construction and building materials covering large surface areas, including paper articles; metal articles; stone, plaster, cement, glass and ceramic articles
C205A	Machinery, mechanical appliances, electrical/electronic articles
C205B	Other machinery, mechanical appliances, electronic/electronic articles
C206A	Articles intended for food contact, including metal articles
C206B	Construction and building materials covering large surface areas, including metal articles
C207A	Electrical batteries and accumulators
<b>Chemical Substances in Packaging, Paper, Plastic, Toys, Hobby Products</b>	
C301A	Articles intended for food contact including paper articles; plastic articles (soft); plastic articles (hard); rubber articles; metal articles; fabrics, textiles, and apparel
C302A	Packaging (excluding food packaging), including paper articles
C302B	Other articles with routine direct contact during normal use, including paper articles
C303A	Packaging (excluding food packaging), including rubber articles; plastic articles (hard); plastic articles (soft)
C303B	Other articles with routine direct contact during normal use including rubber articles; plastic articles (hard)
C304A	Toys intended for children's use (and child dedicated articles), including fabrics, textiles, and apparel; or plastic articles (hard)
C305A	Adhesives applied at elevated temperatures
C305B	Cement/concrete
C305C	Crafting glue
C305D	Crafting paint (applied to body)
C305E	Crafting paint (applied to craft)
C305F	Fixatives and finishing spray coatings
C305G	Modelling clay
C306A	Correction fluid/tape
C306B	Inks in writing equipment (liquid)
C306C	Inks used for stamps

<b>Code</b>	<b>Category</b>
C306D	Toner/Printer cartridge
C307A	Liquid photographic processing solutions
<b>Chemical Substances in Automotive, Fuel, Agriculture, Outdoor Use Products</b>	
C401A	Exterior car washes and soaps
C401B	Exterior car waxes, polishes, and coatings
C401C	Interior car care
C401D	Touch up auto paint
C402A	Degreasers
C402B	Liquid lubricants and greases
C402C	Paste lubricants and greases
C402D	Spray lubricants and greases
C403A	Anti-freeze liquids
C403B	De-icing liquids
C403C	De-icing solids
C403D	Lock de-icers/releasers
C404A	Cooking and heating fuels
C404B	Fuel additives
C404C	Vehicular or appliance fuels
C405A	Explosive materials
C406A	Agricultural non-pesticidal products
C407A	Lawn and garden care products
<b>Chemical Substances in Products not Described by Other Codes</b>	
C980A	Non-TSCA use
C909A	Other (specify)