Recordkeeping and Reporting of the Hydrofluorocarbon Allowance Allocation and Trading Program

PART A OF THE SUPPORTING STATEMENT

# Identification of the Information Collection

## Title: Recordkeeping and Reporting of the Hydrofluorocarbon Allowance Allocation and Trading Program

OMB Number: 2060-XXXX; EPA ICR Number: 2685.02

## Short Characterization

This ICR covers provisions under the American Innovation and Manufacturing (AIM) Act of 2020 that establish limits on total U.S. production and consumption of hydrofluorocarbons (HFCs or regulated substances). To implement the AIM Act, EPA is establishing control measures for individual companies. In accordance with the rulemaking “Phasedown of Hydrofluorocarbons: Establishing the Allowance Allocation and Trading Program under the American Innovation and Manufacturing Act,” reporters are required to electronically report data to EPA.

For the three years covered by this ICR, the total respondent burden associated with this information collection will average 83,598 hours per year and the respondent cost will average $12,102,515 per year. This includes $2,737,392 per year for capital investment and operation and maintenance and $9,365,123 per year for labor. Over the same time period, the total estimated cost for EPA of the information collection will average $4,241,173 per year. The total estimated cost for all respondents and EPA will average $16,343,689 per year.

# Need For, and Use Of, the Collection

## Authority for the Collection

This information collection is authorized under the AIM Act (Section 103 in Division S, Innovation for the Environment, of the Consolidated Appropriations Act, 2021 (Pub. L. 116- 260)). Consistent with the AIM Act’s mandate that on a periodic basis, to be determined by the Administrator, but not less frequently than annually, each person who, within the applicable reporting period, produces, imports, exports, destroys, transforms, uses as a process agent, receives application-specific allowances, repackages, recycles for fire suppression, or reclaims a regulated substance shall submit to the Administrator reports and maintain records. The reports describe, as applicable, the quantity of the regulated substance that the person—produced, imported, and exported; destroyed by a technology approved by the Administrator; used and entirely consumed (except for trace quantities) in the manufacture of another chemical; used as a process agent; or recycled and reclaimed. Further, anyone who receives application-specific allowances (via allocation, transfer, or conferral) must report on the conferral or transfer of allowances, their use of allowances, and request application-specific allowances annually, if needed and eligible. Additional records must be maintained, as are additional reports to document compliance.

The Paperwork Reduction Act (PRA) requires Federal agencies to manage information resources to reduce information collection burdens on the public; increase program efficiency and effectiveness; and improve the integrity, quality, and utility of information to all users within and outside the Agency, including capabilities for ensuring dissemination of public information, public access to government information, and protections for privacy and security (44 USC 3506).

## Practical Utility/Users of the Data

The reporting and recordkeeping requirements for HFCs enables EPA to:

* 1. Ensure compliance with the restrictions on production and import of regulated substances;
	2. Allow production and import for application-specific uses and the consequent tracking of that production and import;
	3. Allow EPA to monitor and approve transfers of HFC production and consumption allowances among producers and importers;
	4. Allow the import of used HFCs for destruction and HFCs for feedstock through a petition process that is designed to reduce fraudulent imports; and
	5. Fulfill statutory obligations under the AIM Act for monitoring and reporting.

# Non-duplication, Consultation, and Other Collection Criteria

## Non-duplication

The Greenhouse Gas Reporting Program (GHGRP) was established in 2009 and requires various facilities and suppliers to annually report data related to GHGs to EPA (see 40 CFR part 98). The relevant subpart that relates to reporting on HFC production and consumption is subpart OO, “Suppliers of Industrial Greenhouse Gases.” Because the HFCs listed as regulated substances under the AIM Act are industrial greenhouse gases (GHGs), EPA has been collecting a significant amount of data relevant to HFC production and consumption as defined under the AIM Act since the GHGRP’s inception.

EPA intends to collect many reports required by this ICR electronically through the electronic Greenhouse Gas Reporting Tool (e-GGRT), which is the web-based system used to collect data under the GHGRP. The use of e-GGRT for HFC reporting will minimize duplicative reporting between the AIM Act and the GHGRP.

Under 40 CFR part 82.164, EPA requires reclaimers of ozone-depleting substances (ODS) and their non-exempt substitutes, including HFCs, to report annually and maintain records on reclamation activity. Under the requirements covered by this ICR, EPA is requiring quarterly reporting on the same information for HFCs, but on a quarterly basis, in addition to other reports, to ensure compliance with the AIM Act. By relying on the same records, EPA will reduce the burden associated with collecting and maintaining two similar but different sets of data elements.

EPA is also requiring reporting of certain import data elements through the Automated Customs Environment (ACE), an electronic reporting platform for customs data, managed by Customs and Border Protection (CBP). With limited exception, EPA is requiring submission of data that are already required by CBP through ACE, just on a potentially earlier timeline for some imports. Use of this system minimizes burden and duplicative reporting between the AIM Act and ACE.

## Public Notice Required Prior to ICR Submission to OMB

The proposed rulemaking “Phasedown of Hydrofluorocarbons: Establishing the Allowance Allocation and Trading Program under the American Innovation and Manufacturing Act” (86 FR 27150, May 19, 2021) served as the public notice for this ICR. EPA requested comment on this ICR in that proposed rulemaking.

## Consultations

The burden calculations were developed based on: EPA’s experience collecting data on similar activities for ODS; EPA’s experience collecting data on HFCs under GHGRP; a stakeholder meeting held on February 25, 2021, in which interested parties provided input on the implementation of the AIM Act; workshops for potential application-specific allowance holders; responses to EPA’s Notice of Data Availability (NODA) (86 FR 9059, February 11, 2021) regarding HFC consumption and production in the United States for the years 2011, 2012, and 2013; responses to EPA’s proposed rulemaking “Phasedown of Hydrofluorocarbons: Establishing the Allowance Allocation and Trading Program under the American Innovation and Manufacturing Act” (86 FR 27150, May 19, 2021); conversations with potentially regulated entities; data from Customs in ACE and confirmed through letters sent out to request additional records from companies (EPA ICR 2684.01). Approximately 200 stakeholders participated in the February 25 meeting, more than 75 stakeholders attended the application-specific allowance holder workshops, and EPA received more than 30 comments from stakeholders on the NODA and more than 170 comments on the proposed rulemaking.

## Effects of Less Frequent Collection

Less frequent than quarterly collection of data would compromise EPA’s ability to meet statutory requirements under the AIM Act to monitor production, import, and export of HFCs and hinder EPA’s ability to identify violations of the existing regulations. Though the AIM Act outlines reporting on a periodic basis “not less frequently than annually,” it does not stipulate that reporting could not occur more frequently. The quarterly reporting requirements are necessary to ensure that annual production and consumption limits are not exceeded. It is also needed for EPA to be able to review allowance transfer requests, of which remaining allowances is a major component of EPA’s review. Where EPA has determined that less frequent reporting is possible, the Agency has required less frequent reporting under the AIM Act. Examples include biannual reporting for application-specific allowance holders, annual reporting for second-party destruction and transformation facilities, and annual reporting for process agent users.

## General Guidelines

This collection of information has a five-year requirement for record and report retention, which exceeds the three-year requirement for record retention specified in the general information collection guidelines in 5 CFR 1320.5(f) of the OMB regulations implementing the Paperwork Reduction Act. This collection of information request is consistent with all other OMB guidelines at 5 CFR 1320.5(d)(2).

## Confidentiality

EPA is not providing confidential treatment to the following information collected pursuant to the Part 84 AIM Act regulations: (1) each company’s Exchange Value (EVe) allowance allocation with allowance balances periodically updated throughout the year; (2) reported facility-level chemical-specific production data, including total production, and production for feedstock and destruction; (3) production data provided by chemical manufacturing facilities that produce HFC-23, specifically the amount and type of chemicals intentionally produced on a facility line that also produces HFC-23; (4) company-level, chemical-specific data on individual import and export shipments, including chemical type, quantity, source country, commodity code, port of entry, date, and the intended use if for destruction or transformation; (5) facility-level chemical-specific destruction data; (6) all data reported on transhipments; (7) companies receiving transferred allowances and the quantity of allowances received; and (8) other data identified in the Confidential Business Information (CBI) determination memo provided to the docket for the final rule associated with this ICR.

EPA is also making a final determination in the rule associated with this ICR that some data elements are emissions data, and therefore are not entitled to confidential treatment. Other data, including sales data, business relationships, pricing information, and many elements reported pursuant to the QR tracking system and by application-specific allowance holders, are being determined to be confidential data and will therefore be entitled to confidential treatment.

Unless otherwise noted in the CBI determination memo to the docket, remaining data elements reported to the Agency can be claimed as CBI by reporting entities, and EPA will treat them as confidential pending possible future CBI determinations pursuant to EPA’s CBI regulations at 40 CFR 2.203. For all data elements that EPA is determining to be confidential or for which EPA will provide provisional confidential treatment if claimed by reporters as CBI, EPA will release aggregated data if there are three or more reporting entities.

## Sensitive Questions

This section is not applicable because this ICR does not involve matters of sensitive nature.

# The Respondents and the Information Request

## Respondents’ NAICS Codes

The appropriate North American Industry Classification System (NAICS) for potentially affected entities are listed below in Table I.

**Table I. NAICS Classification of Potentially Affected Entities**

| **NAICS Code** | **NAICS Industry Description** |
| --- | --- |
| 211120 | Crude Petroleum Extraction |
| 221210 | Natural Gas Distribution |
| 236118 | Residential Remodelers |
| 236220 | Commercial and Institutional Building Construction |
| 238220 | Plumbing, Heating, and Air-Conditioning Contractors |
| 238990 | All Other Specialty Trade Contractors |
| 311351 | Chocolate and Confectionery Manufacturing from Cacao Beans |
| 322299 | All Other Converted Paper Product Manufacturing |
| 325120 | Industrial Gas Manufacturing |
| 325180 | Other Basic Inorganic Chemical Manufacturing |
| 325199 | All Other Basic Organic Chemical Manufacturing |
| 325211 | Plastics Material and Resin Manufacturing |
| 325320 | Pesticide and Other Agricultural Chemical Manufacturing |
| 325412 | Pharmaceutical Preparation Manufacturing |
| 325414 | Biological Product (except Diagnostic) Manufacturing |
| 325992 | Photographic Film, Paper, Plate and Chemical Manufacturing |
| 325998 | All Other Miscellaneous Chemical Product and Preparation Manufacturing |
| 326150 | Urethane and Other Foam Product |
| 331420 | Copper Rolling, Drawing, Extruding, and Alloying |
| 332312 | Fabricated Structural Metal Manufacturing |
| 332313 | Plate Work Manufacturing |
| 333132 | Oil and Gas Field Machinery and Equipment Manufacturing |
| 333314 | Optical Instrument and Lens Manufacturing |
| 333316 | Photographic and Photocopying Equipment Manufacturing |
| 333413 | Industrial and Commercial Fan and Blower and Air Purification Equipment Manufacturing |
| 333415 | Air-Conditioning and Warm Air Heating Equipment and Commercial and Industrial Refrigeration Equipment Manufacturing |
| 333611 | Turbine and Turbine Generator Set Unit Manufacturing |
| 333996 | Fluid Power Pump and Motor Manufacturing |
| 334413 | Semiconductor and Related Device Manufacturing |
| 334419 | Other Electronic Component Manufacturing |
| 334515 | Instrument Manufacturing for Measuring and Testing Electricity and Electrical Signals |
| 334516 | Analytical Laboratory Instrument Manufacturing |
| 334613 | Blank Magnetic and Optical Recording Media Manufacturing |
| 336212 | Truck Trailer Manufacturing |
| 336214 | Travel Trailer and Camper Manufacturing |
| 336411 | Aircraft Manufacturing |
| 336510 | Railroad Rolling Stock Manufacturing |
| 336611 | Ship Building and Repairing |
| 336612 | Boat Building |
| 336992 | Military Armored Vehicle, Tank, and Tank Component Manufacturing |
| 339999 | All Other Miscellaneous Manufacturing |
| SIC 373102 | Military Ships, Building, and Repairing |
| 423120 | Motor Vehicle Supplies and New Parts Merchant Wholesalers |
| 423450 | Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers |
| 423460 | Ophthalmic Goods Merchant Wholesalers |
| 423730 | Warm Air Heating and Air-Conditioning Equipment and Supplies Merchant Wholesalers |
| 423740 | Refrigeration Equipment and Supplies Merchant Wholesalers |
| 423830 | Industrial Machinery and Equipment Merchant Wholesalers |
| 423860 | Transportation Equipment and Supplies (except Motor Vehicle) Merchant Wholesalers |
| 423990 | Other Miscellaneous Durable Goods Merchant Wholesalers |
| 424210 | Drugs and Druggists’ Sundries Merchant Wholesalers |
| 424410 | General Line Grocery Merchant Wholesalers |
| 424610 | Plastics Materials and Basic Forms and Shapes Merchant Wholesalers |
| 424690 | Other Chemical and Allied Products Merchant Wholesalers |
| 424910 | Farm Supplies Merchant Wholesalers |
| 441310 | Automotive Parts and Accessories Stores |
| 443141 | Household Appliance Stores |
| 443142 | Electronics Stores |
| 444130 | Hardware Stores |
| 446191 | Food (Health) Supplement Stores |
| 452311 | Warehouse Clubs and Supercenters |
| 453998 | All Other Miscellaneous Store Retailers (except Tobacco Stores) |
| 454110 | Electronic Shopping and Mail-Order Houses |
| 481111 | Scheduled Passenger Air Transportation |
| 482111 | Line-Haul Railroads |
| 488510 | Freight Transportation Arrangement |
| 493110 | General Warehousing and Storage |
| 522293 | International Trade Financing |
| 523130 | Commodity Contracts Dealing |
| 531110 | Lessors of Residential Buildings and Dwellings |
| 531120 | Lessors of Nonresidential Buildings (except Miniwarehouses) |
| 532420 | Office Machinery and Equipment Rental and Leasing |
| 541330 | Engineering Services |
| 541519 | Other Computer Related Services |
| 541715 | Research and Development in the Physical, Engineering, and Life Sciences (except Nanotechnology and Biotechnology) |
| 561210 | Facilities Support Services |
| 561910 | Packaging and Labeling Services |
| 561990 | All Other Support Services |
| 562920 | Recovery and Reclamation |
| 722511 | Full-Service Restaurants |
| 811219 | Other Electronic and Precision Equipment Repair and Maintenance |
| 811412 | Appliance Repair and Maintenance |
| 922160 | Fire Protection |

## Information Requested

### Data items

All persons that produce, import, export, reclaim, recycle for use as a fire suppressant, distribute, destroy, transform, or use HFCs as a process agent as well as any entity issued or conferred application-specific allowances must record and/or report the following information either on a quarterly, annual, or as-needed basis.

**Producers Reporting and Recordkeeping Requirements:**

Producer One-time Reporting Requirements:

* The method used to measure daily quantities of regulated substances produced;
* Conversion factors by which the daily records can be converted into kilograms of regulated substances produced, including any constants or assumptions used in making those calculations;
* Internal accounting procedures for determining plant-wide production;
* The quantity of any fugitive losses accounted for in the production figures;
* A list of any coproducts, byproducts, or emissions from the production line of any regulated substance that are other regulated substances;
* The estimated percent efficiency of the production process; and
* A description of any processes that use a regulated substance as a process agent.

Producer Quarterly Reporting Requirements:

* The quantity of production of each regulated substance used in processes resulting in their transformation or destruction by the producer and the quantity intended for transformation or destruction by a second party;
* The quantity of production of each regulated substance used as a process agent by the producer and the quantity intended for use as a process agent by a second party;
* The quantity of allowances expended for each regulated substance and the quantity of each regulated substance produced;
* The quantity of regulated substances sold or transferred during the quarter to a person other than the producer for use in processes resulting in their transformation, destruction, or use as a process agent;
* The quantity of regulated substances produced by the producer that were exported by the producer or by other U.S. companies to a foreign country, that will be transformed or destroyed;
* For transformation, one copy of a transformation verification from the transformer and a list of additional quantities shipped to that same transformer for the quarter;
* For destruction, one copy of a destruction verification from the destroyer and a list of additional quantities shipped to that same destroyer for the quarter; and
* A list of the entities conferring application-specific allowances from whom orders were placed, and the quantity of specific regulated substances produced for those listed applications.

Producer Annual Inventory Reporting Requirements:

* The quantity of regulated substances held in inventory onsite on December 31 of each year.

Producer Recordkeeping Requirements:

* Dated records of the quantity of each regulated substance produced at each facility;
* Dated records of the quantity of regulated substances produced and sold for use in processes that result in their transformation, destruction, or as a process agent;
* Dated records of the quantity of regulated substances produced by expending conferred application-specific allowances and quantity sold for use in each listed application;
* Copies of invoices or receipts documenting sale of regulated substances for use in processes that result in their transformation, destruction, or as a process agent;
* Dated records of the quantity of each regulated substance used at each facility as feedstocks or destroyed in the manufacture of a regulated substance or in the manufacture of any other substance, and any regulated substance introduced into the production process of the same regulated substance at each facility;
* Dated records of the quantity of each regulated substance used at each facility as a process agent;
* Dated records identifying the quantity of each coproduct and byproduct chemical not a regulated substance produced within each facility also producing one or more regulated substances;
* Dated records of the quantity of raw materials and feedstock chemicals used at each facility for the production of regulated substances;
* Dated records of the shipments of each regulated substance produced at each plant;
* Dated records of batch tests of regulated substances packaged for sale or distribution;
* The quantity of regulated substances, the date received, and names and addresses of the source of used materials containing regulated substances which are recycled or reclaimed at each plant;
* Records of the date, the regulated substance, and the estimated quantity of any spill or release of a regulated substance that equals or exceeds 100 pounds;
* The transformation verification in the case of transformation, or the destruction verification in the case of destruction; and
* The certifications from application-specific allowance holders.

Producer One-time Certification ID Registration:[[1]](#footnote-2)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances;
* How the company introduces bulk regulated substances into U.S. commerce; and
* The categories of final customers to which the supplier sells or distributes regulated substances.

Producer Certification ID System Reporting Requirements (provided when a container is introduced into U.S. commerce):[[2]](#footnote-3)

* The name or brand the regulated substance is being sold and/or marketed under;
* The date it was filled and by whom;
* The certification identification(s) associated with the regulated substance being packaged;
* The unique serial number associated with the container;
* The amount and name of the regulated substances in the container;
* The quantity of containers it was packaged in and the size of the containers; and
* The name, address, contact person, email address, and phone number of the responsible party at the facility where the container(s) were filled.

Producer of HFC-23 One-time Reporting Requirements:

* Information on the capacity to produce the intended chemical on the line on which HFC- 23 is produced;
* A description of actions taken at the facility to control the generation of HFC-23 and its emissions;
* Identification of approved destruction technology and its location intended for use for HFC-23 destruction; and
* A copy of the destruction removal efficiency report associated with the destruction technology.

Producer of HFC-23 Annual Reporting Requirements:

* The amount of HFC-23 emissions; generated; generated and captured for any purpose; generated and captured for feedstock use in the United States; generated and captured for destruction; used for feedstock without prior capture; and destroyed without prior capture.

Additional Producer of HFC-23 Reporting Requirements:

* If captured HFC-23 is destroyed in a subsequent control period, records indicating the HFC-23 has been destroyed.

Producer Third-party Reporting Requirements (provided to the conferrer):

* A certification stating that the regulated substances being produced are solely for an application listed in § 84.5(c)(2) and will not be resold for use in a different application or used in any other manufacturing process.

**Importer Reporting and Recordkeeping Requirements:**

Importer One-time Anti-dumping/Countervailing Duties (AD/CVD) Reporting Requirement:

* Any entity importing HFCs subject to an AD/CVD order issued by the Department of Commerce that is receiving allowances for 2022 or 2023, must provide documentation of payment of the AD/CVD duties for HFCs imported from January 1, 2017, through May 19, 2021, the date of the proposed rule, or provide evidence that those imports were not subject to AD/CVD for those years.

Importer Quarterly Reporting Requirements:

* Summaries of the records required for recordkeeping purposes;
* The total quantity imported of each regulated substance for that quarter;
* The Harmonized Tariff Schedule codes for the regulated substances or blends imported;
* A list of the application-specific allowance holders from whom orders were placed, number of application-specific allowances conferred, and the quantity of specific regulated substances imported for those listed applications;
* The quantity of regulated substances imported for use in processes resulting in their transformation or destruction;
* The quantity of regulated substances sold or transferred during that quarter to each person for use in processes resulting in their transformation or destruction; and
* The transformation verifications showing that the purchaser or recipient of imported regulated substances intends to transform those substances or destruction verifications showing that the purchaser or recipient intends to destroy the regulated substances.

Importer Annual Inventory Reporting Requirement:

* The quantity of regulated substances held in inventory onsite on December 31 of each year.

One-time Set-aside Allowance Request Reporting Requirements:

* Name and address of the company and the complete ownership of the company (with percentages of ownership);
* Contact information for a designated representative at the company;
* Whether the company is a woman or minority owned business;
* Contact information for the owner of the company;
* The date of incorporation and State in which the company is incorporated;
* State license identifier;
* A plan for importing regulated substances;
* A prospective foreign exporter that the applicant anticipates working with;
* Certification that the business owner understands the Part 84 regulatory requirements and will make best efforts to comply with the regulatory requirements;
* Certification that the information submitted is complete, accurate, and truthful;
* The total quantity (in kilograms) imported of each regulated substance each year on a yearly basis from 2011 to 2020;
* The dates of and port of entry for each shipment of imported regulated substance on a yearly basis from 2011 to 2020;
* The country from which the imported regulated substances were imported on a yearly basis from 2011 to 2020;
* The Harmonized Tariff Schedule codes and CAS numbers for the regulated substances or blends imported on a yearly basis from 2011 to 2020;
* The quantity (in kilograms) of regulated substances imported for use in processes resulting in their transformation or destruction on a yearly basis from 2011 to 2020;
* The quantity (in kilograms) of regulated substances sold or transferred during that year to each person for use in processes resulting in their transformation or destruction on a yearly basis from 2011 to 2020;
* The names of the exporter and the recipient(s) of the exports for all years between 2011 and 2020;
* The addresses of the exporter and the recipient(s) of the exports for all years between 2011 and 2020;
* The exporter's Employer Identification Number for all years between 2011 and 2020;
* The quantity of each specific regulated substance exported, including the quantity of regulated substance that is used, reclaimed, or recycled for all years between 2011 and 2020;
* The date on which the regulated substances were exported from the United States or its territories for all years between 2011 and 2020;
* The port from which the regulated substances were exported from the United States or its territories for all years between 2011 and 2020;
* The country to which the regulated substances were exported for all years between 2011 and 2020;
* The Harmonized Tariff Schedule codes for the regulated substances shipped for all years between 2011 and 2020; and
* The CAS numbers for the regulated substances shipped for all years between 2011 and 2020.

Importer Recordkeeping Requirements:

* The quantity of each regulated substance imported, either alone or in mixtures, including the percentage of each mixture which consists of a regulated substance;
* The quantity of used regulated substances imported for destruction;
* The quantity of regulated substances imported for use in processes resulting in their transformation or destruction;
* The quantity of regulated substances imported and sold for use in processes that result in their transformation or destruction;
* The date on which the regulated substances were imported;
* The port of entry through which the regulated substances passed;
* The country from which the imported regulated substances were imported;
* The company that produced the imported regulated substances;
* The commodity code for the regulated substances imported;
* The importer number for the shipment;
* A copy of the bill of lading for the import;
* The invoice for the import;
* The U.S. Customs entry number;
* Dated records documenting the sale or transfer of regulated substances for use in processes resulting in their transformation or destruction;
* Copies of transformation verifications or destruction verifications indicating that the regulated substances will be transformed or destroyed;
* Dated records of the quantity of regulated substances imported for application-specific uses;
* The certifications from application-specific allowance holders stating that the regulated substances were purchased solely for application specific uses and will not be resold for use in a different application or used in any other manufacturing process;
* Dated records of batch tests of regulated substances packaged for sale or distribution; and
* For any entity subject to an order issued by DOC and is requesting allowances for 2022 or 2023, documentation of payment of the AD/CVD for HFCs imported.

Importer One-time Certification ID Registration:[[3]](#footnote-4)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances;
* How the company introduces bulk regulated substances into U.S. commerce; and
* The category of final customers the supplier sells or distributes regulated substances to.

Importer Certification ID System Reporting Requirements (provided when a container is introduced into U.S. commerce):[[4]](#footnote-5)

* The name or brand the regulated substance is being sold and/or marketed under;
* The date it was repackaged;
* The unique serial number for the container;
* The amount and name of the regulated substances in the container; and
* Certification that the contents of the cylinder match the substance(s) identified on the label.

Importer of HFCs as Feedstock or for Destruction Reporting Requirements (provided at least 30 days before the shipment is to arrive at a U.S. port):

* Name, commodity code, and quantity of each regulated substance to be imported;
* Name and address of the importer, the importer ID number, and the contact person's name, email address, and phone number;
* Name and address of the consignee and the contact person's name, email address, and phone number;
* Source country;
* The U.S. port of entry for the import, the expected date of import, and the vessel transporting the material;
* Name and address of any intermediary who will hold the material before the HFCs are transformed or destroyed;
* Name, address, contact person, email address, and phone number of the responsible party at the facility where the regulated substance will be transformed or destroyed;
* An English translation, if needed, of the export license, application for an export license, or official communication acknowledging the export from the appropriate government agency in the country of export;
* The capacity of the container; and
* The unique identification number of the container used to transport the HFCs as part of the petition.

Importer of Used HFCs for Destruction Reporting Requirements (provided at least 30 days before the shipment is to arrive at a U.S. port):

* Name, commodity code, and quantity of each regulated substance to be imported;
* Name and address of the importer, the importer ID number, and the contact person's name, email address, and phone number;
* Name and address of the consignee and the contact person's name, email address, and phone number;
* Name and address of any intermediary who aggregates regulated substances imported for destruction, and the contact person's name, email address, and phone number;
* Source country;
* An English translation, if needed, of the export license (or application for an export license) from the appropriate government agency in the country of export;
* The U.S. port of entry for the import, the expected date of import, and the vessel transporting the material; and
* Name, address, contact person, email address, and phone number of the responsible party at the destruction facility.

Importer Reporting Requirements provided no later than 14 days before importation or prior to the filing of an entry for withdrawal from a duty deferral program consistent with 19 CFR 181.53, via a Customs and Border Protection-authorized electronic data interchange system, such as the Automated Broker Interface:

* Cargo Description;
* Quantity;
* Quantity Unit of Measure Code;
* Quantity Unit of Measure;
* Weight;
* Weight Unit of Measure;
* Port of Entry;
* Scheduled Entry Date;
* HTS code;
* HTS Description;
* Origin Country;
* Importer Name and Importer Number;
* Consignee Entity Name;
* CAS Number(s) of the regulated substance(s) imported and, for regulated substances that are in a mixture, either the ASHRAE numerical designation of the refrigerant or the percentage of the mixture containing each regulated substance;
* If importing regulated substances for transformation or destruction, a copy of the non-objection notice issued consistent with § 84.25; and
* If importing regulated substances as a transhipment, a copy of the confirmation documenting the importer reported the transhipment consistent with § 84.31(c)(3)(i).

Importer of Used HFCs for Destruction Reporting Requirements (provided with the quarterly importer reports):

* Records indicating that the substance has been destroyed.

Importer of Used HFCs for Destruction Recordkeeping Requirements:

* A copy of the petition to import for destruction;
* The EPA non-objection notice;
* A copy of the export license, export license application, or official communication from the appropriate government agency in the country of export;
* The bill of lading for the import;
* The U.S. Customs entry number; and
* Records demonstrating that the substance has been destroyed in accordance with approved technologies in § 84.29.

Importer Third-party Reporting Requirements (provided to the conferrer):

* A certification stating that the regulated substances being imported are solely for an application listed in § 84.5(c)(2) and will not be resold for use in a different application or used in any other manufacturing process.

Importer Voluntary Annual Report:[[5]](#footnote-6)

* The importer’s current, unique IOR number;
* Commonly imported HFCs and HFC blends and their HTS codes and CAS numbers;
* Types of cylinders commonly used; and
* Common ports of entry.

**Aggregator Recordkeeping Requirements:**

Aggregator of Used Imports for Destruction Recordkeeping Requirements:

* Maintain transactional records that include the name and address of the entity from whom they received the regulated substance imported for destruction;
* Maintain transactional records that include the name and address of the entity to whom they sent the regulated substance imported for destruction;
* Maintain records that include the date and quantity of the imported regulated substance received for destruction;
* Maintain records that include the date and quantity of the imported regulated substance sent for destruction; and
* If the person is the final aggregator of such a regulated substance before the material is destroyed, maintain a copy of records indicating that the substance has been destroyed.

**Vessel Owner Recordkeeping Requirements (only if offloading used regulated substances):**

Vessel Owner Recordkeeping Requirements:

* Records of the company name, vessel name or identifier,
* Location of the appliance, date of recovery, person doing the recovery, the amount of regulated substances recovered and type of refrigerant recovered for each servicing event; and
* The amount of each regulated substance or blend of regulated substances offloaded and the date it was offloaded.

**Transhipment Reporting and Recordkeeping Requirements:**

Transhipment Reporting Requirements (provided before and after each transshipment):

* Name, Harmonized Tariff Schedule code, and quantity of each regulated substance to be transhipped;
* Name and address of the importer, the importer ID number, and the contact person's name, email address, and phone number;
* Source country;
* The U.S. port of entry for the import;
* The expected date of importation;
* Date of departure from the United States; and
* Name of vessel transporting the material.

Transhipment Recordkeeping Requirements:

* Records indicating shipment originated in a foreign country;
* Records indicating shipment is destined for another foreign country; and
* Records indicating shipment will not enter interstate commerce within the United States.

**Exporter Reporting Requirements:**

Exporter Quarterly Reporting Requirements:

* The names and addresses of the exporter and the recipient of the exports;
* The exporter's Employer Identification Number;
* The quantity of each specific regulated substance exported, including the quantity of regulated substance that is used, reclaimed, or recycled;
* The date on which, and the port from which, the regulated substances were exported from the United States or its territories;
* The country to which the regulated substances were exported;
* The Harmonized Tariff Schedule code for the regulated substances shipped; and
* For persons exporting for transformation or destruction of the regulated substance, the invoice or sales agreement containing language similar to the transformation verifications that importers use, or destruction verifications showing that the purchaser or recipient intends to destroy the regulated substances.

Exporter Annual Inventory Reporting Requirements:

* The quantity of regulated substances held in inventory onsite on December 31 of each year.

Requests for Additional Consumption Allowances Reporting Requirements (provided as-needed following the export):

* The identities and addresses of the exporter and the recipient of the exports;
* The exporter's Employer Identification Number;
* The names, telephone numbers, and email addresses of contact persons for the exporter and the recipient;
* The quantity and name of the regulated substances exported;
* The source of the regulated substances and the date purchased;
* The date on which, and the port from which, the regulated substances were exported;
* The country to which the regulated substances were exported;
* A copy of the bill of lading and the invoice indicating the net quantity of regulated substances shipped and documenting the sale to the purchaser;
* The Harmonized Tariff Schedule codes of the regulated substances exported; and
* A written statement from the producer that the regulated substances were produced with expended allowances or a written statement from the importer that the regulated substances were imported with expended allowances.

**Supplier Reporting Requirements:**

Supplier One-time Certification ID Registration:[[6]](#footnote-7)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances; and
* The category of final customers the supplier sells or distributes regulated substances to.

Supplier Certification ID System Reporting Requirements:[[7]](#footnote-8)

* Proof of transaction by scanning the certification ID.

Supplier Conferral of Allowances Request:

* The identities and addresses of the conferrer and the conferee;
* The names, telephone numbers, and e-mail addresses of contact persons for the conferrer and the conferee;
* The specific application for which application-specific allowances are to be conferred;
* The quantity (in MTEVe) of application-specific allowances being conferred; and
* The amount of unexpended application-specific allowances of the type and for the year being conferred that the conferrer holds under authority of this subpart as of the date the claim is submitted to EPA.

Supplier Third-party Reporting Requirements (provided to the conferee):

* A certification stating that the regulated substances were purchased solely for an application listed in § 84.5(c)(2) and will not be resold for use in a different application or used in any other manufacturing process.

Supplier Third-party Reporting Requirements (provided to the conferrer):

* A certification stating that the regulated substances being acquired are solely for an application listed in § 84.5(c)(2) and will not be resold for use in a different application or used in any other manufacturing process.

Supplier Recordkeeping Requirements Related to Application-specific Allowances:

* A copy of certifications provided to the conferrer when conferring allowances;
* A copy of confirmation notices when conferring allowances; and
* Invoice and order records related to the purchase of regulated substances for application-specific use.

**Destruction and Transformation Reporting and Recordkeeping Requirements:**

Second Party Transformation and Destruction Annual Reporting Requirements:

* The names and quantities of the regulated substances destroyed; and
* The names and quantities of the regulated substances transformed.

Second Party Transformation and Destruction Recordkeeping Requirements:

* Copies of the invoices or receipts documenting the sale or transfer;
* Records identifying the producer or importer of the regulated substances;
* Dated records of inventories of regulated substances at each plant on the first day of each quarter;
* Dated records of the quantity of each regulated substance transformed or destroyed;
* In the case where regulated substances were purchased or transferred for transformation purposes, a copy of the person's transformation verification;
* Dated records of the names, commercial use, and quantities of the resulting chemical(s) when the regulated substances are transformed;
* Dated records of shipments to purchasers of the resulting chemical(s) when the regulated substances are transformed; and
* In the case where regulated substances were purchased or transferred for destruction purposes, a copy of the person's destruction verification.

Second Party Destruction Third-Party Annual Reporting Requirements (provided to the producer or importer of the regulated substances):

* A destruction verification containing the following:
	+ Identity and address of the person intending to destroy regulated substances;
	+ The quantity of regulated substances intended for destruction;
	+ Identity of shipments by purchase order number(s), purchaser account number(s), location(s), or other means of identification;
	+ The destruction efficiency at which such substances will be destroyed;
	+ Period of time over which the person intends to destroy regulated substances; and
	+ Signature and title of the verifying person.

Second Party Transformation Third-Party Annual Reporting Requirements (provided to the producer or importer of the regulated substances):

* A transformation verification containing the following:
	+ Identity and address of the person intending to transform the regulated substances;
	+ The quantity of regulated substances intended for transformation;
	+ Identity of shipments by purchase order number(s), purchaser account number(s), location(s), or other means of identification;
	+ Period of time over which the person intends to transform the regulated substances; and
	+ Signature and title of the verifying person.

Destruction One-time Reporting Requirements:

* The destruction unit’s destruction efficiency;
* The methods used to record the volume destroyed;
* The methods used to determine destruction efficiency; and
* The name of other relevant federal or state regulations that may apply to the destruction process.

Destruction Third-party Reporting Requirements (provided to the importer or aggregator within 30 days of the date of destruction):

* A record indicating the substance was destroyed.

Transformation One-time Reporting Requirements:

* A description of the transformation use;
* A description of all technologies and actions taken to minimize emissions of regulated substances;
* The name of the product manufactured in the process;
* A list of any coproducts, byproducts, or emissions from the line on which the regulated substance is to be transformed that are other regulated substances;
* The estimated annual fugitive emissions by chemical associated with the transformation process;
* The anticipated ratio of regulated substance used for transformation to the amount of end product manufactured; and
* A mass balance equation of the transformation reaction.

**Process Agent Use Reporting Requirements:**

Process Agent Use One-time Reporting Requirements:

* A description of the process agent use which includes details of the percentages of process agent retained within the process, recovered after the process, and emitted or entrained in the final product;
* A description of all technologies and actions taken to minimize emissions of regulated substances;
* The name of the product and byproducts manufactured in the process; and
* The anticipated ratio of process agent emissions to end product manufactured.

Process Agent Use Annual Reporting Requirements:

* Contact information including e-mail address and phone number for a primary and alternate contact person;
* The amount of regulated substance used as a process agent;
* The amount of product and the amount of byproducts manufactured (including amounts eventually destroyed or used as feedstock);
* The stack point source emissions; and
* A description of any regulated substance emission reduction actions planned or currently under investigation.

**Reclaimer Reporting and Recordkeeping Requirements:**

Reclaimer One-time Reporting Requirements:

* The quantity of each regulated substance held in inventory as of December 31, 2021 broken out by whether the regulated substance is recovered, reclaimed, and virgin;
* The name of the laboratory that conducts batch testing and a signed statement from that laboratory confirming there is an ongoing business relationship with the reclaimer;
* The number of batches tested for each regulated substance or blend containing a regulated substance in the prior year; and
* The number of batches that did not meet the required specifications in the prior year.

Reclaimer Quarterly Reporting Requirements:

* The total quantity of material (the combined mass of refrigerant and contaminants) by refrigerant type sent to them for reclamation, the total annual mass of each refrigerant reclaimed, and the total annual mass of waste products.

Reclaimer Annual Inventory Reporting Requirements:

* The quantity of each regulated substance held in inventory onsite as of December 31 broken out by whether the regulated substance is recovered, reclaimed, and virgin.

Reclaimer Recordkeeping Requirements:

* The results of the analysis conducted to verify that reclaimed refrigerant meets the required specifications; and
* The names and addresses of persons sending them material for reclamation and the quantity of the material (the combined mass of refrigerant and contaminants) by refrigerant sent to them for reclamation.

Reclaimer One-time Certification ID Registration:[[8]](#footnote-9)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances;
* How the company introduces bulk regulated substances into U.S. commerce; and
* The category of final customers the supplier sells or distributes regulated substances to.

Reclaimer Certification ID System Reporting Requirements (provided when a container is introduced into U.S. commerce):[[9]](#footnote-10)

* The name or brand the regulated substance is being sold and/or marketed under;
* When the regulated substance was reclaimed and by whom;
* The date the reclaimed regulated substance was put into a container;
* The unique serial number associated with the container;
* The amount and name of the regulated substance(s) in the container;
* Certification that the purity of the batch was confirmed to meet required specifications; and
* If a container is filled with reclaimed and virgin regulated substance(s), the amount of virgin regulated substance included in the container and the certification identification(s) associated with that regulated substance.

**Filler and Packager Reporting Requirements:**

Filler and Packager One-time Certification ID Registration:[[10]](#footnote-11)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances;
* How the company introduces bulk regulated substances into U.S. commerce; and
* The categories of final customers the supplier sells or distributes regulated substances to.

Filler and Packager Certification ID System Reporting Requirements (provided when a container is introduced into U.S. commerce):[[11]](#footnote-12)

* The name or brand the regulated substance is being sold and/or marketed under;
* The date it was filled and by whom;
* The certification identification(s) associated with the regulated substance being packaged;
* The unique serial number associated with the container;
* The amount and name of the regulated substances in the container;
* The quantity of containers it was packaged in and the size of the containers; and
* The name, address, contact person, email address, and phone number of the responsible party at the facility where the container(s) were filled.

**Fire Suppression Agent Recycler Reporting and Recordkeeping Requirements:**

Fire Suppressant Recycler Quarterly Reporting Requirements:

* The quantity of material (the combined mass of regulated substance and contaminants) by regulated substance sent to them for recycling;
* The total mass of each regulated substance recycled; and
* The total mass of waste products.

Fire Suppressant Recycler Annual Inventory Reporting Requirements:

* The quantity of each regulated substance held in inventory onsite broken out by whether the regulated substance is recovered, recycled, and virgin.

Fire Suppressant Recycler Recordkeeping Requirements:

* The names and addresses of persons sending them material for recycling; and
* The quantity of the material (the combined mass of regulated substance and contaminants) by regulated substance sent to them for recycling.

Fire Suppressant Recycler One-time Certification ID Registration:[[12]](#footnote-13)

* The name and address of the company;
* Contact information for the owner of the company;
* The dates of and States in which the company is incorporated and State license identifiers;
* The address of each facility that sells or distributes regulated substances;
* How the company introduces bulk regulated substances into U.S. commerce; and
* The categories of final customers the supplier sells or distributes regulated substances to.

Fire Suppressant Recycler Certification ID System Reporting Requirements (provided when a container is introduced into U.S. commerce):[[13]](#footnote-14)

* The name or brand the regulated substance is being sold and/or marketed under;
* The date it was filled and by whom;
* The certification identification(s) associated with the regulated substance being packaged;
* The unique serial number associated with the container;
* The amount and name of the regulated substances in the container; and
* If a container is filled with recycled and virgin regulated substance(s), the recycler must provide the amount of virgin regulated substance included in the container and the certification identification(s) associated with that regulated substance.

**Transfers of Allowances and HFCs Reporting Requirements (See 84.19):**

Inter-company Transfers Reporting Requirements:

* The identities and addresses of the transferor and the transferee;
* The names, telephone numbers, and e-mail addresses of contact persons for the transferor and the transferee;
* The type of allowances being transferred;
* The quantity of allowances being transferred;
* The total cost of the allowances transferred;
* The amount of unexpended allowances of the type and for the year being transferred that the transferor holds as of the date the claim is submitted to EPA; and
* The quantity of the offset to be deducted from the transferor’s allowance balance.

Transfers from a Person in a Foreign Country Reporting Requirements:

* The maximum production level permitted minus the quantity of production allowances to be transferred; the maximum production for the applicable regulated substances that are allowed under applicable law (including the foreign country's applicable domestic law) minus the quantity of production allowances to be transferred; or the average of the foreign country's actual national production level of the applicable regulated substances for the three calendar years prior to the year of the transfer minus the quantity of production allowances to be transferred;
* The identity and address of the person;
* The foreign country authorizing the transfer;
* The names, telephone numbers, and email addresses of the points of contact for the person receiving the foreign transfer and for the representative of the foreign country;
* The name of the chemical and quantity of production being transferred;
* Documentation that the foreign country possesses the necessary quantity of unexpended production rights;
* The calendar year to which the transfer applies; and
* A signed statement from a responsible official describing whether the increased production is intended for export or the market in the United States.

Transfer to a Person in a Foreign Country Reporting Requirements:

* The identity and address of the person;
* The foreign country authorizing the transfer;
* The names, telephone numbers, and email addresses of the points of contact for the person transferring allowances and for the representative of the foreign country;
* The name of the chemical and quantity of allowable production being transferred;
* The calendar year to which the transfer applies; and
* A signed statement from a responsible official requesting that EPA revise the number of production allowances it holds to such that the aggregate national production in the United States is equal to the lowest of the following three production quantities: (1) the maximum production level minus the quantity of production allowances to be transferred; (2) the maximum production for the applicable regulated substances that are allowed under applicable law minus the quantity of production allowances to be transferred; or (3) the average of the United States’ actual national production level of the applicable regulated substances for the three calendar years prior to the year of the transfer minus the quantity of production allowances to be transferred.

Sale or Conveyance of HFCs Produced or Imported Using Application-Specific Allowances Reporting Requirements:

* The identities and addresses of the application-specific seller and the application-specific purchaser;
* The name, telephone numbers, and email addresses of contact persons for the application-specific seller and the application-specific purchaser;
* The amount of each regulated substance being sold or conveyed;
* The cost of the regulated substances;
* The specific products that the application-specific purchaser plans to produce with the regulated substances; and
* Certification that the regulated substances will be used only for the same application for which the application-specific allowance under which the substances were produced or imported was allocated.

**Application-specific Allowance Holder Reporting and Recordkeeping Requirements:[[14]](#footnote-15)**

Application-specific Allowance Holders Biannual Reporting Requirements:

* The quantity of regulated substances acquired through conferring allowances during the previous six months; The quantity of regulated substances acquired through expending allowances and directly imported during the previous six months;
* The quantity of regulated substances purchased for application-specific use without expending application-specific allowances during the previous six months (i.e., from the open market);
* The quantity of inventory on the last day of the previous six-month period of each regulated substance for application-specific use held by the reporting company or held under contract by another company for the reporting company’s use;
* The quantity of each regulated substance for application-specific use that was destroyed or recycled during the previous six months; and
* The names and contact information of the companies to which application-specific allowances were conferred, and the quantity of allowances conferred, and the regulated substances received from each company.

Application-specific Allowance Holders Annual Reporting Requirements:

* If a company is requesting additional allowances due to the circumstances listed in this paragraph, the report must include a projection of the monthly quantity of additional regulated substances needed by month and a detailed explanation, including relevant supporting documentation to justify the additional need; and
* A description of plans to transition to regulated substances with a lower exchange value or alternatives to regulated substances.

Application-specific Allowance Holders Conferral of Allowances Request:

* The identities and addresses of the conferrer and the conferee;
* The names, telephone numbers, and e-mail addresses of contact persons for the conferrer and the conferee;
* The specific application for which application-specific allowances are to be conferred;
* The quantity (in MTEVe) of application-specific allowances being conferred; and
* The amount of unexpended application-specific allowances of the type and for the year being conferred that the conferrer holds under authority of this subpart as of the date the claim is submitted to EPA.

Application-specific Allowance Holder Third-Party Reporting Requirements (provided to the conferee):

* A certification stating that the regulated substances were purchased solely for a listed application and will not be resold for use in a different application or used in any other manufacturing process.

Application-specific Allowance Holders Recordkeeping Requirements:

* Records necessary to develop the biannual reports;
* A copy of certifications provided to entities when conferring allowances;
* A copy of confirmation notices when conferring allowances for application-specific use;
* A copy of the annual submission requesting application-specific allowances;
* Invoices and order records related to the purchase of regulated substances;
* Records related to the transfer of allocation-specific allowances to other entities; and
* Records documenting the use of regulated substances.

One-time Set-aside Allowance Request Reporting Requirements:

* Name and address of the company and the complete ownership of the company (with percentages of ownership).

Application-specific Allowance Holders One-time Reporting Requirement:

* A description of the use of regulated substances and a detailed explanation of how the use meets the definition of the application-specific use listed in § 84.13(a);
* Total quantity (in kilograms) of all regulated substances acquired for application-specific use in the previous three years, including a copy of the sales records, invoices, or other records documenting that quantity;
* The name of the entity or entities supplying regulated substances for application-specific use and contact information for those suppliers;
* The quantities (in kilograms) of regulated substances held in inventory for application-specific use as of June 30 of the prior year and June 30 in the current year;
* A description of plans to transition to regulated substances with a lower exchange value or alternatives to regulated substances;
* A projection of the monthly quantity of additional regulated substances needed by month in the next calendar year and a detailed explanation, including relevant supporting documentation to justify the additional need; and
* If a company is contracting out the manufacturing of defense sprays or metered dose inhalers, or contracting out the servicing of onboard aerospace fire suppression, the name, address, and email address for a representative of the person doing the manufacturing or servicing, and clarification on whether the responses in paragraph (h)(2) apply to the company that is requesting application-specific allowances or the company receiving the contract for manufacturing and/or servicing using application-specific.

**Third-party Auditor Reporting Requirements:**

Third-party Auditor Annual Reporting Requirements:

* A description of the applicable procedures used to review the inputs the regulated entities used to develop quarterly and annual reports consistent with § 84.33;
* The corresponding findings for each procedure;
* Instances where compared values do not agree or where specified values do not meet applicable requirements; and
* The results of the audit.

### Respondent Activities

A summary of respondent activities by respondent type is provided in Table II below.

**Table II. Respondent Activities by Respondent Type**

| **Activity** | **Reporting Frequency** |
| --- | --- |
| **Producers** |
| Submit one-time producer report | One-Time |
| Submit quarterly report | Quarterly |
| Submit annual inventory report (part of quarterly report) | Annual |
| Maintain records | N/A |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| Submit one-time HFC-23 emissions report | One-Time |
| Submit annual HFC-23 emissions report | Annual |
| Submit HFC-23 proof of destruction | As Needed |
| Provide certification to third party (conferrer) | As Needed |
| **Imports** |
| Submit one-time AD/CVD report | One-Time |
| Submit quarterly report | Quarterly |
| Submit annual inventory report | Annual |
| Submit one-time set-aside allowance request | One-Time |
| Maintain records | N/A |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| Petition to import HFCs for transformation/destruction | As Needed |
| Petition to import used HFCs for destruction | As Needed |
| Submit ACE report | As Needed |
| Submit proof of destruction of used imports | As Needed |
| Maintain records on used imports for destruction | N/A |
| Provide certification to third party (conferrer) | As Needed |
| Submit annual voluntary report | Annual |
| **Aggregators of Used Imports for Destruction** |
| Maintain records | N/A |
| **Vessel Owners** |
| Maintain records | N/A |
| **Transshipments** |
| Submit notification of transhipments | As Needed |
| Maintain records | N/A |
| **Exports** |
| Submit quarterly report | Quarterly |
| Submit annual inventory report | Annual |
| Submit request for additional consumption allowances | As Needed |
| **Suppliers** |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| Submit conferral request | As Needed |
| Provide certification to third party (conferee) | As Needed |
| Provide certification to third party (conferrer) | As Needed |
| Maintain records | N/A |
| **Destruction** |
| Submit one-time report | One-Time |
| Submit annual second party report | Annual |
| Maintain records | N/A |
| Provide destruction verification to third party | Annual |
| Provide proof of destruction to third party | As Needed |
| **Transformation** |
| Submit one-time report | One-Time |
| Submit annual second party report | Annual |
| Maintain records | N/A |
| Provide transformation verification to third party | Annual |
| **Process Agent Use** |
| Submit one-time report | One-Time |
| Submit annual report | Annual |
| **Reclaimers** |
| Submit one-time report | One-Time |
| Submit quarterly report | Quarterly |
| Submit annual inventory report (part of quarterly report) | Annual |
| Maintain records | N/A |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| **Fillers and Packagers** |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| **Fire Suppression Agent Recyclers** |
| Submit one-time report | One-Time |
| Submit quarterly report | Quarterly |
| Submit annual inventory report (part of quarterly report) | Annual |
| Maintain records | N/A |
| Register with certification ID system | One-Time |
| Enter data into certification ID system | As Needed |
| **Transfers** |
| Submit inter-company transfer request | As Needed |
| Submit request to transfer from a person in a foreign country | As Needed |
| Submit request to transfer to a person in a foreign country | As Needed |
| Submit request to sell/convey HFCs produced or imported with application-specific allowances | As Needed |
| **Application-Specific Allowance Holdersa** |
| Submit biannual report | Biannual |
| Submit annual application (part of biannual report) | Annual |
| Submit conferral request | As Needed |
| Provide certification to third party (conferrer) | Annual |
| Maintain records | N/A |
| Submit one-time set-aside allowance request | One-Time |
| Submit one-time report | One-Time |
| **Third Party Audits** |
| Submit annual audit report | Annual |
| a The Department of Defense is also required to submit an annual report to EPA and maintain records on the use of mission-critical application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency. |

All records and reports must comply with requirements for HFC regulated substances in accordance with the final rule “Phasedown of Hydrofluorocarbons: Establishing the Allowance Allocation and Trading Program under the American Innovation and Manufacturing Act.” Reports and records associated with the reports listed above must be kept for five years.

All amounts must be reported in kilograms with limited exceptions, such as for requests to transfer allowances, which would be in MTEVe. These recordkeeping requirements pertain to original documents that are held by companies in the normal course of conducting business, accounts of daily production runs, sales invoices, and bills of lading. Information from these recordkeeping documents is summarized in reports. Recordkeeping requirements are designed to aid EPA in compliance monitoring, site inspection, and enforcement actions.

# The Information Collected - Agency Activities, Collection Methodology, and Information Management

## Agency Activities

Start-up activities associated with this information collection request include the following:

* Review set-aside allowance requests;
* Review AD/CVD documentation and consult with CBP;
* Develop a certification ID tracking system; and
* Expand data tracking system for HFCs, including integration with ACE to support real-time review of imports.

Annual activities associated with this information collection request include the following:

* Review application-specific allowance requests;
* Notify stakeholders of allowances;
* Review data for completeness and accuracy;
* Review and process transfer requests, conferrals, and sales of regulated substances with application-specific allowances;
* Review and process petitions to import regulated substances;
* Review voluntary importer reports;[[15]](#footnote-16)
* Review requests for additional consumption allowances;
* Review third-party audit reports;
* Provide reporting guidance;
* Conduct stakeholder outreach efforts;
* Maintain the data tracking system;
* Review import data reported through ACE to verify sufficient allowances are available prior to clearing Customs;
* Consult with CBP on company compliance with AD/CVD and other trade provisions;
* Review information and conduct compliance monitoring activities related to restrictions on production, import, export, transformation, and destruction of regulated substances for individual companies by comparing data with other sources of information;
* Provide administrative consequences where appropriate; and
* Review information to ensure production and imports do not exceed limits statutorily set by the AIM Act.

## Collection Methodology and Management

EPA will leverage two existing reporting systems to collect and track data on HFCs: (1) e-GGRT and (2) the ozone-depleting substance tracking system (ODSTS). EPA currently uses e-GGRT to collect and store data on GHGs (including HFCs) in accordance with the GHGRP (40 CFR part 98), while the ODSTS is used by EPA to collect and track data on ozone-depleting substances that are reported in accordance with 40 CFR part 82. Both systems are designed to collect and store CBI in compliance with U.S. government security standards.

Information required under this ICR will be reported electronically to EPA via e-GGRT. Following submission, the data will be migrated into the ODSTS for the purposes of allowance tracking and management, leveraging the infrastructure of the allowance tracking system implemented for ODS.

Additionally, EPA is requiring submission of a limited amount of data through CBP’s ACE to support real-time review of imports prior to importation. Collecting these data through ACE will require modifications to EPA and likely CBP data management systems to allow for more streamlined review and sharing of information.

EPA will also develop, prior to January 1, 2025, a tracking system to allow for the generation of and tracking of QR codes and certification IDs for containers of regulated HFCs. This system will allow anyone buying or selling HFCs to determine whether the material they are purchasing and selling was produced, imported, reclaimed, or recycled legally.

## Small Entity Flexibility

Much of this information collection is required by statute. Any additional information required is collected to ensure compliance with the production and consumption caps established by the AIM Act, to ensure application-specific material is available to stakeholders, or to promote entry for new market entrants that choose to participate.

The burden on small entities has been reduced to every extent possible (e.g., requiring a review of a random sample of some records during an audit instead of reviewing all records). There are small entities that are also HFC importers, reclaimers, distributors, and some companies receiving application-specific allowances.

## Collection Schedule

The following information is required on a specific collection schedule:[[16]](#footnote-17)

* Producers, importers, exporters, reclaimers, and fire suppression agent recyclers report to EPA quarterly (45 days after the end of each quarter);
* Producers, importers, exporters, reclaimers, and fire suppression agent recyclers report on inventory to EPA annually (45 days after the end of the control period);
* Application-specific allowance holders report to EPA biannually (by July 31 and January 31 of each year);
* Application-specific allowance holders report on projected HFC needs to EPA annually (by July 31 of each year);
* Persons who destroy, transform, or use regulated substances as a process agent, report to EPA annually (45 days after the end of the control period);
* Audits are reported to EPA annually (by May 31);
* Persons transferring allowances or conferring application-specific allowances to another company; selling or conveying HFCs produced or imported with application-specific allowances; requesting international transfer of allowances; requesting additional consumption allowances; transhipping HFCs; or petitioning to import regulated substances for feedstock or destruction must submit reports to EPA on a transactional basis;
* Companies that produce, transform, or destroy regulated substances; distributors that hold inventory of HFCs; and set-aside applicants requesting allowances from the set-aside must submit a one-time report;
* Persons importing regulated substances must report on the shipment to ACE 14 days prior to the date of import;
* Persons importing regulated substances or filling a container with regulated substances must provide information on the packaging and origin of the regulated substance for each container filled or imported; and
* Persons buying and distributing/selling or offering for distribution/sale must scan the QR code affixed to cylinders at the time of distribution/sale or purchase.

# Estimating the Burden and Cost of Collection

This section presents EPA’s estimates of the burden and costs to respondents associated with the activities described in Section 4 of this document, as well as the federal burden hours and costs associated with the activities described in Section 5 of this document.

## Estimating Respondent Burden

EPA identified 73 information collection activities that are mandated by EPA’s rulemaking. EPA estimated the amount of time associated with each activity based on EPA’s experience collecting similar activity data on HFCs and ODS under the GHGRP (74 FR 56260; October 30, 2009) and 40 CFR part 82, respectively. This analysis assumes that all respondent burden hours are incurred by technical and clerical staff at companies that submit reports. Table III below summarizes the number of burden hours incurred by each respondent for each information collection activity.

## Estimating Respondent Costs

To determine respondent costs, an average hourly wage rate of $58.19 for technical staff, the hourly wage rate for professional and related persons, was derived from the Bureau of Labor Statistics (BLS) Employer Cost and Employee Compensation, Table 2. (“civilian workers, by occupational and industry group”), March 2021. An average hourly wage rate of $47.54 for clerical staff, the hourly wage rate for administrative services and facilities managers, was derived from the BLS Occupational Outlook Handbook, June 2021. A 110 percent increase was added to reflect the estimated additional costs for overhead and fringe, which increased the wage rates to $122.20 and $99.83 per hour for technical staff and clerical staff, respectively. Burden hours were multiplied by the labor rate to determine respondent costs.

In addition, operations and maintenance (O&M) costs associated with recordkeeping requirements were designated at $50 per year, which will cover the cost of whatever method companies use to store their records, such as a flash drive, paper file, or cloud storage. O&M costs associated with conducting third party audits were estimated at $5,942 per audit based on the assumption that each audit will take on average 80 hours to complete at a rate of $74.28 per hour based on the BLS hourly rate for professional and related persons. A 110 percent increase was added to reflect the estimated additional costs for overhead and fringe.

Table Vbelow summarizes annual labor and O&M costs for each respondent by information collection activity. Costs are calculated by multiplying technical burden hours per response by the number of responses per year by the assumed hourly wage rate of technical staff. The number of responses per year are based on the reporting frequency of each activity (as outlined in Table II) and EPA’s experience implementing the ODS allowance system.

## Estimating Agency Burden and Costs

EPA identified 14 activities incurred by the federal government associated with this data collection request. Burden associated with each activity is based on EPA’s past experience with reporting and data collection of HFCs and ODS. The number of occurrences of each activity is based on the estimated number of responses per year for each year of this ICR (as discussed further in section (d) below).

Costs are subdivided into Agency and contractor costs. The average hourly rates for EPA technical and managerial staff of $49.68 and $69.06, respectively, are derived from the 2021 annual base pay table, which was retrieved from the Office of Personnel Management website. The rate for technical staff is based on a GS-13 step 1 salary and the rate for managerial staff is based on a GS-15 step 1 salary. These rates were then multiplied by the standard government benefits multiplication factor of 1.6 to get hourly rates of $79.49 for technical staff and $110.50 for managerial staff. The cost of contractor time is valued at $108.37 per hour on average, including overhead and fringe. This rate takes into account a weighted average of managerial and technical staff hours, based on rates for Consultant III and Researcher II under GSA Schedule 899‐1 Environmental Consulting Services. Table IV summarizes total agency burden and costs by activity.

## Estimating the Respondent Universe and Total Burden and Costs

The respondent universe for this ICR is based on a review of data available in e-GGRT, the ODSTS, the ACE, and HFC subsector market characterizations (docket ID EPA-HQ-OAR-2021-0044). In total, EPA estimates 10,568 unique respondents are subject to the information collection requirements outlined in this ICR. This estimate takes into account the fact that the respondent types specified in Table II are not mutually exclusive, meaning a given respondent may be subject to more than one information collection activity.

Table VI summarizes the total number of respondents per activity per year as well as total burden hours and costs per year. The number of respondents per activity per year varies across the three years covered by this ICR due to the one-time reporting requirement for select activities. Total respondent burden hours and costs are derived by multiplying the number of respondents per activity by total hours and total costs per respondent per year (see Table III). EPA has not deducted any respondent burden that is already covered under the GHGRP’s ICR (2060-0629) or the National Refrigerant Recycling and Emissions Reduction Program (under CAA Section 608) ICR (2060-0256). EPA will consider the best approach for aligning the burden calculations in this ICR with the ICR for the GHGRP and National Refrigerant Recycling and Emissions Reduction Program in a future renewal.

**Table III. Hours and Costs per Respondent Activity**

| **Respondent Type**  |  **Activity**  | **Responses per Respondent per Year** |  **Technical Hours per Response**  |  **Clerical Hours per Response**  |  **Total Hours per Respondent per Year**  | **Labor Cost per Respondent per Year** | **O&M Costs per Respondent per Year** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| HFC Producer | Submit one-time producer report | 1 | 100.0 | 0 | 100.0 | $12,220 | $0 |
| Submit quarterly report | 4 | 6.0 | 0 | 24.0 | $2,933 | $0 |
| Submit annual inventory report (part of quarterly report) | 1 | 20.0 | 0 | 20.0 | $2,444 | $0 |
| Maintain records | 1 | 0.0 | 80 | 80.0 | $7,986 | $50 |
| Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 9 | 2.0 | 0 | 18.2 | $2,220 | $0 |
| Submit one-time HFC-23 emissions report | 1 | 100.0 | 0 | 100.0 | $12,220 | $0 |
| Submit annual HFC-23 emissions report | 1 | 12.0 | 0 | 12.0 | $1,466 | $50 |
| Submit HFC-23 proof of destruction | 2 | 0.3 | 0 | 0.5 | $61 | $0 |
| Provide certification to third party (conferrer) | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| HFC Importer | Submit one-time AD/CVD report | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| Submit quarterly report | 4 | 6.0 | 0 | 24.0 | $2,933 | $0 |
| Submit annual inventory report (part of quarterly report) | 1 | 10.0 | 0 | 10.0 | $1,222 | $0 |
| Submit one-time set-aside allowance request | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Maintain records | 1 | 0.0 | 80 | 80.0 | $7,986 | $50 |
| Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 9 | 2.0 | 0 | 18.2 | $2,220 | $0 |
| Petition to import HFCs for transformation/destruction | 48 | 2.0 | 0 | 96.0 | $11,731 | $0 |
| Petition to import used HFCs for destruction | 3 | 6.0 | 0 | 18.0 | $2,200 | $0 |
| Submit ACE report | 25 | 0.3 | 0 | 6.1 | $751 | $0 |
| Submit proof of destruction of used imports | 3 | 0.3 | 0 | 0.8 | $92 | $0 |
| Maintain records on used imports for destruction | 1 | 0.0 | 20 | 20.0 | $1,997 | $0 |
| Provide certification to third party (conferrer) | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| HFC Aggregator | Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| Vessel Owner | Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| HFC Transhipments | Submit notification of transhipments  | 10 | 1.0 | 0 | 10.0 | $1,222 | $0 |
| Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| HFC Exporter | Submit quarterly report | 4 | 6.0 | 0 | 24.0 | $2,933 | $0 |
| Submit annual inventory report (part of quarterly report) | 1 | 10.0 | 0 | 10.0 | $1,222 | $0 |
| Submit request for additional consumption allowances | 2 | 6.0 | 0 | 12.0 | $1,466 | $0 |
| HFC Suppliers | Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 891 | 0.0 | 0 | 2.5 | $302 | $0 |
| Submit conferral request | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Provide certification to third party (conferee) | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| Provide certification to third party (conferrer) | 4 | 2.0 | 0 | 8.0 | $978 | $0 |
| Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| HFC Destroyer | Submit one-time report | 1 | 100.0 | 0 | 100.0 | $12,220 | $0 |
| Submit annual second party report | 1 | 4.0 | 0 | 4.0 | $489 | $0 |
| Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| Provide destruction verification to third party | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| Provide proof of destruction to third party | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| HFC Transformer | Submit one-time report | 1 | 100.0 | 0 | 100.0 | $12,220 | $0 |
| Submit annual second party report | 1 | 4.0 | 0 | 4.0 | $489 | $0 |
| Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| Provide transformation verification to third party | 1 | 2.0 | 0 | 2.0 | $244 | $0 |
| HFC Process Agent Use | Submit one-time report | 1 | 100.0 | 0 | 100.0 | $12,220 | $0 |
| Submit annual report | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| HFC Reclaimers | Submit one-time report | 1 | 40.0 | 0 | 40.0 | $4,888 | $0 |
| Submit quarterly report | 4 | 9.4 | 0 | 37.6 | $4,595 | $0 |
| Submit annual inventory report (part of quarterly report) | 1 | 10.0 | 0 | 10.0 | $1,222 | $0 |
| Maintain records | 1 | 0.0 | 40 | 40.0 | $3,993 | $50 |
| Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 46,406 | 0.0 | 0 | 257.8 | $31,505 | $0 |
| HFC Fillers and Packagers | Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 46,406 | 0.0 | 0 | 257.8 | $31,505 | $0 |
| HFC Fire Suppression Agent Recyclers | Submit one-time report | 1 | 40.0 | 0 | 40.0 | $4,888 | $0 |
| Submit quarterly report | 4 | 9.4 | 0 | 37.6 | $4,595 | $0 |
| Submit annual inventory report (part of quarterly report) | 1 | 10.0 | 0 | 10.0 | $1,222 | $0 |
| Maintain records | 1 | 0.0 | 20 | 20.0 | $1,997 | $50 |
| Register with certification ID system | 1 | 0.5 | 0 | 0.5 | $61 | $0 |
| Enter data into certification ID system | 46,406 | 0.0 | 0 | 257.8 | $31,505 | $0 |
| HFC Transfers | Submit inter-company transfer request | 2 | 6.0 | 0 | 12.0 | $1,466 | $0 |
| Submit request to transfer from a person in a foreign country | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Submit request to transfer to a person in a foreign country | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Submit request to sell/convey HFCs produced/imported with application-specific allowances | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Application-Specific Allowance Holdersa | Submit biannual report | 2 | 6.0 | 0 | 12.0 | $1,466 | $0 |
| Submit annual report (part of biannual report) | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Submit conferral request | 2 | 6.0 | 0 | 12.0 | $1,466 | $0 |
| Provide certification to third party (conferee) | 2 | 2.0 | 0 | 4.0 | $489 | $0 |
| Maintain records | 1 | 0.0 | 80 | 80.0 | $7,986 | $50 |
| Submit one-time set-aside allowance request | 1 | 6.0 | 0 | 6.0 | $733 | $0 |
| Submit one-time report | 1 | 38.0 | 0 | 38.0 | $4,644 | $0 |
| Third Party Audits | Submit annual audit report | 1 | 40.0 | 0 | 40.0 | $4,888 | $5,942 |
| a The Department of Defense is also required to submit an annual report to EPA and maintain records on the use of mission-critical application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency. |

**Table IV. Agency Burden and Cost Table**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **Managerial Hours per Activity**  | **Technical Hours per Activity**  | **Clerical Hours per Activity**  | **Contractor Hours per Activity**  |  **Number of Activities**  |  **Total Hours**  | **Total Cost** |
|  **Y1**  |  **Y2**  |  **Y3**  |  **Y1**  |  **Y2**  |  **Y3**  |  **Y1**  |  **Y2**  |  **Y3**  |
| Develop and Maintain a Certification ID Tracking System | 120.0 | 3,000.0 | 0.0 | 12,000.0 | 1  | 1  | 0.8  | 15,120  | 15,120  | 11,340  | $1,552,170 | $1,552,170 | $1,164,128 |
| Expand Data Tracking System  | 60.0 | 1,500.0 | 0.0 | 10,000.0 | 1  | 1  | 1  | 11,560  | 8,670  | 6,936  | $1,209,565 | $907,174 | $725,739 |
| Notify Submitters of Baseline Allowances | 0.1 | 1.0 | 0.0 | 1.0 | 327  | 327  | 327  | 687  | 687  | 687  | $65,044 | $65,044 | $65,044 |
| Review Data for Reporting Completeness and Compliance | 0.0 | 0.3 | 0.0 | 1.0 | 2,497  | 2,320  | 2,320  | 3,321  | 3,086  | 3,086  | $336,100 | $312,276 | $312,276 |
| Process Transfer Reports | 0.1 | 0.5 | 0.0 | 0.5 | 57  | 57  | 57  | 63  | 63  | 63  | $5,984 | $5,984 | $5,984 |
| Review Petitions to Import HFCs | 0.1 | 1.0 | 0.0 | 0.5 | 396  | 396  | 396  | 634  | 634  | 634  | $57,311 | $57,311 | $57,311 |
| Review Set-aside Allowance Requests | 0.3 | 4.0 | 0.0 | 4.0 | 50  | -  | -  | 413  | -  |  -  | $38,953 | $0 | $0 |
| Review Third-Party Audits | 0.1 | 2.0 | 0.0 | 4.0 | 455  | 455  | 455  | 2,776  | 2,776  | 2,776  | $274,597 | $274,597 | $274,597 |
| Provide Reporting Guidance | 0.0 | 2.0 | 0.0 | 2.0 | 40  | 40  | 40  | 160  | 160  | 160  | $15,029 | $15,029 | $15,029 |
| Conduct Stakeholder Outreach Efforts | 4.0 | 60.0 | 0.0 | 120.0 | 1  | 1  | 1  | 184  | 184  | 184  | $18,216 | $18,216 | $18,216 |
| Maintain the Data Tracking System | 40.0 | 750.0 | 0.0 | 1,800.0 | 1  | 1  | 1  | 2,590  | 2,590  | 2,590  | $259,104 | $259,104 | $259,104 |
| Review Import Data Submitted in ACE | 0.0 | 0.3 | 0.0 | 0.1 | 7,500  | 7,500  | 7,500  | 2,700  | 2,700  | 2,700  | $238,609 | $238,609 | $238,609 |
| Conduct Compliance Monitoring Activities | 120.0 | 2,500.0 | 0.0 | 750.0 | 2  | 2  | 2  | 6,740  | 6,740  | 6,740  | $586,525 | $586,525 | $586,525 |
| Ensure Non-Exceedance of AIM Act Limits | 20.0 | 80.0 | 0.0 | 80.0 | 1  | 1  | 1  | 180  | 180  | 180  | $17,239 | $17,239 | $17,239 |

**Table V. Respondent Burden and Cost Table**

| **Respondent Type**  |  **Activity**  |  **Respondents per Activity per Year**  | **Total Hours per Year** | **Total Cost per Year** |
| --- | --- | --- | --- | --- |
|  **Y1**  |  **Y2**  |  **Y3**  |  **Y1**  |  **Y2**  |  **Y3**  |  **Y1**  |  **Y2**  |  **Y3**  |
| HFC Producer | Submit one-time producer report | 22 | 1 | 1 | 2,200 | 100 | 100 | $268,840 | $12,220 | $12,220 |
| Submit quarterly report | 22 | 22 | 22 | 528 | 528 | 528 | $64,522 | $64,522 | $64,522 |
| Submit annual inventory report (part of quarterly report) | 22 | 22 | 22 | 440 | 440 | 440 | $53,768 | $53,768 | $53,768 |
| Maintain records | 22 | 22 | 22 | 1,760 | 1,760 | 1,760 | $176,801 | $176,801 | $176,801 |
| Register with certification ID system | 0 | 0 | 22 | 0 | 0 | 11 | $0 | $0 | $1,344 |
| Enter data into certification ID system | 0 | 0 | 6 | 0 | 0 | 100 | $0 | $0 | $12,209 |
| Submit one-time HFC-23 emissions report | 4 | 0 | 0 | 400 | 0 | 0 | $48,880 | $0 | $0 |
| Submit annual HFC-23 emissions report | 4 | 4 | 4 | 48 | 48 | 48 | $6,066 | $6,066 | $6,066 |
| Submit HFC-23 proof of destruction | 4 | 4 | 4 | 2 | 2 | 2 | $244 | $244 | $244 |
| Provide certification to third party (conferrer) | 15 | 15 | 15 | 30 | 30 | 30 | $3,666 | $3,666 | $3,666 |
| HFC Importer | Submit one-time AD/CVD report | 305 | 0 | 0 | 610 | 0 | 0 | $74,542 | $0 | $0 |
| Submit quarterly report | 305 | 305 | 305 | 7,320 | 7,320 | 7,320 | $894,504 | $894,504 | $894,504 |
| Submit annual inventory report (part of quarterly report) | 305 | 305 | 305 | 3,050 | 3,050 | 3,050 | $372,710 | $372,710 | $372,710 |
| Submit one-time set-aside allowance request | 40 | 0 | 0 | 240 | 0 | 0 | $29,328 | $0 | $0 |
| Maintain records | 305 | 305 | 305 | 24,400 | 24,400 | 24,400 | $2,451,102 | $2,451,102 | $2,451,102 |
| Register with certification ID system | 0 | 0 | 305 | 0 | 0 | 153 | $0 | $0 | $18,636 |
| Enter data into certification ID system | 0 | 0 | 76 | 0 | 0 | 1,385 | $0 | $0 | $169,258 |
| Petition to import HFCs for transformation/destruction | 8 | 8 | 8 | 768 | 768 | 768 | $93,850 | $93,850 | $93,850 |
| Petition to import used HFCs for destruction | 4 | 4 | 4 | 72 | 72 | 72 | $8,798 | $8,798 | $8,798 |
| Submit ACE report | 305 | 305 | 305 | 1,875 | 1,875 | 1,875 | $229,125 | $229,125 | $229,125 |
| Submit proof of destruction of used imports | 4 | 4 | 4 | 3 | 3 | 3 | $367 | $367 | $367 |
| Maintain records on used imports for destruction | 4 | 4 | 4 | 80 | 80 | 80 | $7,986 | $7,986 | $7,986 |
| Provide certification to third party (conferrer) | 15 | 15 | 15 | 30 | 30 | 30 | $3,666 | $3,666 | $3,666 |
| HFC Aggregator | Maintain records | 5 | 5 | 5 | 100 | 100 | 100 | $10,233 | $10,233 | $10,233 |
| Vessel Owner | Maintain records | 100 | 100 | 100 | 2,000 | 2,000 | 2,000 | $204,660 | $204,660 | $204,660 |
| HFC Transhipments | Submit notification of transhipments  | 24 | 24 | 24 | 240 | 240 | 240 | $29,328 | $29,328 | $29,328 |
| Maintain records | 24 | 24 | 24 | 480 | 480 | 480 | $49,118 | $49,118 | $49,118 |
| HFC Exporter | Submit quarterly report | 24 | 24 | 24 | 576 | 576 | 576 | $70,387 | $70,387 | $70,387 |
| Submit annual inventory report (part of quarterly report) | 24 | 24 | 24 | 240 | 240 | 240 | $29,328 | $29,328 | $29,328 |
| Submit request for additional consumption allowances | 7 | 7 | 7 | 84 | 84 | 84 | $10,265 | $10,265 | $10,265 |
| HFC Suppliers | Register with certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| Enter data into certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| Submit conferral request | 30 | 30 | 30 | 180 | 180 | 180 | $21,996 | $21,996 | $21,996 |
| Provide certification to third party (conferee) | 30 | 30 | 30 | 60 | 60 | 60 | $7,332 | $7,332 | $7,332 |
| Provide certification to third party (conferrer) | 30 | 30 | 30 | 240 | 240 | 240 | $29,328 | $29,328 | $29,328 |
| Maintain records | 30 | 30 | 30 | 600 | 600 | 600 | $61,398 | $61,398 | $61,398 |
| HFC Destroyer | Submit one-time report | 20 | 1 | 1 | 2,000 | 100 | 100 | $244,400 | $12,220 | $12,220 |
| Submit annual second party report | 15 | 15 | 15 | 60 | 60 | 60 | $7,332 | $7,332 | $7,332 |
| Maintain records | 15 | 15 | 15 | 300 | 300 | 300 | $30,699 | $30,699 | $30,699 |
| Provide destruction verification to third party | 15 | 15 | 15 | 30 | 30 | 30 | $3,666 | $3,666 | $3,666 |
| Provide proof of destruction to third party | 12 | 12 | 12 | 24 | 24 | 24 | $2,933 | $2,933 | $2,933 |
| HFC Transformer | Submit one-time report | 33 | 1 | 1 | 3,300 | 100 | 100 | $403,260 | $12,220 | $12,220 |
| Submit annual second party report | 29 | 29 | 29 | 116 | 116 | 116 | $14,175 | $14,175 | $14,175 |
| Maintain records | 29 | 29 | 29 | 580 | 580 | 580 | $59,351 | $59,351 | $59,351 |
| Provide transformation verification to third party | 29 | 29 | 29 | 58 | 58 | 58 | $7,088 | $7,088 | $7,088 |
| HFC Process Agent Use | Submit one-time report | 6 | 1 | 1 | 600 | 100 | 100 | $73,320 | $12,220 | $12,220 |
| Submit annual report | 6 | 6 | 6 | 36 | 36 | 36 | $4,399 | $4,399 | $4,399 |
| HFC Reclaimers | Submit one-time report | 68 | 1 | 1 | 2,720 | 40 | 40 | $332,384 | $4,888 | $4,888 |
| Submit quarterly report | 68 | 68 | 68 | 2,557 | 2,557 | 2,557 | $312,441 | $312,441 | $312,441 |
| Submit annual inventory report (part of quarterly report) | 68 | 68 | 68 | 680 | 680 | 680 | $83,096 | $83,096 | $83,096 |
| Maintain records | 68 | 68 | 68 | 2,720 | 2,720 | 2,720 | $274,938 | $274,938 | $274,938 |
| Register with certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| Enter data into certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| HFC Fillers and Packagers | Register with certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| Enter data into certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| HFC Fire Suppression Agent Recyclers | Submit one-time report | 10 | 1 | 1 | 400 | 40 | 40 | $48,880 | $4,888 | $4,888 |
| Submit quarterly report | 10 | 10 | 10 | 376 | 376 | 376 | $45,947 | $45,947 | $45,947 |
| Submit annual inventory report (part of quarterly report) | 10 | 10 | 10 | 100 | 100 | 100 | $12,220 | $12,220 | $12,220 |
| Maintain records | 10 | 10 | 10 | 200 | 200 | 200 | $20,466 | $20,466 | $20,466 |
| Register with certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| Enter data into certification ID system | 0 | 0 | 0 | 0 | 0 | 0 | $0 | $0 | $0 |
| HFC Transfers | Submit inter-company transfer request | 25 | 25 | 25 | 300 | 300 | 300 | $36,660 | $36,660 | $36,660 |
| Submit request to transfer from a person in a foreign country | 1 | 1 | 1 | 6 | 6 | 6 | $733 | $733 | $733 |
| Submit request to transfer to a person in a foreign country | 1 | 1 | 1 | 6 | 6 | 6 | $733 | $733 | $733 |
| Submit request to sell/convey HFCs produced/imported with application-specific allowances | 5 | 5 | 5 | 30 | 30 | 30 | $3,666 | $3,666 | $3,666 |
| Application-Specific Allowance Holdersa | Submit biannual report | 60 | 60 | 60 | 720 | 720 | 720 | $87,984 | $87,984 | $87,984 |
| Submit annual report (part of biannual report) | 60 | 60 | 60 | 360 | 360 | 360 | $43,992 | $43,992 | $43,992 |
| Submit conferral request | 60 | 60 | 60 | 720 | 720 | 720 | $87,984 | $87,984 | $87,984 |
| Provide certification to third party (conferee) | 60 | 60 | 60 | 240 | 240 | 240 | $29,328 | $29,328 | $29,328 |
| Maintain records | 60 | 60 | 60 | 4,800 | 4,800 | 4,800 | $482,184 | $482,184 | $482,184 |
| Submit one-time set-aside allowance request | 10 | 0 | 0 | 60 | 0 | 0 | $7,332 | $0 | $0 |
| Submit one-time report | 10 | 0 | 0 | 380 | 0 | 0 | $46,436 | $0 | $0 |
| Third Party Audits | Submit annual audit report | 455 | 455 | 455 | 18,200 | 18,200 | 18,200 | $4,927,832 | $4,927,832 | $4,927,832 |
| a The Department of Defense is also required to submit an annual report to EPA and maintain records on the use of mission-critical application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency. |

## Bottom Line Burden Hours and Cost Tables

### Respondent Tally

As shown in Table VI, EPA estimates the total annual hour and cost burden to all respondents to average 83,395 hours and $12,077,750.

**Table VI. Respondent Burden Summary Table**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Year** | **Total****Responses** | **Total Hours** | **Total Labor****Costs** | **Total O&M****Costs** | **Total Costs** |
| Year 1 | 12,767 | 91,335 | $10,310,605 | $2,737,392 | $13,047,997 |
| Year 2 | 12,245 | 78,905 | $8,791,659 | $2,737,392 | $11,529,051 |
| Year 3 | 13,315 | 80,553 | $8,993,106 | $2,737,392 | $11,730,498 |
| **Annual Average** | **12,776** | **83,598** | **$9,365,123** | **$2,737,392** | **$12,102,515** |

### The Agency Tally

As shown in Table VII, EPA estimates the total annual hour and cost burden to the Agency to average 42,929 hours and $4,241,173.

**Table VII. Agency Burden Summary Table**

|  |  |  |
| --- | --- | --- |
| **Year** | **Total Hours** | **Total Costs** |
| Year 1 | 47,126 | $4,674,445 |
| Year 2 | 43,588 | $4,309,276 |
| Year 3 | 38,074 | $3,739,799 |
| **Annual Average** | **42,929** | **$4,241,173** |

## Reasons for Change in Burden

This is a new information collection request.

## Burden Statement

The public reporting burden for this collection of information is estimated to average 6.6 hours per response. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control numbers for EPA's regulations are listed in 40 CFR Part 9 and 48 CFR Chapter 15.

1. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2025 for producers); therefore, this ICR assumes burden for this activity only during 2024. [↑](#footnote-ref-2)
2. Producers are required to begin entering data into the certification ID system beginning in 2025; because it is expected that a portion of the producers will begin complying in the year prior, this ICR assumes burden for this activity only during 2024. [↑](#footnote-ref-3)
3. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2025 for importers); therefore, this ICR assumes burden for this activity only during 2024. [↑](#footnote-ref-4)
4. Importers are required to begin entering data into the certification ID system beginning in 2025; because it is expected that a portion of the importers will begin complying in the year prior, this ICR assumes burden for this activity only during 2024. [↑](#footnote-ref-5)
5. Burden associated with this voluntary reporting requirement is not currently included in the burden estimates. [↑](#footnote-ref-6)
6. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2027 for suppliers); therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-7)
7. Suppliers are required to begin entering data into the certification ID system beginning in 2027; therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-8)
8. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2026 for reclaimers); therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-9)
9. Reclaimers are required to begin entering data into the certification ID system beginning in 2026; therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-10)
10. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2026 for fillers and packagers); therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-11)
11. Fillers and packagers are required to begin entering data into the certification ID system beginning in 2026; therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-12)
12. Certification ID registration is not required until 120 days prior to the certification ID system compliance date (i.e., January 1, 2026 for fire suppressant recyclers); therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-13)
13. Fire suppressant recyclers are required to begin entering data into the certification ID system beginning in 2026; therefore, this ICR, which covers 2022 through 2024, does not assume any burden for this activity. [↑](#footnote-ref-14)
14. The Department of Defense is also required to submit an annual report to EPA and maintain records on the use of mission-critical application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency. [↑](#footnote-ref-15)
15. Burden associated with this voluntary reporting requirement is not currently included in the burden estimates. [↑](#footnote-ref-16)
16. Some of these requirements, including those related to reclaimer, filler/packager, fire suppressant recycler, and supplier compliance with the certification ID system, do not begin until after 2024; therefore, the burden associated with these activities is not included in this ICR. [↑](#footnote-ref-17)