

U.S. Environmental Protection Agency

Information Collection Request

Title: Hydrofluorocarbon Allowance Allocation and Trading Program

OMB Control Number: 2060-0734

EPA ICR Number: 2685.06

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 established 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” (hereafter referred to as the “Allocation Framework Rule”), 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 36,248 hours per year and the respondent cost will average \$5,643,734 per year. This includes \$1,063,203.60 per year for capital investment and operation and maintenance and \$4,580,530 per year for labor. Over the same time period, the total estimated cost for EPA of the information collection will average \$1,412,801 per year. The total estimated cost for all respondents and EPA will average \$7,056,535 per year.

Actions to Comply with Terms of Clearance

This is an ICR revision and renewal, in accordance with 5 CFR 1320, the information collection will be approved for three years. This ICR encompasses information collected beyond the scope of the changes in the final rule “Phasedown of Hydrofluorocarbons: Review and Renewal of Eligibility for Application-Specific Allowances” (hereafter referred to as the “2025 Application-specific Allowances Rule”). EPA is seeking a three-year approval for the elements in the accompanying final rule and all other elements in the ICR. To comply with the ICR Terms of Clearance, the agency will closely track the frequency with which this collection is used and (1) submit a request for revision if the actual burden exceeds the expected level approved in this ICR; and (2) ensure that the burden reflected in the renewal is accurate.

Supporting Statement A

1. Need and 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).

2. 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. 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.

3. Use of Technology

EPA is currently leveraging two existing reporting systems to collect data on HFCs: (1) the electronic Greenhouse Gas Reporting Tool (e-GGRT) and (2) the Central Data Exchange (CDX). EPA currently uses e-GGRT to collect data on HFCs in accordance with 40 CFR part 84, while CDX is used by EPA to collect data on ozone-depleting substances (ODS) that are reported in accordance with 40 CFR part 82.

To track and manage data, EPA currently uses the HFC & ODS Allowance Tracking System, or HAWK. Following submission, the data will be migrated into HAWK for the purposes of allowance tracking and management, leveraging the infrastructure of the allowance tracking system implemented for ODS. All systems (i.e., e-GGRT, CDX, and HAWK) are designed to collect and store confidential business information (CBI) in compliance with U.S. government security standards.

Additionally, EPA is requiring submission of a limited amount of data through U.S. Customs and Border Protection (CBP)'s Automated Commercial Environment (ACE) to support real-time review

of imports prior to importation. Collecting these data through ACE has required modifications to EPA and CBP data management systems to allow for more streamlined review and sharing of information.

4. Efforts to Identify 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 collects many reports required by this ICR electronically through e-GGRT, which is the system used to collect data under the GHGRP. The use of e-GGRT for HFC reporting helps minimize duplicative reporting between the AIM Act and the GHGRP.

Under 40 CFR part 82.164, EPA requires reclaimers of 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 requires 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 in ACE, an electronic reporting platform for customs data, managed by 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.

5. Minimizing Burden on Small Entities

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 for other purposes to best implement the HFC Phasedown provisions under the AIM Act.

The burden on small entities has been reduced to the 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.

6. 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.

7. General Guidelines

Special Circumstances

Consistent with 40 CFR 84.31(a)(3) and previously approved ICRs (EPA ICR 2685.02 and 2685.04), some of the records covered by this collection of information have 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. Five-year record retention is necessary to maintain alignment with the existing regulatory provision to retain records and copies of reports required under 40 CFR 84.31 for five years and is an essential element of EPA's implementing regulations to ensure robust enforcement of and compliance with the phasedown requirements. EPA finalized a longer retention schedule for certain records because under the AIM Act, companies will face burdens and costs associated with the Congressionally mandated phasedown; those increased burdens and costs unfortunately create economic incentives to avoid compliance. That reality increases EPA's statutory and policy imperative to identify and apply tools that counter those incentives to increase the rate of compliance. Given the serious concerns about potential noncompliance and the undermining of Congress's directive to ensure reductions in production and consumption occur consistent with the statutory schedule, there is an imperative to use every reasonable tool at our disposal to ensure compliance and thus the objectives of the AIM Act.

Recognizing the risk and imperative of ensuring the phasedown is implemented effectively, in part to ensure that American industries remain competitive in the expanding global market of HFC alternatives, EPA exchanges data with U.S. CBP and the Department of Homeland Security (DHS) on ODS and HFC importers and exporters to determine admissibility and target illegal shipments entering the United States. EPA also reviews and approves imports flagged in the Automated Commercial Environment to support real-time review of imports prior to importation. Retaining records for five years is an important ingredient to allow for strong enforcement and to bolster the competitiveness of American industries.

EPA further elaborated on the importance of robust enforcement and compliance measures in the Allocation Framework Rule (86 FR 55116, 55168, October 5, 2021):

"EPA is finalizing strong enforcement and compliance measures at the outset of this new regulatory program to prevent and identify noncompliance, to ensure the Agency can meet the statutory directive in subsection (e)(2)(B), and to create a level playing field for the regulated community. Failure to prevent or identify illegal activity in the United States and ensure compliance with the

obligations under the AIM Act could significantly harm the environment, the United States economy, and consumer and worker safety. These provisions were chosen to address specific challenges with enforcement and compliance experienced in the United States and abroad. While each provision functions independently from the other provisions, the requirements also complement and often reinforce each other to create a holistic approach to ensuring EPA can meet the statutory directive in the AIM Act. EPA is finalizing a multifaceted approach that utilizes a variety of tools to deter, identify, and penalize illegal activity.”

Retaining certain records for five years instead of three years ensures records are available to address compliance concerns, which in turn allow EPA to ensure U.S. production and consumption stay within the required limits established under the AIM Act. A more detailed discussion of EPA’s approach to compliance and enforcement, as well as reporting and recordkeeping can be found in sections IX and X of the HFC Allocation Framework Rule.

This five-year retention schedule also aligns with the statute of limitations under 28 U.S. Code § 2462 and this collection of information request is consistent with all other OMB guidelines at 5 CFR 1320.5(d)(2).

The final rule that is modifying this ICR sets a three-year record retention schedule for new provisions regarding petitioning EPA to approve additional applications eligible for application-specific allowances and allocating a small number of allowances to a U.S. producer solely to allow for the production and export of HFC-41 for use in the etching of semiconductor material or wafers and the cleaning of chemical vapor deposition chambers within the semiconductor manufacturing sector.

8. Public Comment and Consultations

(a) Public Comment

The proposed rulemaking “Phasedown of Hydrofluorocarbons: Review and Renewal of Eligibility for Application-specific Allowances” served as the public notice for this ICR. EPA requested comment on this ICR in that proposed rulemaking. The Agency received 26 comments on the proposed rule, including on proposed requirements for petitions to be added as an application eligible for ASAs, accounting for quantities held in inventory for ASA biannual reports, and proposed requirements for the production and export of HFC-41 for use in the etching of semiconductor material or wafers and the cleaning of chemical vapor deposition chambers within the semiconductor manufacturing sector. EPA considered all comments received and responded to each in the preamble to the final rule.

Regarding the proposed requirements for petitions, EPA revisited the proposed requirements to determine whether any elements would be extraneous in the development of a well-informed position on a petition. The Agency was deliberate in proposing to require information that would be critical for reviewing a petition consistent with the criteria in subsection (e)(4)(B)(i) of the AIM Act. Upon review, EPA reaffirmed that all the requirements finalized in the 2025 Application-specific Allowances Rule would meaningfully inform whether a petition meets the statutory criteria and made modifications for clarity. See Section VI of the final rule preamble for further discussion of how EPA responded to comments on petition requirements.

One entity suggested that EPA modify its existing requirement that ASA holders report the quantity of HFCs held in inventory and add a definition so that inventory must be reported in a specific way by all entities. EPA considered this comment, but EPA had not proposed that entities report inventory based on a specific definition. Entities have some flexibility in how they determine inventory, so long as they use a consistent approach year over year. See Section VII.C of the final rule preamble for further discussion of how EPA responded to this comment.

EPA received one comment on the proposal to allow one U.S. producer to produce and export HFC-41 for use in the etching of semiconductor material or wafers and the cleaning of chemical vapor deposition chambers within the semiconductor manufacturing sector. The commenter, the U.S. producer receiving production for export allowances, requested a clarification regarding the annual certifications EPA proposed to require for this activity. EPA clarified the final provisions for annual certifications in the final rule; see Section VIII for further discussion.

(b) Consultations

The burden calculations were developed based on: EPA’s experience collecting data on these activities since 2022, including numerous conversations with regulated entities¹; responses to EPA’s proposed rulemaking “Phasedown of Hydrofluorocarbons: Allowance Allocation Methodology for 2024 and Later Years” (87 FR 66372, November 3, 2022); 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); and data from CBP in ACE and confirmed through letters sent out to request additional records from companies (EPA ICR 2684.01).

¹ As of July 2025, EPA has reviewed more than 200 ASA requests, including holding one-on-one consultations to help companies understand how to successfully request allowances.

Approximately 200 stakeholders participated in the February 25, 2021 meeting, more than 75 stakeholders attended the application-specific allowance holder workshops, and EPA received more than 30 comments from stakeholders on the NODA, more than 170 comments on 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), and approximately 100 comments on the proposed rulemaking “Phasedown of Hydrofluorocarbons: Allowance Allocation Methodology for 2024 and Later Years” (87 FR 66372, November 3, 2022). In November 2023, EPA held six public stakeholder meetings attended by a combined 240 attendees in advance of the proposed rulemaking “Phasedown of Hydrofluorocarbons: Review and Renewal of Eligibility for Application-specific Allowances.” As noted previously, EPA received 26 comments on that proposed rule.

9. Payments of Gifts to Respondents

No payments or gifts will be made to respondents.

10. Provisions for Protection of Information

EPA is not providing confidential treatment to the following information collected pursuant to the Part 84, Subpart A 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 transshipments; (7) companies receiving transferred allowances and the quantity of allowances received; and (8) other data identified in the confidentiality determination memo provided to the docket for the HFC Allocation Framework Rule.

EPA also made a final determination in the HFC Allocation Framework Rule 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 by application-specific allowance holders, were determined to be confidential data and are, therefore, entitled to confidential treatment.

In the final 2025 Application-specific Allowances Rule, EPA determined that certain information collected pursuant to the Part 84, Subpart A AIM Act regulations would not be entitled to confidential treatment: (1) company-level data associated with a set aside for unique circumstances related to metered-dose inhalers (MDIs), including the quantity of allowances withheld, the list of entities from whom allowances were withheld, and the list of entities requesting and receiving set-aside allowances; (2) certain data submitted as part of a petition to be listed as an application eligible for ASAs; (3) certain company-level data associated with production for export; and (4) other data identified in the confidentiality determination memo provided to the docket for the final 2025 Application-specific Allowances Rule.

Unless otherwise noted in the confidentiality determination memos and preambles of the aforementioned rulemakings, 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 confidentiality determinations pursuant to EPA's regulations at 40 CFR 2.203. For all data elements that EPA has determined 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.

11. Justification for Sensitive Questions

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

12. Respondent Burden Hours and Labor Costs

(a) Respondents/NAICS Codes

NAICS Code	NAICS Industry Description
325120	Industrial Gas Manufacturing
325199	All Other Basic Organic Chemical Manufacturing
325211	Plastics Material and Resin Manufacturing
325412	Pharmaceutical Preparation Manufacturing
325414	Biological Product (except Diagnostic) Manufacturing
325998	All Other Miscellaneous Chemical Product and Preparation Manufacturing
326220	Rubber and Plastics Hoses and Belting Manufacturing
326150	Urethane and Other Foam Product
326299	All Other Rubber Product Manufacturing
333415	AirConditioning and Warm Air Heating Equipment and Commercial and Industrial Refrigeration Equipment Manufacturing
333511	Industrial Mold Manufacturing
334413	Semiconductor and Related Device Manufacturing
334419	Other Electronic Component Manufacturing
334510	Electromedical and Electrotherapeutic Apparatus Manufacturing
336212	Truck Trailer Manufacturing
336214	Travel Trailer and Camper Manufacturing
336411	Aircraft Manufacturing

336611	Ship Building and Repairing
336612	Boat Building
339112	Surgical and Medical Instrument Manufacturing
423720	Plumbing and Heating Equipment and Supplies (Hydronics) Merchant Wholesalers
423730	Warm Air Heating and AirConditioning Equipment and Supplies Merchant Wholesalers
423740	Refrigeration Equipment and Supplies Merchant Wholesalers
423830	Industrial Machinery and Equipment Merchant Wholesalers
423840	Industrial Supplies Merchant Wholesalers
423860	Transportation Equipment and Supplies (except Motor Vehicle) Merchant Wholesalers
424690	Other Chemical and Allied Products Merchant Wholesalers
488510	Freight Transportation Arrangement
541380	Testing Laboratories
541714	Research and Technology in Biotechnology (except Nanobiotechnology)
562111	Solid Waste Collection
562211	Hazardous Waste Treatment and Disposal
562920	Materials Recovery Facilities
922160	Fire Protection

(b) Information Requested

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;
- For any regulated substance that is used in processes resulting in their transformation or destruction at a facility that differs from the facility of production, but both facilities are owned by the producer, the name, quantity, and recipient facility of each regulated substance;
- 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;
- For any regulated substance that is used as a process agent at a facility that differs from the facility of production, but both facilities are owned by the producer, the name, quantity, and recipient facility of each regulated substance;
- 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;
- 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; and
- The conferral certificate number, generated by the Department of Defense, for any regulated substances produced using application-specific allowances for mission-critical military end uses.

Producer Annual Reporting Requirements:

- The quantity of each regulated substance 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, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review;
- 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;
- The certifications from application-specific allowance holders; and
- For holders of production for export allowances:
 - A copy of all certifications reported pursuant to paragraph (2)(i); and
 - Records demonstrating due diligence undertaken to verify and ensure that all regulated substances produced with production for export allowances and exported are being used in an application as listed in § 84.13(a).

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.

Holders of Production for Export Allowances Quarterly Reporting Requirements:

- The quantity of production for export allowances expended for each regulated substance;
- The quantity of each regulated substance produced for export;
- The quantity of each regulated substance produced using production for export allowances that was exported;
- The quantity of each regulated substance produced with production for export allowances held in inventory at the end of the quarter;
- Internal Transaction Numbers (ITNs) for all exports of regulated substances produced with production for export allowances; and
- The country or countries to which regulated substances produced using production for export allowances were exported.

Holders of Production for Export Allowances Annual Reporting Requirements:

- Signed certifications by a responsible corporate officer from all foreign customers and supply intermediaries attesting that any regulated substances produced using production for export allowances will only be used in an application as listed in § 84.13(a); and
- A description of how the use identified in the signed certifications provided pursuant to paragraph (i) aligns with the applications as listed in § 84.13(a).

Importer Reporting and Recordkeeping Requirements:

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 (HTS) 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 conferral certificate number, generated by the Department of Defense, for any regulated substances imported using application-specific allowances for mission-critical

military end uses;

- 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.

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, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review; and
- For any entity subject to an order issued by DOC and that is requesting allowances for 2022 or 2023, documentation of payment of the anti-dumping/countervailing duties (AD/CVD) for HFCs imported.

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 of Record, or Authorized Agent, Reporting Requirements provided no later than 10 days, for maritime shipments, or 5 days, for non-maritime shipments, before the date of importation, consistent with the definition at 19 CFR 101.1, via a CBP-authorized electronic data interchange system, such as the Automated Broker Interface:

- Cargo description;
- Net weight;
- Container number(s) associated with the shipment, as applicable;
- Gross 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;
- If importing regulated substances as a transshipment, a copy of the confirmation documenting the importer reported the transshipment consistent with § 84.31(c)(3)(i); and
- A certificate of analysis, if the certificate of analysis is not physically accompanying the shipment pursuant to § 84.5(b)(5)(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 of Record (IOR) Annual Report (provided by November 15 of the prior calendar year or within 15 calendar days of receiving a non-objection notice for conferral of application-specific allowances or for inter-company transfer of consumption allowances):

- Names of all subsidiaries;
- Entities commonly owned or majority owned by the same person or persons;
- Alternative names under which the entity does business;
- Importer of record numbers;
- The relationship between the allowance holder and each subsidiary and each entity commonly owned or majority owned by the same person or persons, including alternative names under which each listed entity does business; and
- The identity of owners and their respective percentage of ownership.

Transshipment Reporting Requirements (provided before each transshipment):

- Name, HTS code, and quantity of each regulated substance to be transshipped;
- 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 (consistent with the definition at 19 CFR 101.1); and
- Name of the vessel transporting the material.

Transshipment 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.

Purchasers of HFCs at a Government Auction Recordkeeping Requirements:

- Records of the auction purchase, including:
 - o The accepted bid;
 - o Confirmation of payment;
 - o Certification by the entity that they expended allowances;
 - o Container composition testing to verify the regulated substances contained within the cylinder; and
 - o All other final documentation of the auction purchase.

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.

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 HTS code for the regulated substances shipped;
- ITNs for all shipments, except shipments where an exemption from the requirements for the filing of Electronic Export Information (EEI) is provided in 15 CFR Part 30 Subpart D; 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.

Exporter Recordkeeping Requirements:

- Dated records of batch tests of regulated substances packaged for sale or distribution, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review.

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 gross quantity of each shipment and the unit of mass;
- The CAS Number of each regulated substances exported;
- For regulated substances that are in a mixture, either the American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE) refrigerant designation of the refrigerant or the percentage of the mixture containing each regulated substance;
- The source of the regulated substances and whether the date purchased was before or after January 1, 2022;
- 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 of the regulated substances to the purchaser;
- The HTS codes of the regulated substances exported;
- ITNs for all shipments; and
- All international export declaration documentation (i.e., electronic export information), which is electronically filed within the U.S. CBP Automated Export System.

Transshipment Reporting Requirements (provided after each transshipment):

- Name, HTS code, and quantity of each regulated substance that was transshipped;
- Name and address of the importer, the importer ID number, and the contact person's name, email address, and phone number;
- Date of departure from the United States; and
- Name of the vessel transporting the material.

Supplier Reporting Requirements:

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:

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.

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.

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

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.

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, by batch, of the analysis conducted to verify that reclaimed refrigerant meets the required specifications, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review; 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.

Filler and Packager Reporting Requirements:

Filler and Packager Recordkeeping Requirements:

- Dated records of batch tests of regulated substances packaged for sale or distribution, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review.

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;
- The quantity of the material (the combined mass of regulated substance and contaminants) by regulated substance sent to them for recycling; and
- Dated records of batch tests of regulated substances packaged for sale or distribution, including instrument calibration, sample testing data files, audit trail files, and results summaries of both sample test results and quality control test results that are in a form suitable and readily available for review.

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:²

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 with separate reporting on any inventory of stockpiled HFCs acquired pursuant to § 84.13(b)(1)(iv), including a copy of inventory records documenting that quantity if said quantity is greater than zero;
- The quantity of each regulated substance for application-specific use that was destroyed or recycled during the previous six months;
- 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; and
- The quantity (in kilograms) of each regulated substance that was sold, returned, or otherwise conveyed to another entity during the previous six months, excluding heels as defined in § 84.3, including a copy of records documenting that quantity.

Application-specific Allowance Holders Annual Reporting Requirements:

- If a company is requesting additional allowances due to the circumstances listed in § 84.13(b)(1), 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;
- If allowances are allocated for a unique circumstance under § 84.13(b)(1)(v), the quantity of each regulated substance purchased with the intent to build inventory during the prior

² The Department of Defense is also required to submit an annual report to EPA and maintain records on the use of mission-critical military end uses application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency.

six-month period, including a copy of records documenting that quantity;

- A description of plans to transition to regulated substances with a lower exchange value or alternatives to regulated substances; and
- An estimate of the total quantity of regulated substances an entity expects to purchase in the following calendar year based on their expected eligibility for allowances.

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;
- 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; and
- The conferral certificate number (for conferrals of mission-critical military end uses allowances only)

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.

Application-specific Allowance Holders Request for Set-aside Allowances:

- Supporting documentation that verifies a need to purchase regulated substances in the present calendar year beyond what is reflected by the rates of growth calculated in § 84.13(c)(1);
- The total quantities (in kg) of regulated substances held in inventory as of the date the application is submitted, including documentation to verify this quantity (this includes zero quantities), and an explanation of why that inventory, if available, will not be sufficient to

accommodate this increased demand.

Potential Application-specific Allowance Holder Reporting and Recordkeeping Requirements:

Requirements for a Petition Requesting Designation of an Application as Eligible for Application-specific Allowances:

- A description of the application, including an explanation of what the application is, what purpose or function it achieves, and what populations or commercial products benefit from the application;
- A list of regulated substance(s) and description of their use in the application and an explanation as to why regulated substances are required in the application;
- Evidence that no safe or technically achievable substitute is or is expected to be available, and that the petitioner has conducted research to evaluate substitutes for the regulated substance(s);
- Evidence that supply of the regulated substance(s) used in the application is insufficient to accommodate the application;
- A signed and notarized certification from a responsible corporate officer at the requesting entity that the application cannot use recovered and reprocessed regulated substance in conjunction with or in place of virgin regulated substance, either due to demonstrated lack of technical achievability or insufficient supply, and an explanation and evidence documenting why recovered and reprocessed regulated substance cannot be used for the application;
- Total quantity (in kilograms) of all regulated substances acquired by each entity submitting the petition for the application specified in the petition in each of the previous three years, including records documenting that quantity;
- The name of the entity or entities supplying regulated substances and contact information for those suppliers over the past three years;
- Total quantity (in kilograms) of each regulated substance held in inventory by each entity submitting the petition as of the date the petition is submitted;
- An estimate of the total quantity of regulated substances the petitioner expects to purchase in the first year it would be eligible for ASAs;
- Data on the proportion of the overall cost of the product or system that reflects the cost of regulated substances for each entity;
- Historic and projected sales for the product or system for each entity;
- Evidence of research into design changes to decrease the amount of regulated substance used in the product or system;
- An explanation regarding whether the use of the regulated substance(s) is necessary for the health, safety, or is critical for the functioning of society (encompassing cultural and intellectual aspects);
- An explanation regarding steps taken to minimize the use of the regulated substance and

any associated emission of the HFC(s); and

- Information on regulatory restrictions related to possible alternatives and substitutes.

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.

(c) Respondent Activities

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

Table I. 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
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
Submit quarterly production for export report	Quarterly
Submit annual production for export certification	Annual
Importers	
Submit quarterly report	Quarterly
Submit annual inventory report	Annual
Maintain records	N/A
Petition to import HFCs for transformation/destruction	As Needed

Activity	Reporting Frequency
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 report	Annual
Submit notification of transshipments	As Needed
Maintain records on HFCs purchased at government auction	N/A
Aggregators of Used Imports for Destruction	
Maintain records	N/A
Vessel Owners	
Maintain records	N/A
Exporters	
Submit quarterly report	Quarterly
Submit annual inventory report	Annual
Maintain records	N/A
Submit request for additional consumption allowances	As Needed
Submit notification of transshipments	As Needed
Suppliers	
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

Activity	Reporting Frequency
Maintain records	N/A
Provide transformation verification to third party	Annual
Process Agent Users	
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	Annual
Maintain records	N/A
Fillers and Packagers	
Maintain records	N/A
Fire Suppression Agent Recyclers	
Submit quarterly report	Quarterly
Submit annual inventory report	Annual
Maintain records	N/A
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 Holders^a	
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 mid-year request for additional consumption allowances in the event of a public health emergency (MDIs)	Annual
Potential Application-Specific Allowance Holders	
Submit new application petition	As Needed

Activity	Reporting Frequency
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 military end uses application-specific allowances; however, this ICR does not cover the burden for these activities because the Department of Defense is a Federal agency.

Except as otherwise noted below, reports and records associated with the reports listed above must be kept for five years, consistent with requirements for HFC regulated substances in accordance with the Allocation Framework Rule. The final rule that is modifying this ICR sets a three-year record retention record schedule for new provisions regarding petitioning EPA to approve additional applications eligible for application-specific allowances and allocating a small number of allowances to a U.S. producer solely to allow for the production and export of HFC-41 for use in the etching of semiconductor material or wafers and the cleaning of chemical vapor deposition chambers within the semiconductor manufacturing sector.

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.

(d) Collection Schedule

The following information is required on a specific collection schedule:

- Producers, importers, exporters, reclaimers, fire suppression agent recyclers, production for export allowance holders, and purchasers of HFCs at a government auction 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);
- Importers of record report to EPA annually (by November 15 of the prior calendar year or, in the case of entities receiving transferred or conferred allowances, within 15 calendar days of receiving a non-objection notice);
- 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);
- Application-specific allowance holders request set-aside allowances annually (by April 30 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);
- Third-party 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; transshipping 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 10 days, for maritime shipments, or 5 days, for non-maritime shipments, prior to the date of import; and
- Production for export allowance holders report certifications from all foreign customers and supply intermediaries annually (45 days after the end of the control period).

(e) Estimating Respondent Burden

EPA identified 63 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 under 40 CFR part 84 and the GHGRP (74 FR 56260; October 30, 2009) and ODS under 40 CFR part 82. This analysis assumes that all respondent burden hours are incurred by technical and clerical staff at companies that submit reports.

Detailed Respondent Burden Hours and Cost Tables below summarizes the number of burden hours incurred by each respondent for each information collection activity.

(f) Estimating Respondent Costs

To determine respondent costs, an average hourly wage rate of \$69.52 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”), September 2024. An average hourly wage rate of \$50.44 for clerical staff, the hourly wage rate for administrative services and facilities managers, was derived from the BLS Occupational Outlook Handbook, August 2024. A 110 percent increase was added to reflect the estimated additional costs for overhead and fringe, which increased the wage rates to \$145.99 and \$105.92 per hour for technical staff and clerical staff, respectively. Burden hours were multiplied by the labor rate to determine respondent costs.

Table II below summarizes annual labor costs for each respondent by information collection activity, and Table III summarizes total annual costs. 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 AIM Act and the ODS allowance system.

(g) Estimating the Respondent Universe and Total Burden and Costs

The respondent universe for this ICR is based on a review of HFC data collected to date on these activities as well as 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 342 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 Error: Reference source not found are not mutually exclusive, meaning a given respondent may be subject to more than one information collection activity.

Table III 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 Detailed Respondent Burden Hours and Cost Tables). 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 the future.

13. Respondent Capital and O&M Costs

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 \$6,453 per audit based on the assumption that each audit will take on average 80 hours to complete at a rate of \$80.66 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 II below summarizes costs for each respondent by information collection activity, and Table III summarizes total annual costs, including O&M costs.

(a) Detailed Respondent Burden Hours and Cost Tables

Table II. 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	\$14,599	\$0
	Submit quarterly report	4	6.0	0	24.0	\$3,504	\$0
	Submit annual inventory report (part of quarterly report)	1	20.0	0	20.0	\$2,920	\$0
	Maintain records	1	0.0	100	100.0	\$10,592	\$50
	Submit annual HFC-23 emissions report	1	12.0	0	12.0	\$1,752	\$50
	Submit HFC-23 proof of destruction	2	0.3	0	0.5	\$73	\$0
	Provide certification to third party (conferrer)	1	2.0	0	2.0	\$292	\$0
	Submit quarterly production for export report	4	3.0	0	12.0	\$1,752	\$0
	Submit annual production for export certification	1	2.0	0	2.0	\$292	\$0
HFC Importer	Submit quarterly report	4	6.0	0	24.0	\$3,504	\$0
	Submit annual inventory report	1	10.0	0	10.0	\$1,460	\$0
	Maintain records	1	0.0	100	100.0	\$10,592	\$50
	Petition to import HFCs for transformation/destruction	42	2.0	0	84.0	\$12,263	\$0

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
	Petition to import used HFCs for destruction	5	6.0	0	30.0	\$4,380	\$0
	Submit ACE report	100	0.3	0	25.0	\$3,650	\$0
	Submit proof of destruction of used imports	5	0.3	0	1.3	\$182	\$0
	Maintain records on used imports for destruction	1	0.0	20	20.0	\$2,118	\$50
	Provide certification to third party (conferrer)	1	2.0	0	2.0	\$292	\$0
	Submit Importer of Record annual report	1	2.0	0	2.0	\$292	\$0
	Submit notification of transshipments	4	1.0	0	4.0	\$584	\$0
	Maintain records on HFCs purchased at government auction	1	0.0	1	1.0	\$106	\$50
HFC Aggregator	Maintain records	1	0.0	20	20.0	\$2,118	\$50
Vessel Owner	Maintain records	1	0.0	20	20.0	\$2,118	\$50
HFC Exporter	Submit quarterly report	4	6.0	0	24.0	\$3,504	\$0
	Submit annual inventory report	1	10.0	0	10.0	\$1,460	\$0
	Maintain records	1	0.0	20	20.0	\$2,118	\$50
	Submit request for additional consumption allowances	16	6.0	0	96.0	\$14,015	\$0
	Submit notification of transshipments	4	1.0	0	4.0	\$584	\$0
HFC Suppliers	Submit conferral request	3	6.0	0	18.0	\$2,628	\$0

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
	Provide certification to third party (conferee)	3	2.0	0	6.0	\$876	\$0
	Provide certification to third party (conferrer)	4	2.0	0	8.0	\$1,168	\$0
	Maintain records	1	0.0	20	20.0	\$2,118	\$50
HFC Destroyer	Submit one-time report	1	100.0	0	100.0	\$14,599	\$0
	Submit annual second party report	1	4.0	0	4.0	\$584	\$0
	Maintain records	1	0.0	20	20.0	\$2,118	\$50
	Provide destruction verification to third party	1	2.0	0	2.0	\$292	\$0
	Provide proof of destruction to third party	1	2.0	0	2.0	\$292	\$0
HFC Transformer	Submit one-time report	1	100.0	0	100.0	\$14,599	\$0
	Submit annual second party report	1	4.0	0	4.0	\$584	\$0
	Maintain records	1	0.0	20	20.0	\$2,118	\$50
	Provide transformation verification to third party	1	2.0	0	2.0	\$292	\$0
HFC Process Agent Use	Submit one-time report	1	100.0	0	100.0	\$14,599	\$0
	Submit annual report	1	6.0	0	6.0	\$876	\$0
HFC Reclaimers	Submit one-time report	1	40.0	0	40.0	\$5,840	\$0
	Submit quarterly report	4	9.4	0	37.6	\$5,489	\$0
	Submit annual inventory report	1	10.0	0	10.0	\$1,460	\$0

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
	Maintain records	1	0.0	60	60.0	\$6,355	\$50
HFC Fillers and Packagers	Maintain records	1	0.0	20	20.0	\$2,118	\$50
HFC Fire Suppression Agent Recyclers	Submit quarterly report	4	9.4	0	37.6	\$5,489	\$0
	Submit annual inventory report	1	10.0	0	10.0	\$1,460	\$0
	Maintain records	1	0.0	40	40.0	\$4,237	\$50
HFC Transfers	Submit inter-company transfer request	3	6.0	0	18.0	\$2,628	\$0
	Submit request to transfer from a person in a foreign country	1	6.0	0	6.0	\$876	\$0
	Submit request to transfer to a person in a foreign country	1	6.0	0	6.0	\$876	\$0
	Submit request to sell/transfer HFCs produced/imported with application-specific allowances	1	6.0	0	6.0	\$876	\$0
Application-Specific Allowance Holders ^a	Submit biannual report	2	6.0	0	12.0	\$1,752	\$0
	Submit annual report (part of biannual report)	1	6.0	0	6.0	\$876	\$0
	Submit conferral request	2	6.0	0	12.0	\$1,752	\$0
	Provide certification to third party (conferee)	2	2.0	0	4.0000	\$584	\$0
	Maintain records	1	0.0	80	80.0	\$8,474	\$50
	Submit mid-year request for additional consumption allowances in the event of a public	1	6.0	0	6.0	\$876	\$0

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
	health emergency (MDIs)						
Potential Application-Specific Allowance Holders	Submit new application petition	0.2	90.0	0	18.0	\$2,628	\$0
Third Party Audits	Submit annual audit report	1	40.0	0	40.0	\$5,840	\$6,453

^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 III. Total 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	1	1	1	100	100	100	\$14,599	\$14,599	\$14,599
	Submit quarterly report	10	10	10	240	240	240	\$35,038	\$35,038	\$35,038
	Submit annual inventory report (part of quarterly report)	10	10	10	200	200	200	\$29,198	\$29,198	\$29,198
	Maintain records	10	10	10	1,000	1,000	1,000	\$106,420	\$106,420	\$106,420
	Submit annual HFC-23 emissions report	4	4	4	48	48	48	\$7,208	\$7,208	\$7,208
	Submit HFC-23 proof of destruction	4	4	4	2	2	2	\$292	\$292	\$292
	Provide certification to third party (conferrer)	1	1	1	2	2	2	\$292	\$292	\$292
	Submit quarterly production for export report	1	1	1	12	12	12	\$1,752	\$1,752	\$1,752
	Submit annual production for export certification	1	1	1	2	2	2	\$292	\$292	\$292
HFC Importer	Submit quarterly report	75	75	75	1,800	1,800	1,800	\$262,782	\$262,782	\$262,782
	Submit annual inventory report	75	75	75	750	750	750	\$109,493	\$109,493	\$109,493
	Maintain records	75	75	75	7,500	7,500	7,500	\$798,150	\$798,150	\$798,150
	Petition to import HFCs for transformation/destruction	2	2	2	168	168	168	\$24,526	\$24,526	\$24,526
	Petition to import used HFCs for destruction	2	2	2	60	60	60	\$8,759	\$8,759	\$8,759
	Submit ACE report	75	75	75	1,875	1,875	1,875	\$273,731	\$273,731	\$273,731
	Submit proof of destruction of used	2	2	2	3	3	3	\$365	\$365	\$365

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
	imports									
	Maintain records on used imports for destruction	2	2	2	40	40	40	\$4,337	\$4,337	\$4,337
	Provide certification to third party (conferrer)	2	2	2	4	4	4	\$584	\$584	\$584
	Submit Importer of Record annual report	75	75	75	150	150	150	\$21,899	\$21,899	\$21,899
	Submit notification of transshipments	1	1	1	4	4	4	\$584	\$584	\$584
	Maintain records on HFCs purchased at government auction	10	10	10	10	10	10	\$1,559	\$1,559	\$1,559
HFC Aggregator	Maintain records	5	5	5	100	100	100	\$10,842	\$10,842	\$10,842
Vessel Owner	Maintain records	100	100	100	2,000	2,000	2,000	\$216,840	\$216,840	\$216,840
HFC Exporter	Submit quarterly report	26	26	26	624	624	624	\$91,098	\$91,098	\$91,098
	Submit annual inventory report	26	26	26	260	260	260	\$37,957	\$37,957	\$37,957
	Maintain records	4	4	4	80	80	80	\$8,674	\$8,674	\$8,674
	Submit request for additional consumption allowances	16	16	16	1,536	1,536	1,536	\$224,241	\$224,241	\$224,241
	Submit notification of transshipments	1	1	1	4	4	4	\$584	\$584	\$584
HFC Suppliers	Submit conferral request	3	3	3	54	54	54	\$7,883	\$7,883	\$7,883
	Provide certification to third party (conferee)	3	3	3	18	18	18	\$2,628	\$2,628	\$2,628
	Provide certification to third party (conferrer)	3	3	3	24	24	24	\$3,504	\$3,504	\$3,504
	Maintain records	3	3	3	60	60	60	\$6,505	\$6,505	\$6,505

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 Destroyer	Submit one-time report	1	1	1	100	100	100	\$14,599	\$14,599	\$14,599
	Submit annual second party report	10	10	10	40	40	40	\$5,840	\$5,840	\$5,840
	Maintain records	10	10	10	200	200	200	\$21,684	\$21,684	\$21,684
	Provide destruction verification to third party	10	10	10	20	20	20	\$2,920	\$2,920	\$2,920
	Provide proof of destruction to third party	10	10	10	20	20	20	\$2,920	\$2,920	\$2,920
HFC Transformer	Submit one-time report	1	1	1	100	100	100	\$14,599	\$14,599	\$14,599
	Submit annual second party report	3	3	3	12	12	12	\$1,752	\$1,752	\$1,752
	Maintain records	3	3	3	60	60	60	\$6,505	\$6,505	\$6,505
	Provide transformation verification to third party	3	3	3	6	6	6	\$876	\$876	\$876
HFC Process Agent Use	Submit one-time report	1	1	1	100	100	100	\$14,599	\$14,599	\$14,599
	Submit annual report	4	4	4	24	24	24	\$3,504	\$3,504	\$3,504
HFC Reclaimers	Submit one-time report	0	0	0	0	0	0	\$0	\$0	\$0
	Submit quarterly report	31	31	31	1,166	1,166	1,166	\$170,166	\$170,166	\$170,166
	Submit annual inventory report	31	31	31	310	310	310	\$45,257	\$45,257	\$45,257
	Maintain records	31	31	31	1,860	1,860	1,860	\$198,561	\$198,561	\$198,561
HFC Fillers and Packagers	Maintain records	50	50	50	1,000	1,000	1,000	\$108,420	\$108,420	\$108,420
HFC Fire Suppression Agent Recyclers	Submit quarterly report	4	4	4	150	150	150	\$21,957	\$21,957	\$21,957
	Submit annual inventory report	4	4	4	40	40	40	\$5,840	\$5,840	\$5,840
	Maintain records	4	4	4	160	160	160	\$17,147	\$17,147	\$17,147

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 Transfers	Submit inter-company transfer request	11	11	11	198	198	198	\$28,906	\$28,906	\$28,906
	Submit request to transfer from a person in a foreign country	1	1	1	6	6	6	\$876	\$876	\$876
	Submit request to transfer to a person in a foreign country	1	1	1	6	6	6	\$876	\$876	\$876
	Submit request to sell/convey HFCs produced/imported with application-specific allowances	5	5	5	30	30	30	\$4,380	\$4,380	\$4,380
Application-Specific Allowance Holders ^a	Submit biannual report	46	46	46	552	552	552	\$80,586	\$80,586	\$80,586
	Submit annual report (part of biannual report)	54	54	54	324	324	324	\$47,301	\$47,301	\$47,301
	Submit conferral request	46	46	46	552	552	552	\$80,586	\$80,586	\$80,586
	Provide certification to third party (conferee)	46	46	46	184	184	184	\$26,862	\$26,862	\$26,862
	Maintain records	46	46	46	3,680	3,680	3,680	\$392,086	\$392,086	\$392,086
	Submit mid-year request for additional consumption allowances in the event of a public health emergency (MDIs)	8	8	8	48	48	48	\$7,008	\$7,008	\$7,008
Potential Application-Specific Allowance Holders	Submit new application petition	5	5	5	90	90	90	\$13,139	\$13,139	\$13,139
Third Party Audits	Submit annual audit report	162	162	162	6,480	6,480	6,480	\$1,991,369	\$1,991,369	\$1,991,369

^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.

(b) Bottom Line Respondent Burden Hours and Cost Tables

As shown in Table IV, EPA estimates the total annual hour and cost burden to all respondents to average 36,248 hours and \$5,643,734.

Table IV. Respondent Burden Summary Table

Year	Total Responses	Total Hours	Total Labor Costs	Total O&M Costs	Total Costs
Year 1	9,661	36,248	\$4,580,530	\$1,063,204	\$5,643,734
Year 2	9,661	36,248	\$4,580,530	\$1,063,204	\$5,643,734
Year 3	9,661	36,248	\$4,580,530	\$1,063,204	\$5,643,734
Annual Average	9,661	36,248	\$4,580,530	\$1,063,204	\$5,643,734

14. Agency Costs

EPA identified 13 activities incurred by the federal government associated with this data collection request. Burden associated with each activity is based on EPA's 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.

Costs are subdivided into Agency and contractor costs. The average hourly rates for EPA technical and managerial staff of \$57.78 and \$80.31, respectively, are derived from the 2025 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 \$92.45 for technical staff and \$128.50 for managerial staff. The cost of contractor time is valued at \$137.13 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 Senior Technical Analyst III and Consultant I approved under EPA Contract #68HERH19D0029.

Detailed Agency Burden Hours and Cost Tables summarizes total agency burden and costs by activity.

(a) Detailed Agency Burden Hours and Cost Tables

Table V. Agency Burden and Cost Table

Activity	Managerial Hours per Activity	Technical Hours per Activity	Clerical Hours per Activity	Contract or Hours per Activity	Number of Activities			Total Hours			Total Cost		
					Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3
Notify Submitters of Baseline Allowances	0.1	1.0	0.0	1.0	85	85	85	179	179	179	\$20,607	\$20,607	\$20,607
Review Data for Completeness and Compliance	0.0	0.3	0.0	0.5	1,161	1,161	1,161	964	964	964	\$115,024	\$115,024	\$115,024
Process Transfer Reports	0.1	0.5	0.0	0.5	40	40	40	44	44	44	\$5,106	\$5,106	\$5,106
Review Petitions to Import HFCs	0.1	1.0	0.0	0.5	94	94	94	150	150	150	\$16,343	\$16,343	\$16,343
Review Importer of Record Reports	0.1	1.0	0.0	0.0	75	75	75	83	83	83	\$7,898	\$7,898	\$7,898
Review Third-Party Audits	0.1	2.0	0.0	4.0	162	162	162	988	988	988	\$120,896	\$120,896	\$120,896
Provide Reporting Guidance	0.0	2.0	0.0	2.0	40	40	40	160	160	160	\$18,366	\$18,366	\$18,366
Conduct Stakeholder Outreach Efforts	4.0	60.0	0.0	120.0	1	1	1	184	184	184	\$22,517	\$22,517	\$22,517
Maintain the Data Tracking System	40.0	750.0	0.0	1,800.0	1	1	1	2,590	2,590	2,590	\$321,312	\$321,312	\$321,312
Review Import Data Submitted in ACE	0.0	0.3	0.0	0.1	84	84	84	30	30	30	\$3,201	\$3,201	\$3,201
Conduct Compliance Monitoring Activities	120.0	2,500.0	0.0	750.0	2	2	2	6,740	6,740	6,740	\$698,785	\$698,785	\$698,785

Ensure Non-Exceedance of AIM Act Limits	20.0	80.0	0.0	80.0	1	1	1	180	180	180	\$20,936	\$20,936	\$20,936
Review Application-specific Allowance Petitions	200.0	500.0	0	1000.00	0.2	0.2	0.2	340	340	340	\$41,811	\$41,811	\$41,811

(b) Bottom Line Agency Burden Hours and Cost Tables

As shown in Table VI, EPA estimates the total annual hour and cost burden to the Agency to average 12,631 hours and \$1,412,801.

Table VI. Agency Burden Summary Table

Year	Total Hours	Total Costs
Year 1	12,631	\$1,412,801
Year 2	12,631	\$1,412,801
Year 3	12,631	\$1,412,801
Annual Average	12,631	\$1,412,801

15. Change in Burden

This ICR makes several changes relative to the ICR approved after the finalization of the 2024 HFC Allocation Rule in 2023. The updates described herein are consistent with changes in recordkeeping and reporting burden finalized in the 2025 Application-specific Allowances Rule.

Starting with the calendar year 2026 HFC allocation, the defense sprays application is no longer eligible for ASAs, and therefore EPA assumed for analytical purposes that all six entities that have received ASAs for defense sprays will avoid recordkeeping and reporting costs associated with being an ASA holder (e.g., biannual report submissions, arranging for a third-party audit).

EPA is also increasing the number of expected reporters, given the recent increase in semiconductor manufacturers requesting allowances. As a result, EPA is assuming the total number of entities requesting ASAs will be 54 entities.

The incremental costs due to reporting and recordkeeping changes in the 2025 Application-specific Allowances Rule are approximately \$23,750 annually relative to the previous estimates from the 2024 HFC Allocation Rule. All of these incremental costs are attributable to voluntary recordkeeping and reporting activities, including:

- Petitioning EPA to designate an application as eligible for application-specific allowances;
- An ASA holder in the MDI application requesting set-aside allowances for a unique circumstance;
- Purchasing HFCs at a government auction; and
- A U.S. producer producing and exporting HFC-41 for use in the etching of semiconductor material or wafers and the cleaning of chemical vapor deposition chambers within the semiconductor manufacturing sector.

In addition, EPA has updated its assumptions for calculating respondent and Agency burden in this ICR. Specifically, the labor rates used to calculate respondent burden were updated to reflect more recent data published by the Bureau of Labor Statistics, and the hourly basic rates used to calculate Agency burden were updated to reflect the Office of Personnel Management's 2025 annual base pay table.

16. Publication of Data

EPA intends to publish data consistent with confidentiality determinations made in the Allocation Framework Rule and the 2025 Application-specific Allowances Rule. For example, EPA intends to publish allowance balances for each allowance recipient, as calculated using the information collected throughout the year; reported facility-level chemical-specific production data; data on individual import and export shipments; facility-level chemical-specific destruction data; allowance transfer data; and other information.

17. Display of OMB Control Number and Expiration Date on Instruments

Approval to Omit OMB Expiration Date

Omission of the expiration date is not requested.

18. Certification Statement

Exceptions to Certification for Paperwork Reduction Act Submissions

There are no exceptions for the Paperwork Reduction Act submissions.