HAZARDOUS WASTE ANNUAL REPORT and ASSESSMENT RETURN

For Report Year 2009

Reports and Assessments must be received and date stamped by the Hazardous Waste Branch by March 1, 2010.

Reports received after March 1st pay late fees.

NO STAPLES PLEASE

Mail the original signed reports to:

Kentucky Division of Waste Management
Hazardous Waste Branch
200 Fair Oaks Lane
Frankfort KY 40601

Contact Annual Report Coordinators Carla Cornett ((502) 564-6716 x 4704), Edith Greer ((502) 564-6716 x 4705), or Maria Wood ((502) 564-6716 x 4703), for more information

email: carla.cornett@ky.gov, edith.greer@ky.gov, or maria.wood@ky.gov

IMPORTANT CHANGES INSIDE COVER

Visit our website at http://www.waste.ky.gov

EXPLANATION OF DUE DATE BY STATUTE

Per Kentucky Revised Statute 224.46-580, the Hazardous Waste Assessment Return shall be reported and paid to the Environmental and Public Protection Cabinet for the generation of hazardous waste on an annual basis on January 1 of each year. The Hazardous Waste Branch grants a "grace period" to receive the Assessment Returns and date stamp them at the Branch by March 1st. This does not mean that the postmark is March 1; it means the Return shall already be received and date stamped at the Branch by March 1st. **A 15% penalty and up to 61 days of interest will apply to Assessments received at the Branch on March 2nd** (This includes the period from January 1st until March 2nd. See page 24 for calculation instructions).

Division of Waste Management, Hazardous Waste Branch initiated the TEMPO data tracking system February 2004. When documents are received at the Branch, they are scanned into TEMPO on the receipt date. Any Hazardous Waste Assessment Return scanned into TEMPO after March 1st has **penalties** and **interest** late fees automatically computed by TEMPO. *Please mail early enough to avoid weekends or check processing delays that may result in late fees.*

Mail the original report and assessment return with original signatures in blue ink. No extra copies need to be sent. However, keep a copy for your files for three (3) years.

NO STAPLES, PLEASE. These reports are scanned into the TEMPO database immediately after being date stamped.

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There are forms for two reports in this booklet. They are the

HAZARDOUS WASTE ANNUAL REPORT
and the
HAZARDOUS WASTE ASSESSMENT RETURN

The completed forms with original signatures must be date stamped by
March 1, 2010
at
Kentucky Division of Waste Management
Hazardous Waste Branch
200 Fair Oaks Lane
Frankfort KY 40601

A copy of the Annual Report must also be sent to the county judge/executive or CEO of an urban county government within the county of the generator and to the receiving county per KAR 32:040 section 2(3). Address listings are in Appendix 6.

GENERAL INSTRUCTIONS FOR BOTH REPORTS

Where can I get help?
Write to the above address, or call (502) 564-6716 and ask for your Hazardous Waste Registration/Annual Report Coordinator (Carla Cornett, Edith Greer, or Maria Wood). Or e-mail: Carla.Cornett@ky.gov, Edith.Greer@ky.gov, or Maria.Wood@ky.gov.

(Include **Annual Report/Assessment Return** in the subject line of your e-mail as those messages without proper identification will be deleted to reduce the risk of catching a computer virus from an unknown source.)

Who must file these reports? 401 KAR 32:040, Section 2 / KRS 224.46-580

- Any site registered as either a Large or a Small Quantity Generator for *any* part of the year 2009 (including One-Time-Only Generators); and/or
- Any site that treated, stored, or disposed of hazardous wastes on site during 2009.

Can I get an extension to the March 1 filing deadline?
Yes, up to an additional thirty days **for the report only**. Submit a written request before the March 1st deadline identifying the site name, the EPA ID number, and the Agency Interest Number (AI Number). **NOTE: Late fees will still apply to the Assessment Return.** See instructions on page 24 (line 8 and line 9) for guidance in calculating late fees.

What additional paperwork do I need to complete the reports?

- Certificate of Registration for Hazardous Waste Management Activity
- Annual Report and Assessment Return from Last Year
- Manifest Records
- Laboratory Analysis Reports of Waste
- Operating Log Identifying Waste Generated/Accumulated During the Year
- Copies of Permits for Hazardous Waste Management

How do I file a claim for confidentiality?
Follow procedures outlined in 400 KAR 1:060.

INSTRUCTIONS FOR THE ANNUAL REPORT

Which forms must I submit?

Form 1 Any site required to file an Annual Report must submit this form, even if zero pounds of hazardous waste were generated in 2009.

Form 2 *Each* hazardous waste stream generated, managed, and/or shipped off site in 2009 must be represented on a Form 2. If waste is shipped off site, a Form 4 must also be filed. A Form 2 is not necessary for a hazardous waste stream registered to your site but not generated and/or shipped in 2009.

Do not combine liquid and solid waste streams on the same Form 2. Use a separate Form 2 for each liquid waste stream and each solid waste stream.

Form 3 Any site receiving hazardous waste from off site and managing it on site must complete Form 3. A Form 5 must also be filed.

Form 4 Any site that shipped hazardous waste off site during 2009 must complete a Form 4.

Form 5 Any site that received hazardous waste from off site in 2009 must complete a Form 5.

IMPORTANT: All pages in the Annual Report must be sequentially numbered, from the first page on Form 1 to the last page submitted (i.e. Page 1 of 10, 2 of 10, 3 of 10, etc.)

A copy of the Annual Report must be sent to the county judge/executive of the county, or chief executive officer of an urban county government, within the county that the waste was generated in, and also to the county judge/executive of the county or chief executive officer of an urban county government within the county where the waste was shipped to per KAR 32:040 Section 2(3). Address listings are in the Appendix.

Electronic Filing is available!!!

Electronic filing is available at no cost; however, it is limited to large quantity generators, treatment facilities, storage facilities, and disposal facilities only. To download the EasiTrak Annual Report, go to www.arminc.net. Be sure to select the Kentucky version.

A printed, paper copy of the Annual Report must be mailed to the Division of Waste Management in addition to electronic filing of the report. Mail to the address on page 1 and remember to include an original signature on Form 1. The Assessment Return is not on EasiTrak. See page 26 of this Booklet.

For answers about electronic filing, call Amy Earlywine at (502) 564-6716 or e-mail: amy.earlywine@ky.gov.

FORM 1 – Identification and Certification

1. Reason for Submittal

The box is already checked for you, "As a component of the Hazardous Waste Annual Report". This is a requirement for any facility that is or was a Small Quantity Generator, Large Quantity Generator or Treatment Storage and Disposal facility during any part of the report year.

2. Site Identification Numbers

- EPA ID NUMBER - Enter the EPA ID Number provided on the Certificate of Notification of Hazardous Waste Activity. Put this number on all pages of the Annual Report and Assessment Return.
- AGENCY INTEREST NUMBER - Write or type your company's Department for Environmental Protection Agency Interest number (AI#) on the blank line provided. This may be found on the Certificate of Registration.

3 & 4. Site Name and Site Location Information

Enter the name exactly as it appears on the Certificate of Notification of Hazardous Waste Activity. Provide the actual location of your company where waste is generated. Do not use a post office box or route.

5. Land Type

Select the best description of the site land type. Select only one type.

6. North American Industry Classification System Code (NAICS)

The NAICS (North American Industry Classification System) is an industry classification code which has replaced the SIC Code. You can find the NAICS code for your company from this web site: http://www.naics.com/search. Find your NAICS code by typing in a key word or phrase in the search box that describes what your company does.

7. Site Contact and Mailing Address

- CONTACT PERSON – Provide the name of the person who may be contacted if there are questions about the information on this form.

- PHONE & E-MAIL – Provide the phone number, phone extension, and e-mail address of the contact person who is listed above.
- MAILING ADDRESS – Provide the official mailing address for your facility. This may be the same as the location address or a post office box number. It may also be a corporate/home office located in another city or state. However, this address should be that of the contact person.

  NOTE: All Annual Report correspondence will be mailed to the mailing address and to the attention of the contact person provided on this form.

8. Site Operator Information

An Operator is the person responsible for the overall operation of the Site. This is the legal entity which controls the site operation rather than the plant or site manager. This is usually a company or business name, not an individual.

Enter the date (mm/dd/yy) on which the above entity became the operator of your site.

9. Legal Owner Information

- LEGAL OWNER NAME – Provide the name of the legal owner(s) of the entity doing business at this location.
- DATE BECAME OWNER – Provide the date on which the above entity became the owner.
- OWNER TYPE – Place an "X" in the box that best describes the owner type of your site. Select only one type.
- PHONE – Provide the phone number and, if applicable, the phone extension of the generator's legal owner.
- ADDRESS – Provide a complete mailing address where the generator's legal owner can be reached.

10. Legal Landowner of the Real Property

- LEGAL LANDOWNER NAME – Provide the name of the legal landowner(s) of the property.
- DATE BECAME OWNER – Provide the date on which the above entity became the property owner.
- OWNER TYPE – Place an "X" in the box that best describes the landowner type of your site. Select only one type.
- PHONE – Provide the phone number and, if applicable, the phone extension of the generator's landowner.
  ADDRESS – Provide a complete mailing address where the generator's landowner can be reached.

11. Type of Regulated Waste Activity

Check the box that indicates your site's registered generator status as of December 31, 2009.

- If your site was registered as either a Large or Small Quantity Generator at some time during the 2009 calendar year, but changed status to a Conditionally Exempt Small Quantity Generator by December 31, 2009, the Annual Report and Assessment Return must be submitted.
- For sites that generated and/or shipped zero pounds of hazardous waste during the year, provide an explanation under section 13 comments. If more room is needed, attach an additional page with comments.

NOTE: The Annual Report and Assessment Return must be submitted even if zero pounds were generated during the time the facility was a Large or Small Quantity Generator.

A. HAZARDOUS WASTE ACTIVITIES

1. GENERATOR OF HAZARDOUS WASTE
   - ONE-TIME GENERATOR – Place an "X" in the "No" box if you generate hazardous waste on a continual basis. Place an "X" in the "Yes" box if your company will not generate hazardous waste in future years at this site (i.e., underground storage tank removal).
     NOTE: One-Time-Only Generators are not required to renew the EPA ID number. The EPA ID number will be automatically deactivated one year after the effective date.
   - GENERATOR STATUS – Place an "X" in only one of the following boxes to indicate the maximum quantity of hazardous waste your company will generate in any single calendar month.
2. FUEL BURNER OF HAZARDOUS WASTE FOR ENERGY RECOVERY – Place an "X" in this box if your company burns fuel for energy recovery. Also, place an "X" in the box or boxes below if your company uses an industrial boiler or an industrial furnace to burn hazardous waste for energy recovery.
3. UNITED STATES IMPORTER OF HAZARDOUS WASTE – Place an "X" in this box if your company imports hazardous waste from a foreign country into the United States.
4. MIXED WASTE GENERATOR – Place an "X" in this box if your company generates mixed waste (waste that is both hazardous and radioactive). RCRA defines "mixed waste" as waste that contains both hazardous waste and source, special nuclear, or by-product material subject to the Atomic Energy Act.
5. TRANSPORTER OF HAZARDOUS WASTE – Place an "X" in this box if your company transports hazardous waste. Do not mark if another company transports your waste. If you transport hazardous waste, place an "X" in all boxes that describe the mode of transport employed.

6. TREATMENT/STORAGE/DISPOSAL FACILITY – Place an "X" in this box only if you operate or are applying for a permit to operate an on site hazardous waste facility under a Part B permit or interim status.
7. RECYCLER OF HAZARDOUS WASTE – Refer to 401 KAR 36 and 401 KAR 31:010, Section 6, and place an "X" in all categories that apply.
   - Lead-Acid Battery Recycler: Place an "X" in this box if you reclaim spent lead-acid batteries on your property. This category does not apply to companies that accumulate batteries for off site shipment to a battery recycler.
   - Precious Metals Recycler: Place an "X" in this box if you generate, transport or store recyclable materials for precious metal recovery (i.e., silver recovery from photographic solutions). Note that the original amount of waste generated (i.e., silver fixer fluid) must be reported in the Description of Hazardous Wastes. If the on site treatment unit meets the definition of a wastewater treatment unit, registration as a recycler on this form is NOT required. Wastewater treatment units are allowed to handle hazardous waste fixer under a permit-by-rule (401 KAR 38:060, Section 1(5)) if the discharge is regulated by the KPDES program.
   - Other Recycler: Place an "X" in this box if your on site recycling method has NOT been identified in any other area of this form. Briefly describe the hazardous waste recycling operation (i.e., on site solvent distillation).
8. EXEMPT BOILER AND/OR INDUSTRIAL FURNACE – Place an "X" in this box if one or both of the following apply to your company:
   - Place an "X" in box (a) to indicate that your company qualifies for the Small Quantity On site Burner Exemption, if you burn small quantities of hazardous waste in an on site boiler or industrial furnace in accordance with the conditions in 401 KAR 36:020, Section 9
   - Place an "X" in box (b) to indicate that your company qualifies for the Smelting, Melting, and Refining Furnace Exemption if you process hazardous wastes in a smelting, melting, or refining furnace solely for metals recovery, or to recover economically significant amounts of precious metals, or if you process hazardous wastes in a lead recovery furnace to recover lead, as described in 401 KAR 36:020, Section 1.
9. UNDERGROUND INJECTION WELL – Refer to 401 KAR 35:270. Place an "X" in this box if you operate an on site hazardous waste injection well.

B. UNIVERSAL WASTE ACTIVITIES – Refer to 401 KAR 43

1. LARGE QUANTITY UNIVERSAL WASTE HANDLER – Place an "X" in this box if you are a universal waste handler who accumulates 5,000 kilograms (11,000 pounds) of universal waste at any time. You must identify all applicable categories of universal waste being handled.
   - Place an "X" in all boxes that apply to indicate that your company generates and/or accumulates batteries, unused pesticides, thermostats, and/or spent lamps (including fluorescent lamps).

2. DESTINATION FACILITY FOR UNIVERSAL WASTE – Place an "X" in this box if your company treats, disposes of, or recycles universal waste on site. A hazardous waste permit is required if you treat or dispose of universal wastes; a permit may be required if your company recycles universal wastes.

C. USED OIL ACTIVITIES – Refer to 401 KAR 44. Place an "X" in all boxes that apply.

1. USED OIL TRANSPORTER – Place an "X" in this box and place an "X" in box (a) and/or box (b) if you transport used oil, collect used oil from more than one generator and transport the collected oil, or if you own or operate a used oil transfer facility.
2. USED OIL PROCESSOR AND/OR RE-REFINER – Place an "X" in this box and place an "X" in box (a) and/or box (b) if you process used oil.
3. OFF-SPECIFICATION USED OIL BURNER – Place an "X" in this box and place an "X" in box (a) and/or box (b) and/or box (c) if you burn used oil.
4. USED OIL FUEL MARKETER – Place an "X" in this box and place an "X" in box (a) and/or box (b) if you direct shipments of off-specification used oil from your facility to a used oil burner or are the first person to claim that used oil to be burned for energy recovery meets the used oil specifications in 401 KAR 44:010, Section 2.

12. Description of Hazardous Wastes

A. Waste Codes for Federally Regulated Hazardous Wastes. All wastes except those listed as N001, N002, and N003, are Federally Regulated Wastes. Your complete list of Federally Regulated Hazardous Wastes can be found on your current Certificate of Registration of Hazardous Waste Activity. You may also use just the waste codes listed on the Form 2s submitted in your Annual Report for the report year.

B. Waste Codes for State-Regulated Hazardous Wastes. (These numbers are N001, N002, and N003. They pertain to nerve and blister agents as required by KRS 224.50-130). Leave this area blank or put "N/A" if you do not have these wastes.

13. Comments

Source Codes, Form Codes, and Management Method Codes that ask you to "specify" the code, use this space to clarify your choices. If you wish to clarify anything, at any time, while completing the Annual Report, do so in the Comments section. Reference the Item Number you are clarifying and provide additional clarification here.

If you reported zero generation of waste for the reporting year, please provide an explanation in this section.

14. Certification Statement

This line must contain an **original signature in blue ink**. More forms are deficient in this area than in any other. You keep the Xerox copy. Send the Original to the Branch. See 401 KAR 38:070, Section 7 for an explanation of legal requirements for authorized signatures. In short, the signature of a president, secretary, treasurer, or vice president of the corporation in charge of a principal business function, or any other person who performs similar policy or decision making functions for the corporation may sign. A duly authorized person, designated in writing may sign.

FORM 2 – Waste Generation and Management

If waste is shipped off site, Form 4 must also be filed.

Submit a Form 2 for **each** hazardous waste stream that was:

- Generated on site and subsequently managed on site or shipped off site in 2009; or
- Generated on site in 2009 but neither managed on site nor shipped off site until after 2009; or
- Generated on site prior to 2009 but either managed on site or shipped off site in 2009; or
- Imported from a foreign country and managed on site or shipped off site in 2009.

Do not combine liquid and solid waste streams on the same Form 2. Use a separate Form 2 for each liquid waste stream and each solid waste stream. If the waste stream is both a solid and a liquid, use a separate Form 2 for the liquid component and a separate Form 2 for the solid component.

Duplicate the Form 2 as needed and complete a Form 2 for each separate hazardous waste stream. A Form 2 is not necessary when a waste stream registered to your site was not generated and/or shipped in the report year.

Waste Description
Please indicate whether waste is liquid or solid by placing an appropriate checkmark in the ____ Liquid or ____ Solid lines.

Line (1): Provide a concise description of the waste including the source and generic chemical name or primary hazardous constituents. Example: "Ignitable spent solvent from degreasing operation in tool production; mixture of mineral spirits and kerosene."

Line (2): Enter the exact waste description as it appears **on the manifest**.

For Lab packs – Use one Form 2 to identify each lab pack waste stream that contains the same waste codes and waste description. If waste codes or waste description vary, a separate Form 2 should be provided.

EPA Hazardous Waste Code(s)
Enter the four-character EPA hazardous waste code(s) that applies to the waste described above. These codes can be found in 401 KAR 31:030 and 31:040 and on your Certificate of Registration and manifest copies. If the waste stream was a lab pack, enter LABP along with a list of all EPA waste codes contained in the lab pack. If more room is needed, attach an additional page with comments.

State Hazardous Waste Code
Enter the four-character State hazardous waste code(s). In Kentucky, this is limited to nerve and blister agents only. These codes can be found in 401 KAR 31:040 Section 5. If the waste identified on this Form 2 is not a nerve or blister agent, leave this box blank.

Source Code
See Source Codes listed in Appendix A-1. Enter only one code. Important: For the Source Code "**G25** – Hazardous Waste Management," *a Management Method code must also be provided.* The Management Method Codes can be found in Appendix A-5. Use "Comments section" on Form 1 if clarification is needed.

Form Code
See Form Codes listed in Appendix A-2 and A-3. Enter only one code.

Quantity Generated in Report Year
Enter the total quantity of this hazardous waste stream generated in 2009. Report in pounds. If your on site records do not identify the weight of the waste, you may use the Conversion Chart listed in Appendix A-4 or apply your knowledge of the weight of the waste to convert it to pounds.

Enter the value used to convert this waste to pounds
If you used a conversion factor to obtain the weight of your waste, identify the value used to convert the waste amount into pounds here.

On Site Management
Was any of this waste managed on site by treatment, recycling, disposal, or by discharge to a sewer or publicly owned treatment works (POTW)?
If the answer to this question is Yes, complete the rest of this section.

On site Process System 1 and On Site Process System 2
Two blocks are provided to identify two separate on site waste management systems for the waste described on this Form 2.

On Site Management Method Code
See Management Method Codes listed in Appendix A-5.

Quantity Treated, Recycled, Disposed
Enter the quantity of the hazardous waste stream that was treated, recycled, or disposed of on site using the listed Management Method Code. Report in pounds.

> Example: A firm generated 100 tons of F002 solvent waste in 2009. Eighty (80) tons were recycled for reuse in a batch distillation processing system, generating 5 tons of still bottoms. The remaining 20 tons were burned in an industrial burner.
>
> For On Site Process System 1, Management Method Code H020 for distillation would be entered with a quantity of 160,000 pounds (80 tons x 2000 pounds).
>
> For On Site Process System 2, Management Method code H050 for energy recovery of liquids would be entered with a quantity of 40,000 pounds (20 tons x 2000 pounds).

Waste Shipped Off Site
If Yes, complete this form and submit a Form 4. Include hazardous waste that was received from off site and shipped off site, whether or not it was treated prior to shipment.

Space is provided to report shipments of the waste to two different off site facilities. If more space is needed, copy this form and complete only the Waste Shipped Off Site section. Number the page sequentially and identify it as a continuation of the Form 2.

Name of Receiving Facility/EPA Number of Receiving Facility
The name and EPA ID number of the receiving facility and the quantity of waste shipped off site to the receiving facility should correspond with information reported on Form 4.

Off Site Management Method Code
See Management Method Codes listed in Appendix A-5. Obtain this information from the receiving facility and/or from the manifest.

FORM 3 – Waste Received From Off Site

If you submit a Form 3, a corresponding Form 5 must also be filed.

You may report waste received from three different generators on each Form 3. A separate Waste Section must be filled out for each hazardous waste received from each off site generator. Identical hazardous waste from the same off site generator may be combined as long as the EPA Hazardous Waste Codes are the same, a single Form Code describes the composition, **and** all of the waste is managed in a single process system (i.e., same Management Method Code).

If your site received more than three hazardous wastes from off site generators during the report year, make additional copies of this form.

Waste Description

Please indicate whether waste is liquid or solid by placing an appropriate checkmark in the ____ Liquid or ____ Solid lines.

On line (1), provide a concise description of the waste including the source and generic chemical name or primary hazardous constituents. Example: "Ignitable spent solvent from degreasing operation in tool production; mixture of mineral spirits and kerosene."

On line (2), enter the exact waste description as it appears **on the manifest**.

For Lab packs – Use one Form 3 to identify each lab pack waste stream that contains the same waste codes and waste description. If waste codes or waste description vary, a separate Form 3 should be provided.

EPA Hazardous Waste Code(s)

Enter the four-character EPA hazardous waste code(s) that applies to the waste reported in Waste Description. These codes can be found in 401 KAR 31:030 and 31:040 and on copies of the manifest(s). If the waste stream was a lab pack, enter LABP along with a list of all EPA waste codes contained in the lab pack. Attach additional pages if necessary.

Name of Generator From Which This Waste Was Received

Identify the name of the generator that shipped this hazardous waste to your facility from the manifest form.

EPA ID Number of Generator From Which This Waste Was Received
Identify the 12-character EPA ID Number for the generator that shipped waste to your facility from the manifest form. For Conditionally Exempt small quantity generators without EPA ID#'s, use the state abbreviation followed by CESQG00000, (i.e., KYCESQG00000).

State Hazardous Waste Code
Follow instructions for this field from Form 2 instructions (page 9).

Quantity Received in Report Year
Enter the total quantity of this hazardous waste stream received in 2009. Report in pounds. If your on site records do not identify the weight of the waste, you may use the Conversion Chart listed in Appendix A-4 or apply your knowledge of the weight of the waste to convert it to pounds.

Enter the Value Used to Convert This Waste to Pounds
If you used a conversion factor to obtain the weight of your waste, identify the value used to convert the waste amount into pounds here.

Form Code
See Form Codes listed in Appendix A-2 and A-3. Enter only one code.

Management Method Code
See Management Method Codes listed in Appendix A-5.

FORM 4 – Summary of Waste Shipped Off Site

Copy this form if additional space is needed.

List All Receiving Facilities
Identify the EPA ID number and name for each facility that received hazardous waste from your site. Double check ID numbers for 12-characters and accuracy.

Total Number of Manifested Shipments
Count each manifest only once and report the total number of manifests used to ship your waste to each receiving facility.

Total Pounds Shipped
Amounts reported in this column should balance with figures totaled from the Waste Shipped Off Site section on Form 2.

List All Primary Transporters
Complete the name and EPA ID number for each primary transporter used to ship your hazardous waste off site. Do not list secondary transporters.

Container Types
Enter the two-letter container code from Item 12 on the manifest (e.g. DM, TT, DF...)

FORM 5 – Summary of Waste Shipped to Your Site

Report all hazardous waste your company received in 2009. Copy this form if additional space is needed.

Instructions are the same as for FORM 4 except:

Total Pounds Shipped
Amounts reported in this column should balance with figures totaled from the quantities reported on Form 3. Include the 12-digit EPA ID# for all generators. For conditionally exempt small quantity generators with no EPA ID#, use the state abbreviation followed by "CESQG00000". Example: KYCESQG00000.

MAIL TO:	Commonwealth of Kentucky Department for Environmental Protection	
Division of Waste Management Hazardous Waste Branch 200 Fair Oaks Lane Frankfort, KY 40601	**2009 Hazardous Waste Annual Report** **FORM 1 – Identification and Certification** **Equivalent to EPA RCRA Subtitle C Site Identification Form**	*For Official Use Only.* *Do not write in this space.*

1. Reason for Submittal	☒ As a component of the Hazardous Waste Annual Report			
2. Site ID Numbers	**A. EPA ID Number:** KY☐-☐☐☐-☐☐☐-☐☐☐		**B. AGENCY INTEREST (AI) Number:** _____	
3. Site Name	**Name:**			
4. Site Location Information	**Street Address:**			
	City:	**State:** KY	**Zip Code:**	
	County:			
5. Land Type	**Site Land Type:** ☐ Private ☐ Federal ☐ State ☐ Municipal ☐ County			
6. NAICS Code(s) (see page 3)	**A.**	**B.**	**C.**	**D.**
7. Site Contact & Mailing Address	**First Name:**	**MI:**	**Last Name:**	
	Phone Number:		**Phone Number Extension:**	
	E-Mail Address:			
	Street Address or P. O. Box:			
	City:	**State:**	**Country:**	**Zip Code:**
8. Site Operator Information	**Name of Site's Operator:**			
	Date Became Operator: __ __/__ __/__ __ __ __	**Operator Type:** ☐ Private ☐ Federal ☐ State ☐ Municipal ☐ County		
9. Site Legal Owner Information	**Name of Site's Legal Owner:**			
	Date Became Owner: __ __/__ __/__ __ __ __	**Owner Type:** ☐ Private ☐ Federal ☐ State ☐ Municipal ☐ County		
	Phone Number:		**Phone Number Extension:**	
	Street Address or P. O. Box:			
	City:	**State:**	**Country:**	**Zip Code:**
10. Legal Landowner of the Real Property:	**Name of Landowner:**			
	Date Became Owner: __ __/__ __/__ __ __ __	**Landowner Type:** ☐ Private ☐ Federal ☐ State ☐ Municipal ☐ County		
	Phone Number:		**Phone Number Extension:**	
	Street Address or P. O. Box:			
	City:	**State:**	**Country:**	**Zip Code:**

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11. Type of Regulated Waste Activity
Mark "X" in the appropriate box(es) for all waste activities at this location.

A. Hazardous Waste Activities

1. Generator of Hazardous Waste

Select Yes or No
Is this a one-time-only hazardous waste activity report?
☐Yes ☐No

Choose only one of the following three categories:

☐ **a. Large Quantity Generator:**
(over 2,200 pounds generated in any one calendar month, cannot be averaged)

☐ **b. Small Quantity Generator:**
(220-2,200 pounds generated in any one calendar month, cannot be averaged)

☐ **c. Conditionally Exempt Small Quantity Generator:**
(less than 220 pounds generated in any one calendar month, cannot be averaged)

☐ **2. Fuel Burner of Hazardous Waste for Energy Recovery** (mark the appropriate box or boxes below)
- ☐ **a. Industrial Boiler**
- ☐ **b. Industrial Furnace**

☐ **3. United States Importer of Hazardous Waste**

☐ **4 Mixed Waste (hazardous and radioactive) Generator**

☐ **5. Transporter of Hazardous Waste**

☐ **6. Treatment/Storage/Disposal Facility (at your site)**
(currently have or have applied for a Part B Permit)

☐ **7. Recycler of Hazardous Waste**

8. Exempt Boiler and/or Industrial Furnace
Mark "X" in all boxes that apply
- ☐ **a. Small Quantity On-Site Burner Exemption**
- ☐ **b. Smelting, Melting, and Refining Furnace Exemption**

☐ **9. Underground Injection Well**

B. Universal Waste Activities

☐ **1. Large Quantity Universal Waste Handler**
(over 11,000 pounds on-site storage)

Mark "X" in all boxes that apply	Generate	Accumulate
a. Batteries	☐	☐
b. Unused Pesticides	☐	☐
c. Thermostats	☐	☐
d. Spent Lamps *(includes fluorescent lamps)*	☐	☐

☐ **2. Destination Facility for Universal Waste**
NOTE: A hazardous waste permit may be required for this activity

C. Used Oil Activities

Mark "X" in all boxes that apply

☐ **1. Used Oil Transporter**
If this box is marked, also indicate type(s) of activity(ies):
- ☐ a. Transporter
- ☐ b. Transfer Facility

☐ **2. Used Oil Processor and/or Re-refiner**
If this box is marked, also indicate type(s) of activity(ies):
- ☐ a. Processor
- ☐ b. Re-refiner

☐ **3. Off-Specification Used Oil Burner**
If this box is marked, also indicate type(s) of activity(ies):
- ☐ a. Utility Boiler
- ☐ b. Industrial Boiler
- ☐ c. Industrial Furnace

☐ **4. Used Oil Fuel Marketer**
If this box is marked, also indicate type(s) of activity(ies):
- ☐ a. Marketer Who Directs Shipment of Off-Specification Used Oil to Off-Specification Used Oil Burner
- ☐ b. Marketer Who First Claims the Used Oil Meets the Specifications

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12. Description of Hazardous Wastes

A. Waste Codes for Federally Regulated Hazardous Wastes. List the waste codes of the Federal hazardous wastes handled at your site. List them in the order they are presented in the regulations (i.e., D001, D003, F007, U112). Use an additional page if more spaces are needed.

B. Waste Codes for State-Regulated (i.e., non-Federal) Hazardous Wastes. (N001, N002, and N003. Nerve and blister agents as required by KRS 224.50-130). List the waste codes of the State-regulated hazardous wastes handled at your site. Leave blank or mark N/A if State Waste Codes are not applicable to your site.

13. Comments (Additional Information that will clarify any item in this report.)

14. Certification

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

A. Signature (Must be original. Please sign in blue ink):	**B. Date Signed:** ___ ___/___ ___/___ ___ ___ ___
C. Typed or Printed Signatory Name:	**D. Official Title of Signatory:**

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Commonwealth of Kentucky

2009 Hazardous Waste Annual Report

FORM 2 – Waste Generation and Management

Equivalent to EPA Form GM

EPA ID Number _____ **Agency Interest Number** _____

Site Name (As shown on Registration) _____

Waste Description (See instructions.) Check one: ___**Liquid** ___**Solid**

(1) (General)_____

(2) (Item 9b of manifest)_____

EPA Hazardous Waste Code(s)

_____ _____ _____ _____ _____

State Hazardous Waste Code (if applicable)	**Source Code** *(Specify other) *G ____ **H ____ **(For G25 only)	**Form Code** (Specify Other) W ____	**Is this waste both hazardous and radioactive?** ❑ Yes ❑ No
_____			

Quantity Generated in Report Year	**Enter the value used to convert this waste to pounds** (Leave blank if waste amount is already listed in pounds)
_____pounds	_____

ON SITE MANAGEMENT

Was any of this waste managed on site by treatment___, recycling___, disposal___, or by discharge to a sewer or publicly owned treatment works (POTW)___? Check One.

___Yes – *Complete* **On-site Process System** *block(s)* ___No – *Skip to* **WASTE SHIPPED OFF SITE**

On-site Process System 1	**On-site Process System 2**
On Site Management Method Code: H ____	On Site Management Method Code: H ____
Quantity treated, recycled, disposed: (Circle one)	Quantity treated, recycled, disposed: (Circle one)
_____ pounds	_____ pounds

WASTE SHIPPED OFF SITE

Was any of this waste shipped off site in 2009 for treatment, disposal, or recycling?

____Yes – *Continue completing this form and* **Form 4.** ____No – *Form is complete.*

Site 1	**Name of receiving facility:** _____ **EPA ID Number of receiving facility:** _____	**Off Site Management Method Code** H ____	**Total Quantity Shipped in 2009** _____ pounds
Site 2	**Name of receiving facility:** _____ **EPA ID Number of receiving facility:** _____	**Off Site Management Method Code** H ____	**Total Quantity Shipped in 2009** _____ pounds

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Commonwealth of Kentucky

2009 Hazardous Waste Annual Report

FORM 3 – Waste Received From Off Site

Equivalent to EPA Form WR

EPA ID Number _____ **Agency Interest Number** _____

Site Name (Exactly as on Registration) _____

Waste 1

Waste Description (See instructions.) Check one: ____**Liquid** ____**Solid**

(1) (General) _____

(2) (Manifest) _____

EPA Hazardous Waste Code(s)	State Hazardous Waste Code (if applicable)	Name of generator from which this waste was received / EPA ID Number of generator from which this waste was received
_____ _____ _____ _____	_____	_____ _____

Quantity Received in Report Year	Enter the value used to convert this waste to pounds (Leave blank if waste amount is already listed in pounds)
_____ pounds	_____

Form Code	Is this waste both hazardous and radioactive?	Management Method Code
W ____	____Yes ____No	H ____

Waste 2

Waste Description (See instructions.) Check one: ____**Liquid** ____**Solid**

(1) (General) _____

(2) (Manifest) _____

EPA Hazardous Waste Code(s)	State Hazardous Waste Code (if applicable)	Name of generator from which this waste was received / EPA ID Number of generator from which this waste was received
_____ _____ _____ _____	_____	_____ _____

Quantity Received in Report Year	Enter the value used to convert this waste to pounds (Leave blank if waste amount is already listed in pounds)
_____ pounds	_____

Form Code	Is this waste both hazardous and radioactive?	Management Method Code
W ____	____Yes ____No	H ____

Waste 3

Waste Description (See instructions.) Check one: ____**Liquid** ____**Solid**

(1) (General) _____

(2) (Manifest) _____

EPA Hazardous Waste Code(s)	State Hazardous Waste Code (if applicable)	Name of generator from which this waste was received / EPA ID Number of generator from which this waste was received
_____ _____ _____ _____	_____	_____ _____

Quantity Received in Report Year	Enter the value used to convert this waste to pounds (Leave blank if waste amount is already listed in pounds)
_____ pounds	_____

Form Code	Is this waste both hazardous and radioactive?	Management Method Code
W ____	____Yes ____No	H ____

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Commonwealth of Kentucky

2009 Hazardous Waste Annual Report

FORM 4 – Summary of Waste Shipped Off Site

EPA ID Number _____ **Agency Interest Number** _____

Site Name (Exactly as on Registration) _____

List all receiving facilities. List each facility only once.	**Total Number of Manifested Shipments**	**Total Pounds Shipped for reporting year**
EPA ID Number _____ Facility Name _____		
EPA ID Number _____ Facility Name _____		
EPA ID Number _____ Facility Name _____		
EPA ID Number _____ Facility Name _____		
EPA ID Number _____ Facility Name _____		
EPA ID Number _____ Facility Name _____		
Total		

List all primary transporters. List each primary transporter only once. Do not list secondary transporters.	**Total Number of Manifested Shipments**	**Total Pounds Shipped for reporting year**	**Container Types**
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
Total			

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Commonwealth of Kentucky

2009 Hazardous Waste Annual Report

FORM 5 – Summary of Waste Shipped To Your Site

EPA ID Number _____ **Agency Interest Number** _____

Site Name (Exactly as on Registration) _____

List all generators that sent waste to your facility. List each facility only once.	**Total Number of Manifested Shipments**	**Total Pounds Shipped for reporting year**
EPA ID Number _____ Generator Name _____		
EPA ID Number _____ Generator Name _____		
EPA ID Number _____ Generator Name _____		
EPA ID Number _____ Generator Name _____		
EPA ID Number _____ Generator Name _____		
EPA ID Number _____ Generator Name _____		
Total		

List all primary transporters. List each primary transporter only once. Do not list secondary transporters.	**Total Number of Manifested Shipments**	**Total Pounds Shipped for reporting year**	**Container Types**
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
EPA ID Number _____ Transporter Name _____			
Total			

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INSTRUCTIONS FOR THE ASSESSMENT RETURN

KRS 224.46-580, Section 1(7) is amended to read, in part, as it pertains to the Hazardous Waste Assessment that "The hazardous waste assessment shall be waived for any generator owing less than fifty dollars ($50) for the year." However, a return must be filed by generators to whom a payment waiver applies. You still must submit the DEP-7070 (Revised 2009) even if zero dollars are owed.

Who must submit an Assessment Return DEP 7070 (Revised 2009)?

- Any site registered as either a Large or a Small Quantity Generator for any part of the year 2009 or any site that treated, stored, or disposed of hazardous wastes on site during 2009. **Even if no hazardous waste was generated in the year**, fill out DEP 7070 and submit it.

How do I claim Exclusion from the Hazardous Waste Assessment?

- Any site seeking exclusion from the Assessment as described in KRS 224.46-580. For example: "special wastes," waste oil, spent material from air pollution control devices controlling emissions at coke manufacturing facilities, waste generated by others for which the company is a secondary handler, waste regulated under Section 402 or 307b of the Clean Water Act, recycled wastes used in steel manufacturing, nonhazardous wastes, out-of-state waste received by a manufacturing company from an affiliated company, and emission control dust and sludge from the primary production of steel that is recycled by high temperature metals recovery or managed by stabilization of metals.

  Sites may file multiple Claims for Exclusion forms; however, each claim form may cover only one exclusion category. Line 6 on the Assessment Return should reflect the total of all Claims for Exclusion forms submitted.

Note: The Claim for Exclusion form must be completed each year to obtain an exemption from payment for any hazardous waste generated during the assessment period.

When is the Assessment Period?
The assessment period is from January 1 through December 31, 2009.

What is the authority for the Assessment Program?

KRS 224.46-580. Per this statute, the Assessment is due January 1st. Kentucky offers a grace period until March 1st. The Assessment Return must be **received at the Branch by March 1st**. If it is received at the Branch after March 1st, the penalties and interest must be computed from January 1 to the receipt date. See page 24 for calculating these penalties. **If the assessment owed is less than $50.00, no check is necessary.**

What hazardous waste is counted on the Assessment Return?

- Count each hazardous waste **generated** (not necessarily shipped) by your company during the assessment period. Industrial wastewaters treated immediately on site in a pre-treatment program under the Clean Water Act (Section 402 of the Clean Water Act - KPDES), are not counted as waste [401 KAR 31:010,Section 4(1)(b)]; however, a Form 2 and a Claim for Exclusion Form is needed to exclude this waste from assessment. If zero pounds of hazardous waste were generated, mark 0 (zero) on Line # 11 and submit the Assessment return.
- Count each hazardous waste **received from out-of-state** during the assessment period.

The Annual Report and Assessment Return are compared during the review process. All hazardous wastes generated, or received from off site, during the report year and reported on the Annual Report must be reflected on the Assessment Return and/or Claim for Exclusion(s).

What if my company is taking the energy recovery rate?

The energy recovery rate only applies to waste that is sent from your company **directly** to an EPA permitted industrial boiler or furnace for thermal destruction. Waste cannot be blended before reaching the thermal destruction site. Manifests must show direct shipment to a thermal destruction facility. Provide certificates of destruction for each waste for which you are claiming this rate.

What if my company did not generate any hazardous waste during the assessment period?

Both the Annual Report and the Assessment Return must still be submitted.

- Complete Line 1 on the Hazardous Waste Assessment Return; report that $0 is due in Line 11.
- Complete Form 1 of the Hazardous Waste Annual Report and provide an explanation in the comments section under number 13.

Where can I get help?

Call Carla Cornett (502) 564-6716 x 4704, Edith Greer (502) 564-6716 x 4705, or Maria Wood (502) 564-6716, x 4703, or email them at: Carla.Cornett@ky.gov, Edith.Greer@ky.gov, or Maria.Wood@ky.gov.

Where do I mail these reports?

Mail the original signed Assessment Return, signed Annual Report, and signed check to:

Kentucky Division of Waste Management
Hazardous Waste Branch
200 Fair Oaks Lane
Frankfort KY 40601

Line Item Instructions for the Assessment Return:

Assessment fees are based on the amount of waste **generated or received from out-of-state in 2009,** not those wastes shipped, because a facility may ship wastes from the previous year, or not ship the current year's wastes until a barrel is full, etc. All waste must be reported in pounds. For companies that send their waste **immediately** to an EPA permitted industrial boiler or furnace in order to burn hazardous waste for energy recovery, they are assessed a lower rate on this waste per KRS 224.46-580 Section 8(e).

Use these definitions and the manifest to determine the physical state of the waste:

Solid – Any waste that does not fail the Paint Filter Test* upon generation (stays in the collection filter)

Liquid – Any waste that fails the Paint Filter Test* upon generation (flows on into the collection cylinder)

Line 1 Provide information that corresponds exactly with your Certificate of Registration for Hazardous Waste Management Activity. Include your Agency Interest Number.

Line 2a. Report the total amount of all solid hazardous waste generated in 2009 excluding the solids treated on site as reported on line 3a. This may include waste generated and shipped off site in 2009, or waste that was generated in 2009 and is destined to be sent off site. Also include all solid hazardous waste received from out-of-state.

Line 2b. Report solid hazardous waste sent directly to an EPA permitted industrial boiler or furnace and burned for energy recovery. Include a certificate(s) of destruction for this waste.

Line 3a. Report the total amount of all solid hazardous waste treated, recycled, or disposed of on site in 2009. Solid hazardous waste received from out-of-state must be included on Line 2a.

Line 3b. Report solid hazardous waste treated, recycled, and sent directly to an on site EPA permitted industrial boiler or furnace and burned for energy recovery. Include a certificate(s) of destruction for this waste.

Line 4a. Report the total amount of all liquid hazardous waste generated in 2009 excluding the liquids treated on site as reported on line 5a. This may include waste generated and shipped off site in 2009, or waste that was generated in 2009 and is destined to be sent off site. Also include all liquid hazardous waste received from out-of-state.

*Method 9095A in SW-846 Test Methods for Solid Waste, Physical/Chemical Methods as specified in 401 KAR 30:010, Section 3.

Line 4b. Report liquid hazardous waste sent directly to an EPA permitted industrial boiler or furnace and burned for energy recovery. Include a certificate(s) of destruction for this waste.

Line 5a. Report the total amount of all liquid hazardous waste treated, recycled, or disposed of on site in 2009. Liquid hazardous waste received from out-of-state must be included on Line 4a.

Line 5b. Report liquid hazardous waste treated, recycled, and sent directly to an on site EPA permitted industrial boiler or furnace and burned for energy recovery. Include a certificate(s) of destruction for this waste.

Line 6 Report the total waste from the Claim for Exclusion form(s).

Line 7 Report the subtotal from column C.

Late Fees and Penalties for
Assessment Returns Received at the Branch after March 1, 2010

Line 8 Interest is calculated at 8% per annum from the statutory due date of January 1 to **the Branch receipt date stamp.****. This amount can be determined using the formula below: Subtotal x 0.08 divided by 365 X # of days late = interest. Report this amount on Line 8.

Line 9 Penalties are calculated at 5% of the Subtotal for each 30-day (or fraction thereof) period the return is late, not to exceed 25%. Penalties are calculated from the statutory due date of January 1 to **the Branch receipt date stamp****. For example, if the receipt date is March 2nd, the subtotal must be multiplied by 15% to calculate the penalty.

Line 10 If your company underpaid/overpaid last year, place the adjustment on this line. The amount of an underpayment or overpayment will be included in your approval letter. A notice will be included with your Assessment Return approval letter if an adjustment is to be made.

****TEMPO will scan the Branch receipt date stamp and compute penalties and interest based on any Assessment Return received after March 1st.**

Line 11 Sign the assessment return in blue ink and mail the **original signed Assessment Return** along with a check payable to the Kentucky State Treasurer for the total in column C to the address below. Identify the facility with the **Agency Interest Number** on the check's reference line. Send the signed check and the originally signed reports to the address listed on page 22.

Extensions cannot be granted for the Hazardous Waste Assessment Return.

Reports must be received at the Branch by March 1, 2010 or TEMPO automatically calculates late fees.

ATTENTION: All Treatment, Storage and Disposal Facilities

In addition to the Assessment Return, the following schedules must be submitted:

- **Schedule 1** – For solid hazardous waste. Report each out-of-state generator by EPA ID number, company name, and amount of waste your facility received. This can be found on Form 3.

- **Schedule 2** – For liquid hazardous waste. Report each out-of-state generator by EPA ID number, company name, and amount of waste your facility received. This can be found on Form 3.

- **Schedule 3** – For hazardous waste generated by your facility. On separate lines, provide a summary of:
  - liquid hazardous waste generated by your facility and sent off site
  - liquid hazardous waste generated by your facility and treated, recycled or disposed on site
  - solid hazardous waste generated by your facility and sent off site, and
  - solid hazardous waste generated by your facility and treated, recycled or disposed on site

Provide a total on all schedules. Report amounts in pounds.

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For official use only:

Amt. $_____ Receipt # _____ Receipt Date_____ Initials _____

****SEND NO CHECK IF TOTAL AMOUNT DUE IS LESS THAN $50.00****

Commonwealth of Kentucky
HAZARDOUS WASTE ASSESSMENT RETURN
From January - December, 2009

Return BEFORE March 1, 2010. Late fees apply to Assessments date stamped by the Branch after March 1, 2010.
Make checks payable to the **KENTUCKY STATE TREASURER**.

1. EPA ID Number: KY_ County: Agency Interest Number (AI#):

Site Name:

Contact Person: Phone No: Extension:

Mailing Address:

City, State and Zip:

ASSESSMENT CATEGORIES List waste **generated** and/or Received from out-of-state from January 1-December 31, 2009	**Column A QUANTITY** List quantity in pounds.	**Column B RATE**	**Column C AMOUNT DUE** Multiply Column A x B
2a. Solid hazardous waste generated and destined for disposal off site		$0.002 (if 2a)	$
2b. *Solid hazardous waste burned off site for energy recovery in an industrial boiler or furnace*		$0.001 (if 2b)	$
3a. Solid hazardous waste generated and treated, recycled, or disposed of on site		$0.001 (if 3a)	$
3b. *Solid hazardous waste burned on site for energy recovery in an industrial boiler or furnace*		$0.0005 (if 3b)	$
4a. Liquid hazardous waste generated and destined for disposal off site		$0.012 (if 4a)	$
4b. *Liquid hazardous waste burned off site for energy recovery in an industrial boiler or furnace*		$0.006 (if 4b)	$
5a. Liquid hazardous waste generated and treated, recycled, or disposed of on site		$0.006 (if 5a)	$
5b. *Liquid hazardous waste burned on site for energy recovery in an industrial boiler or furnace*		$0.003 (if 5b)	$
6. Waste excluded from all Exclusions Forms			
7. SUBTOTAL			$
8. Interest on late submittals calculated from January 1 to Branch receipt date stamp			$
9. Penalties on late submittals calculated from January 1 to Branch receipt date stamp			$
10. Adjustments from over payments And under payments			$
11. **TOTAL AMOUNT DUE (ASSESSMENT WAIVED IF UNDER $50.00)**			$

CERTIFICATION: I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Original Signature (use blue ink) **Name and Title** **Date**

DEP-7070 (Rev. 2009)

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INSTRUCTIONS FOR THE CLAIM FOR EXCLUSION FORM

KRS 224.46-580 provides several exclusions from the hazardous waste assessment. To claim that a specific hazardous waste is excluded from the assessment, you must submit the **Claim for Exclusion from the Hazardous Waste Assessment Form with the Assessment Return before March 1, 2010**. This form must be completed every year a claim for exclusion is made.

Line 1 Complete these lines. This information will correspond with that provided on your Assessment Return and Certificate of Registration.

Line 2 Check one box. Use a separate form for each waste stream for which exclusion to the Assessment is sought. A brief description of each category is listed below.

Waste Oil – Used oil is not regulated as a hazardous waste when managed in accordance with 401 KAR Chapter 44.

Special Wastes – KRS 224.50-760 defines the following as special wastes: mining wastes; utility wastes which meet the definition of fly ash, bottom ash or scrubber sludge; sludge from wastewater treatment facilities; cement kiln dust; gas and oil drilling muds; and oil production brines. No other wastes have been designated by the Environmental and Public Protection Cabinet as special wastes.

Spent material from air pollution control devices at coke manufacturing facilities – This exclusion is limited to a coke manufacturing facility's air pollution control equipment wastes.

Waste generated by others for which the company is a secondary handler – Companies that store, process or reclaim hazardous waste generated in Kentucky by another company are not required to pay the assessment. Hazardous waste generated outside of Kentucky is subject to the assessment and facilities must collect and submit the assessment due from out-of-state generators. In addition, hazardous waste generated by the secondary handler as the result of storage, processing or reclamation is subject to the assessment.

Waste regulated under Section 402 or 307b of the Clean Water Act –

- Section 402 of the Clean Water Act refers to the Kentucky Pollutant Discharge Elimination System (KPDES) program. This exclusion applies to any waste that flows through a treatment plant holding a valid KPDES permit. For exclusion to the assessment, complete a Claim for Exclusion for this waste.
- Section 307b of the Clean Water Act applies to any waste that is sent to a pretreatment system and discharged to a publicly owned sewer treatment works (POTW). The wastewater is not reported as a waste, therefore, there is no Claim for Exclusion Form needed. The sludge, "special waste" is reported as waste on a Form 2; for exclusion to the assessment, complete a Claim for Exclusion.

Recycled wastes used in steel manufacturing

Out-of-state waste received by a manufacturing company from an affiliated company – According to the Under Investment Company Act (15 U.S.C.A. Section 80A-2), a company in which there is ownership (direct or indirect) of 5 percent or more of the voting stock is considered an affiliated company.

Emission control dust and sludge from the primary production of steel that is recycled by high temperature metals recovery or managed by stabilization of metals

Line 3 Describe the generation process for the waste being excluded. **NOTE: A description must be provided or the claim will be denied.**

Line 4 Complete each section. Definitions for liquid and solid waste are provided on page 23. See page 9 for an explanation of EPA hazardous waste codes.

*****The Claim for Exclusion form must contain an original signature*****

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Commonwealth of Kentucky

CLAIM FOR EXCLUSION FROM THE HAZARDOUS WASTE ASSESSMENT

From January – December 2009

Return to Hazardous Waste Branch, 200 Fair Oaks Lane, Frankfort KY 40601 BEFORE **March 1, 2010** with the Hazardous Waste Assessment Return and Annual Report.

1. EPA ID Number: KY	County:	AI#:
Site Name:		
Contact Person:	Phone No:	Extension:
Mailing Address:		
City, State and Zip:		

2. Identify the specific exclusion described under KRS 224.46-580 (7) and (8) for which approval is sought. Mark only one box.

   - ☐ Waste Oil
   - ☐ Special Waste
   - ☐ Spent material from air pollution control emissions at coke manufacturing facilities
   - ☐ Secondary handler receiving waste from Kentucky generators
   - ☐ Waste subject to Section 402 of the Clean Water Act sent to a KPDES outfall
   - ☐ Waste subject to Section 307B of the Clean Water Act sent to a POTW
   - ☐ Recycled waste used in the steel manufacturing process
   - ☐ Out-of-state waste received by a manufacturing company from an affiliated company
   - ☐ Emission control dust and sludge from the primary production of steel that is recycled by high temperature metals recovery or managed by stabilization of metals

3. Provide a brief description of the process that generates the hazardous waste for which you are seeking exclusion from assessment or the Claim will be denied. (**Mandatory - Attach additional sheets if necessary**.)

4. Complete this chart for the hazardous waste you are seeking an exclusion.

EPA Waste Codes	Amount of Waste Generated During the Assessment Period Report in pounds.	Solid or Liquid	Was this waste ultimately sent off site for treatment storage or disposal? (Yes or No?)

CERTIFICATION: I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

Original Signature (use blue ink) **Name and Title** **Date**

DEP-7084 (Rev. 2009)

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SOURCE CODES

Source codes describe the type of process or activity (i.e., source) from which a hazardous waste was generated.

Code	Source Code Group
	Wastes from Ongoing Production and Service Processes
G01	Dip, flush or spray rinsing
G02	Stripping and acid or caustic cleaning
G03	Plating and phosphating
G04	Etching
G05	Metal forming and treatment (pickling, heat treating, etc.)
G06	Painting and coating
G07	Product and by-product processing
G08	Removal of spent process liquids or catalysts
G09	Other production or service-related processes (specify)
	Other Intermittent Events or Processes
G11	Discarding off-specification or out-of-date chemicals or products
G12	Lagoon or sediment dragout and leachate collection
G13	Cleaning out process equipment
G14	Removal of tank sludge, sediments or slag
G15	Process equipment change-out or discontinuation of equipment use
G16	Oil changes and filter or battery replacement
G19	Other one-time or intermittent processes (specify)
	Pollution Control and Waste Management Process Residuals
G21	Air pollution control devices (baghouse dust, etc.)
G22	Laboratory analytical wastes (used chemicals)
G23	Wastewater treatment (sludge, filter cake, etc.)
G24	Solvent or product distillation or recovery (sludge, waste)
G25	Hazardous waste management - indicate management method
G26	Storage and disposal unit leachate collection
	Spills and Accidental Releases
G31	Accidental contamination of products, materials or containers
G32	Cleanup of spill residues
G33	Leak collection and floor sweeping
G39	Other cleanup of current contamination (specify)
	Remediation of Past Contamination
G41	Closure of hazardous waste management unit under KY Hazardous Waste Program
G42	Corrective action at a solid waste management unit under KY Hazardous Waste Program
G43	Remedial action or emergency response under KRS 224.01-400 (state "Superfund")
G44	State program or voluntary cleanup
G45	Underground storage tank cleanup
G49	Other remediation (specify)
	Waste Not Physically Generated On Site
G61	Hazardous waste received from off site for storage/bulking and transfer off site for treatment or disposal
G62	Hazardous waste received from a foreign country (other than a foreign Department of Defense site, Maquiladora, US territory or protectorate). This site was the generator of record.

FORM CODES

Form codes describe the general physical and chemical characteristics of a hazardous waste.

Code	Form Code Group
Mixed Media/Debris/Devices - Waste that is a mixture of organic and inorganic wastes, liquid and solid wastes, or devices that are not easily categorized	
W001	Lab packs with no acute hazardous waste
W002	Contaminated debris: paper, clothing, rags, wood, empty fiber or plastic containers, glass, piping, other solids
W004	Lab packs containing acute hazardous waste
W301	Contaminated soil
W309	Batteries, battery parts, cores, casings
W310	Filters, solid adsorbents, ion exchange resins and spent carbon
W320	Electrical devices (lamps, thermostats, CRTs, etc.)
W512	Sediment or lagoon dragout, drilling or other muds
W801	Compressed gases
Inorganic Liquids - Waste that is primarily inorganic and highly fluid (e.g., aqueous), with low suspended inorganic solids and low organic content	
W101	Very dilute aqueous waste containing more than 99% water
W103	Spent concentrated acid
W105	Acidic aqueous wastes less than 5% acid
W107	Aqueous waste containing cyanides
W110	Caustic aqueous waste without cyanides
W113	Other aqueous waste or wastewaters
W117	Waste liquid mercury
W119	Other inorganic liquid (specify)
Organic Liquids - Waste that is primarily organic and is highly fluid, with low inorganic solids content and low-to-moderate water content	
W200	Still bottoms in liquid form
W202	Concentrated halogenated (e.g., chlorinated) solvent
W203	Concentrated non-halogenated (e.g., non-chlorinated) solvent
W204	Concentrated halogenated/ non-halogenated solvent mixture
W205	Oil-water emulsion or mixture
W206	Waste oil
W209	Paint, ink, lacquer, or varnish
W210	Reactive or polymerizable organic liquids and adhesives
W211	Paint thinner or petroleum distillates
W219	Other organic liquid (specify)

FORM CODES (Continued)

Code	Source Code Group
	Inorganic Solids - Waste that is primarily inorganic and solid, with low organic content and low-to-moderate water content; not pumpable
W303	Ash
W304	Slags, drosses, and other solid thermal residues
W307	Metal scale, filings and scrap (including metal drums)
W312	Cyanide or metal cyanide bearing solids, salts or chemicals
W316	Metal salts or chemicals not containing cyanides
W319	Other inorganic solids (specify)
	Organic Solids - Waste that is primarily organic and solid, with low-to-moderate inorganic content and water content; not pumpable
W401	Pesticide solids
W403	Solid resins, plastics or polymerized organics
W405	Explosives or reactive organic solids
W409	Other organic solids (specify)
	Inorganic Sludges - Waste that is primarily inorganic, with moderate-to-high water content and low organic content; mostly pumpable
W501	Lime and/or metal hydroxide sludges and solids with no cyanides
W503	Gypsum sludges from wastewater treatment or air pollution control
W504	Other sludges from wastewater treatment or air pollution control
W505	Metal bearing sludges (including plating sludge) not containing cyanides
W506	Cyanide-bearing sludges
W519	Other inorganic sludges (specify)
	Organic Sludges - Waste that is primarily organic with low-to-moderate inorganic solids content and water content; pumpable
W603	Oily sludge
W604	Paint or ink sludges, still bottoms in sludge form
W606	Resins, tars, polymer or tarry sludge
W609	Other organic sludge (specify)

Conversion Rates

All quantities on the Hazardous Waste Annual Report and the Assessment Return must be reported in pounds. Use these conversion rates if you don't know the weight of your waste.

For example:

To convert 25 gallons to pounds, multiply 25 (gallons) by 8.34 (the weight of water) = 208.5 pounds.

To convert 50 tons into pounds, multiply 50 (tons) by 2000 (pounds) = 100,000 pounds.

	Conversion Rates Chart	
Unit	Physical State	Multiplier to Pounds
Gallons	Liquid Sludge/Solid	8.34 11.09
Cubic Yards	Liquid Sludge/Solid	1684.8 2240
Liters	Liquid	2.203
Kilogram	Liquid/Sludge/Solid	2.204
Pounds	Liquid/Sludge/Solid	1
Tons	Liquid/Sludge/Solid	2000

MANAGEMENT METHOD CODES

Management Method codes describe the type of hazardous waste management system used to treat or dispose a hazardous waste.

Code	Management Method Code Group
	Reclamation and Recovery
H010	Metals recovery including retorting, smelting, chemical, etc.
H020	Solvents recovery
H039	Other recovery or reclamation for reuse including acid regeneration, organics recovery, etc. (specify)
H050	Energy recovery at this site - use as fuel (includes on-site fuel blending)
H061	Fuel blending prior to energy recovery at another site
	Destruction or Treatment Prior to Disposal at Another Site
H040	Incineration - thermal destruction other than use as a fuel
H071	Chemical reduction with or without precipitation
H073	Cyanide destruction with or without precipitation
H075	Chemical oxidation
H076	Wet air oxidation
H077	Other chemical precipitation with or without pre-treatment
H081	Biological treatment with or without precipitation
H082	Adsorption
H083	Air or steam stripping
H101	Sludge treatment and/or dewatering
H103	Absorption
H111	Stabilization or chemical fixation prior to disposal at another site
H112	Macro-encapsulation prior to disposal at another site
H121	Neutralization only
H122	Evaporation
H123	Settling or clarification
H124	Phase separation
H129	Other treatment (specify)
	Disposal
H131	Land treatment or application (to include on-site treatment and/or stabilization)
H132	Landfill or surface impoundment that will be closed as landfill (to include on-site treatment and/or stabilization)
H134	Deepwell or underground injection (with or without treatment)
H135	Discharge to sewer/POTW or NPDES (with prior storage - with or without treatment)
	Storage and Transfer
H141	Storage, bulking, and/or transfer off site - no treatment/recovery (H010-H129), fuel blending (H061), or disposal (H131-H135) at this site

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Kentucky
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Just a reminder … a portion of the Hazardous Waste Assessment goes to fund **FREE *confidential* help for generators. Contact:**

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