

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 2015.

Form 2 *Each* hazardous waste stream generated, managed, and/or shipped off site in 2015 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 2015.

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 2015 must complete a Form 4.

Form 5 Any site that received hazardous waste from off site in 2015 must complete a Form 5.

IMPORTANT: All pages in the Annual Report must be sequentially numbered, from the first page of the Waste Minimization/Transfer Station Report 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 Kentucky county where the waste was shipped to per KAR 32:040 Section 3(3). Reports only need to be sent to Kentucky counties which received waste. Address listings begin on page 37.

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 use EasiTrak in preparing your Annual Report, go to www.arminc.net.

A printed, originally signed, paper version of the Annual Report and the Assessment 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

a state specific form and therefore, not on EasiTrak, so it must be filled out from this booklet or downloaded from the forms website. See the forms website or page 27 of this booklet.

For answers about electronic filing, e-mail: edith.greer@ky.gov with the subject line EasiTrak or phone her at (502) 564-6716.

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. **Please provide a current email address as this is the easiest way to exchange documents during review.**
- 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. 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 party 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. Site 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 the **highest level of registered generator status** you had in the 2015 reporting year. For example, if you were LQG for 2 months, place an “X” in the LQG box.
- If your site was registered as either a Large or Small Quantity Generator at some time during the 2015 calendar year, but changed status to a Conditionally Exempt Small Quantity Generator by December 31, 2015, 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 the section 13 comments. You are **still required to submit** Form 1 and the Assessment Return.

NOTE: The Annual Report and the 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. Therefore, it is not necessary to submit a “Request to be Removed from the Hazardous Waste Handler List” form.

- GENERATOR STATUS – Place an “X” in only one of the following boxes to indicate the highest level of registered generator status you had in the 2015 reporting year. For example, if you were LQG for 2 months, place an “X” in the LQG box.
- Check “Yes” or “No” if you had a status change during the year. For example, if you were a LQG for 2 months, then were a SQG for the rest of the year, place an “X” in the “Yes” box.

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.
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 this box if you are a recycler of hazardous waste. Some examples follow:
 - Lead-Acid Battery Recycler: 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: 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: 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.
10. RECEIVES HAZARDOUS WASTE FROM OFF-SITE (AT YOUR SITE) – Place an “X” in this box if you receive hazardous waste from another site, whether

this waste is received as a commercial transaction or waste received from an off-site generator.

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 2's submitted in your Annual Report for the report year.

IMPORTANT: during the review of the manifests and form 2's, if waste codes are discovered that are not on your current registration, please submit a registration modification to include these waste codes prior to the submittal of your annual report.

- 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

Use this section to make notes to us, to yourself, or to clarify anything in your report. This is also the area where Source Codes, Form Codes, and Management Method Codes that ask you to "specify" the code may be written. Reference the item number you are clarifying and provide additional clarification here. Use this space as a tool to help you remember from year to year specific items.

For example, if for some reason at a given site, zero waste was generated in a reporting year, this is a great place to explain why.

14. Certification Statement

This line must contain an **original signature in blue ink**. More forms are deficient in this area than in any other. It is your responsibility to maintain a copy for your records for 3 years. Send the original with the blue signature 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

Form codes and management method codes help better characterize your waste. Please be as specific as possible and reference the appendices for these codes.

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 2015; or
- Generated on site in 2015 but neither managed on site nor shipped off site until after 2015; or
- Generated on site prior to 2015 but either managed on site or shipped off site in 2015; or
- Imported from a foreign country and managed on site or shipped off site in 2015.

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 is not generated and/or shipped in the report year.

Waste Description

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)

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.

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

State Hazardous Waste Code(s)

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 on pages 31 and 32. 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 on page 35. Use the "Comments section" on Form 1 if clarification is needed.

Form Code

See Form Codes listed on pages 33 and 34. Enter only one code.

Waste Minimization Code

Enter your appropriate waste minimization code that applies to this waste. Refer to page 36 for these codes. Enter only one code on each Form 2.

This waste minimization activity must have occurred during this reporting cycle. If minimization was not attempted (to the point of implementing a change) for this waste, you must enter an "X" (no waste minimization efforts were implemented for this waste) for this item.

You may provide additional information (including toxicity and quantity reductions to the extent that data are available) in the Comments section on the third page of Form 1 that will help us understand your efforts to prevent pollution, minimize waste, or recycle in regards to this waste stream. Additionally, you may explain in the Comments section why your efforts were either successful or unsuccessful or why you did not implement waste minimization efforts for this reporting year.

Quantity Generated in Report Year

Enter the total quantity of this hazardous waste stream generated in 2015. Report in pounds. If your on site records do not identify the weight of the waste, you may use the Conversion Chart listed on page 30 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 on page 35.

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 2015. 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 on page 35. 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 8).

Quantity Received in Report Year

Enter the total quantity of this hazardous waste stream received in 2015. Report in pounds. If your on site records do not identify the weight of the waste, you may use the Conversion Chart listed on page 30 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 on pages 33 and 34. Enter only one code.

Management Method Code

See Management Method Codes listed on page 35.

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 2015. 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.