

**FORM 1**

[See rule 6 (1)]

**Application required for grant/renewal of authorisation for generation or collection or storage or transport or reception or recycling or reuse or recovery or pre-processing or co-processing or utilisation or treatment or disposal of hazardous and other waste**

**Part A: General (to be filled by all)**

1. (a) Name and address of the unit and location of facility :  
(b) Name of the occupier of the facility or operator of disposal facility with designation, Tel, Fax and e-mail:  
(c) Authorisation required for (Please tick mark appropriate activity or activities:

(i) Generation	<input type="checkbox"/>
(ii) Collection	<input type="checkbox"/>
(iii) Storage	<input type="checkbox"/>
(iv) Transportation	<input type="checkbox"/>
(v) Reception	<input type="checkbox"/>
(vi) Reuse	<input type="checkbox"/>
(vii) Recycling	<input type="checkbox"/>
(viii) Recovery	<input type="checkbox"/>
(ix) Pre-processing	<input type="checkbox"/>
(x) Co-processing	<input type="checkbox"/>
(xi) Utilisation	<input type="checkbox"/>
(xii) Treatment	<input type="checkbox"/>
(xiii) Disposal	<input type="checkbox"/>
(xiv) Incineration	<input type="checkbox"/>

  
(d) In case of renewal of authorisation previous authorisation numbers and dates and provide copies of annual returns of last three years including the compliance reports with respect to the conditions of Prior Environmental Clearance, wherever applicable:
  
2. (a) Nature and quantity of waste handled per annum (in metric tonne or kilo litre)  
(b) Nature and quantity of waste stored at any time (in metric tonne or kilo litre)
  
3. (a) Year of commissioning and commencement of production:  
(b) Whether the industry works:

(i) 01 Shift	<input type="checkbox"/>
(ii) 02 Shifts	<input type="checkbox"/>
(iii) Round the clock	<input type="checkbox"/>
  
4. Provide copy of the Emergency Response Plan (ERP) which should address procedures for dealing with emergency situations (viz. Spillage or release or fire) as specified in the guidelines of Central Pollution Control Board. Such ERP shall comprise the following, but not limited to:
  - Containing and controlling incidents so as to minimise the effects and to limit danger to the persons, environment and property;
  - Implementing the measures necessary to protect persons and the environment;
    - Description of the actions which should be taken to control the conditions at Events and to limit their consequences, including a description of the safety Equipment and resources available;
  - Arrangements for training staff in the duties which they are expected to perform;  
  - Arrangements for informing concerned authorities and emergency services; and

- Arrangements for providing assistance with off-site mitigatory action.

5. Provide undertaking or declaration to comply with all provisions including the scope of submitting bank guarantee in the event of spillage, leakage or fire while handling the hazardous and other waste.

**Part B: To be filled by hazardous waste generators**

- (a) Products and by-products manufactured (names and product wise quantity per annum):
  - (b) Process description including process flow sheet indicating inputs and outputs (raw materials, chemicals, products, by-products, wastes, emissions, waste water etc.) Please attach separate sheets:
  - (c) Characteristics (waste-wise) and Quantity of waste generation per annum:
  - (d) Mode of management of (c) above:
    - i. Capacity and mode of secured storage within the plant;
    - ii. Utilisation within the plant (provide details);
    - iii. If not utilised within the plant, please provide details of what is done with this waste;
    - iv. Arrangement for transportation to actual users/ TSDF;
  - (e) Details of the environmental safeguards and environmental facilities provided for safe handling of all the wastes at point (c) above;
2. Hazardous and other wastes generated as per these rules from storage of hazardous chemicals as defined under the Manufacture, Storage and Import of Hazardous Chemicals Rules, 1989

**Part C: To be filled by Treatment, storage and disposal facility operators**

1. Provide details of the facility including:
  - (i) Location of site with layout map;
  - (ii) Safe storage of the waste and storage capacity;
  - (iii) The treatment processes and their capacities;
  - (iv) Secured landfills;
  - (v) Incineration, if any;
  - (vi) Leachate collection and treatment system;
  - (vii) Fire fighting systems;
  - (viii) Environmental management plan including monitoring; and
  - (ix) Arrangement for transportation of waste from generators.
2. Provide details of any other activities undertaken at the Treatment, storage and disposal facility site.
3. Attach a copy of prior Environmental Clearance.

**Part D: To be filled by recyclers or pre-processors or co-processors or users of hazardous or other wastes**

1. Nature and quantity of different wastes received per annum from domestic sources or imported or both:
2. Installed capacity as per registration issued by the District Industries Centre or any other authorised Government agency. Provide copy:
3. Provide details of secured storage of wastes including the storage capacity:

4. Process description including process flow sheet indicating equipment details, inputs and outputs (input wastes, chemicals, products, by-products, waste generated, emissions, waste water, etc.). Attach separate sheets:
5. Provide details of end users of products or by-products:
6. Provide details of pollution control systems such as Effluent Treatment Plant, scrubbers, etc. including mode of disposal of waste:
7. Provide details of occupational health and safety measures:
8. Has the facility been set up as per Central Pollution Control Board guidelines? If yes, provide a report on the compliance with the guidelines:
9. Arrangements for transportation of waste to the facility:

**Signature of the Applicant  
Designation**

**Date.....**

**Place.....**

**FORM 2**

[See rule 6(2)]

FORM FOR GRANT OR RENEWAL OF AUTHORISATION BY STATE POLLUTION CONTROL BOARD TO THE OCCUPIERS, RECYCLERS, REPROCESSORS, REUSERS, USER AND OPERATORS OF DISPOSAL FACILITIES

1. Number of authorisation and date of issue :

2. Reference of application (No. and date) :

3. ....of .....is hereby granted an authorisation based on the enclosed signed inspection report for generation, collection, reception, storage, transport, reuse, recycling, recovery, pre-processing, co-processing, utilisation, treatment, disposal or any other use of hazardous or other wastes or both on the premises situated at.....

Details of Authorisation

Sl. No	Category of Hazardous Waste as per the Schedules I, II and III of these rules	Authorised mode of disposal or recycling or utilisation or co-processing, etc	Quantity (ton/annum)

(1) The authorisation shall be valid for a period of .....

(2) The authorisation is subject to the following general and specific conditions (Please specify any conditions that need to be imposed over and above general conditions, if any):

A. General conditions of authorisation:

1. The authorised person shall comply with the provisions of the Environment (Protection) Act, 1986, and the rules made there under.
2. The authorisation or its renewal shall be produced for inspection at the request of an officer authorised by the State Pollution Control Board.
3. The person authorised shall not rent, lend, sell, transfer or otherwise transport the hazardous and other wastes except what is permitted through this authorisation.

4. Any unauthorised change in personnel, equipment or working conditions as mentioned in the application by the person authorised shall constitute a breach of his authorisation.

5. The person authorised shall implement Emergency Response Procedure (ERP) for which this authorisation is being granted considering all site specific possible scenarios such as spillages, leakages, fire etc. and their possible impacts and also carry out mock drill in this regard at regular interval of time;

6. The person authorised shall comply with the provisions outlined in the Central Pollution Control Board guidelines on “Implementing Liabilities for Environmental Damages due to Handling and Disposal of Hazardous Waste and Penalty”

7. It is the duty of the authorised person to take prior permission of the State Pollution Control Board to close down the facility.

8. The imported hazardous and other wastes shall be fully insured for transit as well as for any accidental occurrence and its clean-up operation.

9. The record of consumption and fate of the imported hazardous and other wastes shall be maintained.

10. The hazardous and other waste which gets generated during recycling or reuse or recovery or pre-processing or utilisation of imported hazardous or other wastes shall be treated and disposed of as per specific conditions of authorisation.

11. The importer or exporter shall bear the cost of import or export and mitigation of damages if any.

12. An application for the renewal of an authorisation shall be made as laid down under these Rules. 13. Any other conditions for compliance as per the Guidelines issued by the Ministry of Environment, Forest and Climate Change or Central Pollution Control Board from time to time.

14. Annual return shall be filed by June 30th for the period ensuring 31st March of the year.

B. Specific conditions:

Date:

Signature of Issuing Authority  
Designation and Seal

**FORM 3**

[See rules 6(5), 13(7), 14(6), 16(5) and 20 (1)]

**FORMAT FOR MAINTAINING RECORDS OF HAZARDOUS AND OTHER WASTES**

1. Name and address of the facility :
2. Date of issuance of authorisation and its reference number :
3. Description of hazardous and other wastes handled (Generated or Received)

<b>Date</b>	<b>Type of waste with category as per Schedules I, II and III of these rules</b>	<b>Total quantity (Metric Tonnes)</b>	<b>Method of Storage</b>	<b>Destined to or received from</b>

*\* Fill up above table separately for indigenous and imported waste.*

4. Date wise description of management of hazardous and other wastes including products sent and to whom in case of recyclers or pre-processor or utiliser:
5. Date of environmental monitoring (as per authorisation or guidelines of Central Pollution Control Board):

**Signature of occupier**

**Date**.....

**Place**.....

## **FORM 4**

*[See rules 6(5), 13(8), 16(6) and 20 (2)]*

### **FORM FOR FILING ANNUAL RETURNS**

[To be submitted to State Pollution Control Board by 30<sup>th</sup> day of June of every year for the preceding period April to March]

1. Name and address of facility:
2. Authorisation No. and Date of issue:
3. Name of the authorised person and full address with telephone, fax number and e-mail:
4. Production during the year (product wise), wherever applicable

#### **Part A. To be filled by hazardous waste generators**

1. Total quantity of waste generated category wise
2. Quantity dispatched
  - (i) to disposal facility
  - (ii) to recycler or co-processors or pre-processor
  - (iii) others
3. Quantity utilised in-house, if any –
4. Quantity in storage at the end of the year –

#### **Part B. To be filled by Treatment, storage and disposal facility operators**

1. Total quantity received -
2. Quantity in stock at the beginning of the year -
3. Quantity treated –
4. Quantity disposed in landfills as such and after treatment –
5. Quantity incinerated (if applicable) -
6. Quantity processed other than specified above -
7. Quantity in storage at the end of the year –

#### **Part C. To be filled by recyclers or co-processors or other users**

1. Quantity of waste received during the year –
  - (i) domestic sources
  - (ii) imported (if applicable)
2. Quantity in stock at the beginning of the year -
3. Quantity recycled or co-processed or used –
4. Quantity of products dispatched (wherever applicable) –
5. Quantity of waste generated -
6. Quantity of waste disposed -
7. Quantity re-exported (wherever applicable)-

8. Quantity in storage at the end of the year –

**Signature of the Occupier or  
Operator of the disposal facility**

**Date**.....

**Place**.....

**FORM 5**  
[ See rules 13 (1) and 14 (1)]

**APPLICATION FOR IMPORT OR EXPORT OF HAZARDOUS AND OTHER WASTE  
FOR REUSE OR RECYCLING OR RECOVERY OR CO-PROCESSING OR UTILISATION**

**TO BE FILLED IN BY APPLICANT**

S. No.	Description	Details to be furnished by the importer or exporter
(1)	(2)	(3)
1.	Importer or Exporter (name and address) in India	
	Contact person	
	Tel, fax and e-mail	
	Facility location/address	
	Reason for import or export	
2.	Importer or exporter (name and address) outside of India	
3.	Details of waste to be imported or exported	
	a) Quantity b) Basel No. c) Single/multiple movement d) Chemical composition of waste (attach details), where applicable e) Physical characteristics f) Special handling requirements, if applicable	
4.	For Schedule III A hazardous waste whether Prior Informed Consent has been obtained	
5.	<b>For importer</b> (a) Process details along with environmental safeguard measures (attach separate sheet) (b) Capacity of recycling or co-processing or recovery or utilization <b>Enclose a copy each of valid authorisation and valid consent to operate from SPCB</b>	

6.	Details of import against the Ministry of Environment, Forest and Climate Change permission in the previous three years	
7.	Port of entry	

9. Undertaking :

I hereby solemnly undertake that:

- (i) The information is complete and correct to the best of my knowledge and legally enforceable written contractual obligations have been entered into and that my applicable insurance or other financial guarantees are or shall be in force covering the transboundary movement.
- (ii) The waste permitted shall be fully insured for transit as well as for any accidental occurrence and its clean-up operation
- (iii) The record of consumption and fate of the imported waste shall be recorded and report sent to the SPCB every quarter.
- (iv) The hazardous or other waste which gets generated in our premises by the use of imported hazardous or other wastes in the form of raw material shall be treated and disposed of as per conditions of authorisation.
- (v) I agree to bear the cost of export and mitigation of damages if any.
- (vi) I am aware that there are significant penalties for submitting a false certificate/ undertaking/ disobedience of the rules and lawful orders including the possibility of fine and imprisonment.
- (vii) The exported wastes shall be taken back, if it is not acceptable to the importer

**Signature of the Applicant  
Designation**

**Date**.....  
**Place**.....

**FORM – 6**  
*[See rules 13(2), 13 (10) and 14 (5)]*  
**TRANSBOUNDARY MOVEMENT- MOVEMENT DOCUMENT**

S. No.	Description	Details to be furnished by the exporter or importer
(1)	(2)	(3)
1.	Exporter (Name and Address) Contact Person Tele, Fax and email	
2.	Generator(s) of the waste (Name and Address) <sub>1</sub> Contact Person Tele, Fax and email	
	Site of generation	
3.	Importer or Actual user (Name and Address) Contact person Tele, Fax and email	
4.	Importer or Actual user (Name and Address) Contact person Tele, Fax and email	
	Details of actual user (Name, Address, Telephone and email)	
5.	Corresponding to applicant Ref. No., If any	
6.	Bill of lading (attach copy)	
7.	Country of import/export	
8.	General description of waste	
	(a) Quantity (b) Physical characteristics (c) Chemical composition of waste (attach details), where applicable (d) Basel No. (e) UN Shipping name (f) UN Class (g) UN No (h) H Number (i) Y Number (j) ITC (HS) (k) Customs Code (H.S.)  (l) Other (specify	
9.	Type of packages	
	Number	
10.	Special handling requirements including emergency provision in case of accidents	
11.	Movement subject to single/multiple consignment	
	In case of multiple movement- (a) Expected dates of each shipment or expected	

	frequency of the shipments (b) Estimated total quantity and quantities for each individual shipment	
<b>12.</b>	Transporter of waste (Name and Address) <sub>1</sub> Contact Person Tele, Fax and email Registration number	
	Means of transport (road, rail, inland waterway, sea, air) <sub>2</sub>	
	Date of Transfer	
	Signature of Carrier's representative	
<b>13.</b>	<b>Exporter's declaration for hazardous and other waste:</b>	
	I certify that the information in Sl. Nos. 1 to 12 above are complete and correct to my best knowledge. I also certify that legally-enforceable written contractual obligations have been entered into and are in force covering the transboundary movement regulations/rules. Date:..... Signature:..... Name:.....	
	<b>TO BE COMPLETED BY IMPORTER (ACTUAL USER OR TRADER)</b>	
<b>14.</b>	Shipment received by importer/ actual user/trader <sub>2/3</sub>	
	Quantity received.....Kg/litres Date: Name: Signature:	
<b>15.</b>	Methods of recovery	
	R code*	
	Technology employed (Attached details if necessary)	
<b>16.</b>	I certify that nothing other than declared goods covered as per these rules is intended to be imported in the above referred consignment and will be recycled /utilized. Signature: Date:	
	SPECIFIC CONDITIONS ON CONSENTING TO THE MOVEMENT if applicable	(attach details)
	<b>Notes:-</b> (1) Attach list, if more than one; (2) Select appropriate option; (3) Immediately contact competent authority in case of any emergency; (4) If more than one transporter carriers, attach information as required in SL. No. 12.	

## List of abbreviations used in the Movement Document

### Recovery Operations (\*)

**R1** Use as a fuel (other than in direct incineration) or other means to generate energy.

**R2** Solvent reclamation/regeneration

**R3** Recycling/reclamation of organic substances which are not used as solvents.

**R4** Recycling/reclamation of metals and metal compounds.

**R5** Recycling/reclamation of other inorganic materials.

**R6** Regeneration of acids or bases.

**R7** Recovery of components used for pollution abatement.

**R8** Recovery of components from catalysts.

**R9** Used oil re-refining or other reuses of previously used oil.

**R10** Land treatment resulting in benefit to agriculture or ecological improvement

**R11** Uses of residual materials obtained from any of the operations numbered R 1 to R 10

**Date:**

**Signature:**

**Place:**

**Designation**

**FORM 7**  
[See rule 13 (2) (c)]

**APPLICATION FORM FOR ONE TIME AUTHORISATION OF TRADERS FOR PART- D  
OF SCHEDULE III, WASTE**

[To be submitted by trader to the State Pollution Control Board]

1	Name and address of trader with Telephone, Fax Number and e-mail	:	
2	TIN/VAT Number/Import/ Export Code	:	
3	Description and quantity of other waste to be imported	:	
4	Details of storage, if any	:	
5	Names and address of authorised actual user (s)	:	

**Signature of the authorised person**

**Date:**

**Place:**

**FORM 8**

[See rules 17 (1) and 18 (2)]

**LABELLING OF CONTAINERS OF HAZARDOUS AND OTHER WASTE**

Handle with care

Waste category and characteristics as per Part C of Schedules II and III of these rules .....	
Total quantity .....	Date of storage
Physical State of the waste (Solid/Semi-solid/Liquid):	
Sender's name and address	Receiver's name and address
Phone.....	Phone.....
E-mail.....	E-mail.....
Tel. and Fax No.....	Tel. and Fax No.....
Contact person.....	Contact person.....
In case of emergency please Contact .....	

**Note:**

1. Background colour of label - fluorescent yellow.
2. The word, 'HAZARDOUS WASTES' and 'HANDLE WITH CARE' to be prominent and written in red, in Hindi, English and in vernacular language.
3. The word 'OTHER WASTES' to be written prominently in orange, in Hindi, English and in vernacular language.
4. Label should be of non-washable material and weather proof.

**FORM 9**  
*[See rule 18 (2)]*

**TRANSPORT EMERGENCY (TREM) CARD**

[To be carried by the transporter during transportation of hazardous and other wastes,  
provided by the sender of waste]

1. Characteristics of hazardous and other wastes

<b>S. No</b>	<b>Type of waste</b>	<b>Physical properties/</b>	<b>Chemical constituents</b>	<b>Exposure hazards</b>	<b>First Aid requirements</b>

2. Procedure to be followed in case of fire :

3. Procedure to be followed in case of spillage/accident/explosion :

4. For expert services, please contact :

(i) Name and Address :

(ii) Telephone No. :

*(Name, contact number and signature of sender)*

**Date**.....

**Place**.....





**FORM 11**  
*[See rule 22]*  
**FORMAT FOR REPORTING ACCIDENT**

[To be submitted by the facility or sender or receiver or transporter to the State Pollution Control Board]

1. The date and time of the accident
2. Sequence of events leading to accident
3. Details of hazardous and other wastes involved in accident
4. The date for assessing the effects of the accident on health or the Environment
5. The emergency measures taken
6. The steps taken to alleviate the effects of accidents
7. The steps take to prevent the recurrence of such an accident

**Date:**

**Signature:**

**Place:**

**Designation:**

**FORM 12**  
*[See rule 24 (1)]*  
**APPLICATION FOR FILING APPEAL**  
**AGAINST THE ORDER PASSED BY STATE POLLUTION CONTROL BOARD**

1. Name and address of the person making the appeal :
2. Number, date of order and address of the authority which passed the order, against which appeal is being made : (certified copy of the order be attached)
3. Ground on which the appeal is being made :
4. Relief sought for :
5. List of enclosures other than the order referred in point 2 against which the appeal is being filed. :

**Signature.....**  
**Name and address.....**

**Date:**

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[23-16/2009- HSMD]  
(Bishwanath Sinha)  
Joint Secretary to Government of India