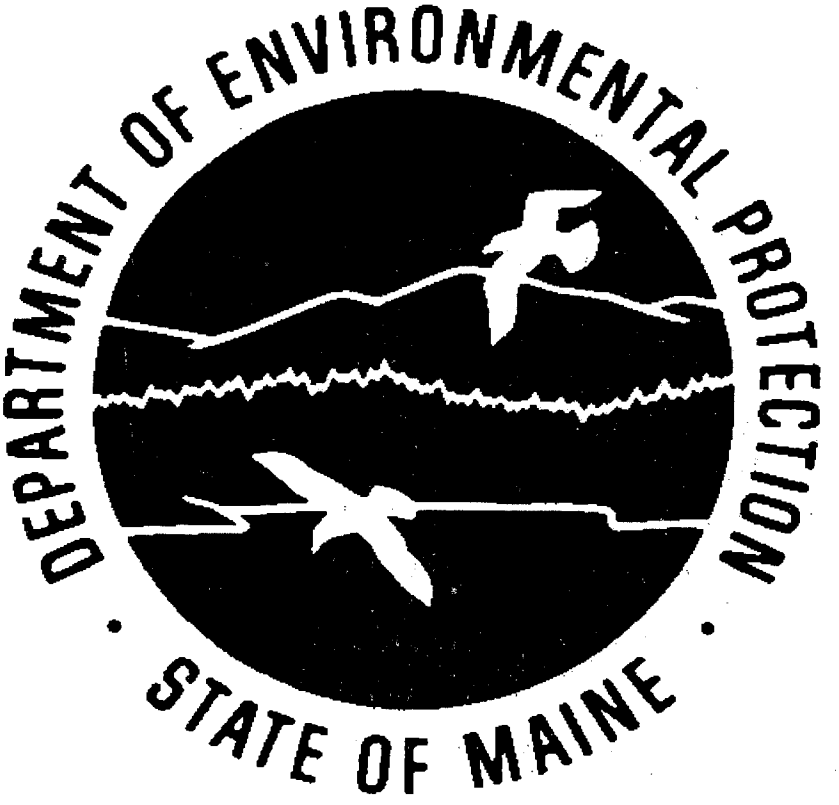
UNIVERSAL WASTE



HANDBOOK

January 2004

Contents

Introduction to Universal Waste

What is Universal Waste?

A universal waste is a hazardous waste that is widely generated. Individuals and small businesses that do not typically generate other hazardous waste generate these wastes. Very often, universal wastes end up in local landfills and town dumps.

In an attempt to encourage recycling and reduce the amount of these wastes that are disposed of in an inappropriate manner, the State of Maine amended the Hazardous Waste Management Rules* to include a category called Universal Wastes.

With these new rules, the State regulates as universal wastes:

a. Batteries, because they contain heavy metals, such as lead, cadmium and mercury.

b. Cathode ray tubes, because of the high lead content in these items.

c. Certain lamps, because they contain mercury and/or lead.

d. Mercury devices, because of the mercury.

e. Mercury thermostats, because of the mercury ampule.

f. Motor vehicle mercury switches, because of the mercury.

g. Totally enclosed, non leaking, polychlorinated biphenyl (PCB) ballasts, because PCBs are suspected to cause cancer in humans and can bioaccumulate in fish and other foods.

Purpose of Handbook

The purpose of this handbook is to provide information to those individuals, businesses, industries, and institutions that may be generators of universal waste; and to inform them of their responsibilities for proper universal waste management.

This handbook will help you to determine:

- if you generate universal waste
- if your wastes are regulated under Maine law
- if you are a large or a small universal waste generator
- what type of universal waste facility you are
- how to manage your universal waste
- how to ship your universal waste

***If you would like a copy of the "Hazardous Waste Management Rules" please call (207) 287-2651, or make a written request to:**

The Department of Environmental Protection
Bureau of Remediation and Waste Management
17 State House Station
Augusta, Maine 04333-0017

This handbook is only a guide and does not incorporate all parts of the Universal Waste Regulations nor does it take the place of the actual regulations. Please refer to the Hazardous Waste Management Rules for the complete requirements or refer to the excerpts contained in Appendix F of this handbook.

Why Regulate and Recycle Universal Wastes?

The universal wastes that are the subject of this handbook would until recently have been viewed by many as products that could be thrown in the trash. These wastes contain hazardous constituents and would fail hazardous waste criteria if they were tested. For example most of these wastes contain heavy metals. These wastes when broken or incinerated release the metals to the environment through either fugitive emissions or from incinerator stacks. Children are particularly vulnerable to these heavy metals. The release of mercury from mercury products such as lamps, thermostats, and thermometers contributes to the mercury load in Maine's environment. Polychlorinated biphenyls and mercury are both bioaccumulative and show up in our food supply. Bioaccumulative is a term used to define the tendency of certain contaminants to magnify in the food chain, for example from smaller fish to larger fish. Older fish and fish that eat other fish (like pickerel and bass) have the highest levels of these bioaccumulative contaminants.

The Maine Department of Environmental Protection (ME DEP) is particularly concerned with mercury releases. In 1991 studies began to investigate why Maine's bald eagles are reproducing much more slowly than those in other parts of the United States are. The studies revealed that nesting eaglets exhibited some of the highest concentrations of mercury ever reported in literature.

In 1993 the ME DEP initiated a study to measure levels of contamination in fish in Maine's lakes and ponds. The initial results from the study indicated widespread mercury levels in fish above the state level of concern.

In May 1994 the Maine Department of Human Services issued a health advisory based on the high levels of mercury found in freshwater fish throughout the State. This advisory was later revised on August 29, 2000. It warns pregnant women, nursing mothers, women who may become pregnant and children younger than 8 years old not to eat any fish from lakes and ponds in the state. The one exception is for brook trout and landlocked salmon where there is a limit of one meal per week. The advisory further directs all other adults and children 8 and over to eat no more than two fish meals from Maine lakes and ponds per month. These individuals may eat no more than one meal per week of brook trout and landlocked salmon. For more details on the fish advisory visit the Maine Bureau of Health website at www.maine.gov/dhs/bohetp/fca.htm or call them at (207) 287-6455.

The releases from universal wastes are only one component of the contaminant problem described above. It has taken decades for these contaminant levels to develop and will take decades to improve. But if you do your part by managing your universal waste properly, you can help improve the Maine contaminant level. Hopefully some day the fish will be safe to eat again. Thank you for your help.

Who generates universal waste and how?

Universal waste can be generated by individuals, businesses, and hospitals... by almost anyone. Universal wastes are certain batteries, cathode ray tubes, certain lamps, mercury devices, mercury thermostats, motor vehicle mercury switches and PCB ballasts. The following list contains some common examples of activities that generate universal waste:

- Replacing certain types of batteries, including those used in cordless and cellular telephones, hearing aids and watches.
- Replacing computer monitors and television sets.
- Replacing mercury thermometers.
- Building repair and remodeling, when a mercury thermostat is replaced.
- Replacing fluorescent light bulbs that contain mercury and/or lead.
- Replacing PCB ballasts during an energy conversion of a building's lamps.
- Removing mercury switches from motor vehicles.

NOTE: The use of fluorescent lamps conserves energy, reduces power plant emissions, and is environmentally beneficial overall. However, these lamps contain mercury and/or lead and must be managed responsibly and recycled after their useful life.

Types of Universal Waste Generators

Large Universal Waste Generator (LUWG):

A LUWG generates or accumulates **more than 200** items of universal waste or 4,000 motor vehicle switches at any one time or in any given month.

A LUWG **needs either an EPA identification number** or in certain circumstances a state number. (for information on how to obtain the necessary number see pages 8 and 9).

Small Universal Waste Generator (SUWG):

A SUWG generates and accumulates on site, **200 or less** universal waste items or 4,000 or less motor vehicle switches at a time or in any given month. This number can be calculated by counting all individual items of any type of universal waste. For example:

> **50** Ni-Cd batteries ***plus*** **100** mercury lamps ***plus*** **25** cathode ray tubes ***plus*** **25** mercury thermostats ***equals*** **200** items of universal waste.

A SUWG does not need to obtain an identification number, or conduct and document weekly inspections. (see page 8).

Households:

Household waste is any waste material, which is derived from households such as from single family residences. Households are currently exempt from the universal waste rules, however the Department strongly encourages the recycling of household universal waste. Beginning on January 1, 2005, household waste that contains mercury must be managed as a universal waste. Household universal waste once mingled with generator universal waste loses this exemption and becomes subject to the universal waste rules. Households may self-transport their universal waste to participating transfer stations or recycling centers in their communities.

Types of Universal Waste Facilities

There are **three** types of universal waste facilities. They are distinct in their purpose and have different regulations applying to them. Their definitions and any special provisions are as follows:

Central Accumulation Facility:

There are three types of central accumulation facilities. First, a central accumulation facility can be a facility where a **generator consolidates it's own universal wastes** from the generators' various facilities. Second, it can also be a **licensed solid waste transfer station or town recycling center**** where generators may take their universal waste if agreed to by the host municipality. Third, it can be a facility where less than 200 universal waste items are collected from a generator's site for whom the **facility provides a service function**. Examples of this third category can be electrical contractors, cleaning companies or sign service companies. Central Accumulation facilities **need an EPA identification number** if they handle **more than 5000 kg** of universal waste. If the facility handles **less than 5000 kg** of universal waste, it does not need an EPA ID Number but **it must notify the** Department on the **waste notification form** provided **in Appendix C.** With the exception of motor vehicle mercury switches, for the types of waste currently classified as a universal waste, it is unlikely that a Central Accumulation Facility will exceed 5,000 kg (approximately 11,000 pounds) of universal waste.

Consolidation Facility:

A consolidation facility is a facility that collects and temporarily stores universal waste received from central accumulation facilities and/or generators, while awaiting shipment to a Recycling Facility. This type of facility **needs an EPA identification number** (for information on how to obtain this number see page 9).

Recycling Facilities:

A facility where universal wastes are **dismantled** and their hazardous components are recovered, reclaimed, and separated for reuse. This type of facility must be licensed and meet the requirements of Chapter 854 and 856 of the Hazardous Waste Management Rules or be authorized by the State where it is located.

A flow chart showing the proper flow of universal waste from generator through Recycling Facility is located in Appendix G.

A Recycling Center is a facility that is **owned by the city or town or is a publicly contracted facility. This type of facility receives, for accumulation, pre-separated and uncontaminated, paper, cardboard, glass, plastic, metal, and universal wastes. Unlike a Universal Waste Recycling Facility, a publicly owned or contracted Recycling Center does not dismantle items in an attempt to reclaim or separate universal waste.

Universal Waste Requirements
GENERAL

A summary of universal waste management requirements for generators and facilities are listed below. Where needed the applicable regulations, rules or statutes are referenced.

1. Determination: Generators should determine if their wastes are hazardous waste and/or universal waste. **For guidance on determining a hazardous waste see Chapter 850, Section 3A.**

   Universal waste include the following items:
   a. Batteries, including Nickel Cadmium, Metal Hydride, small sealed lead acid, Lithium, Mercuric Oxide, Zinc Air and Silver Oxide button batteries.
      Vehicle batteries are NOT considered universal waste; these batteries should be managed through the battery deposit system or if leaking or not intact they should be treated as a regular hazardous waste.
   b. Cathode ray tubes, including video display components of televisions, computer monitors, and other display devices.
   c. Certain lamps containing mercury or lead, including fluorescent, high intensity discharge, neon, mercury vapor, high-pressure sodium, and metal halide bulbs.
   d. Mercury devices including mercury thermometers, sphygmomanometers, and non motor vehicle mercury switches.
   e. Mercury thermostats including temperature control devices, which contain mercury.
   f. Motor vehicle mercury switches, including hood and truck light switches and ABS switches.
   g. Totally enclosed non-leaking polychlorinated biphenyl (PCB) ballasts.

   The battery types listed above may be managed in accordance with the Universal Waste rules described in this handbook, the labeling, tracking, and storage requirements of 40 CFR 273 as revised July 1, 2001, or in accordance with a Department sanctioned manufacturer take back program.

   All mercury-containing lamps must be managed as universal waste regardless of the amount of mercury in the lamp.

2. Prohibitions: Generators, owners or operators of any central accumulation or consolidation facility and transporters of universal waste are prohibited from conducting the following activities:

   a. Disposing, diluting, or treating universal waste. **The intentional breaking of cathode ray tubes or lamps is considered a form of treatment and may only be conducted at an authorized or licensed recycling facility.**

   b. Sending or transporting a universal waste to any facility other than a central accumulation facility, consolidation facility for universal waste, or a recycling facility for universal waste (See Chapter 850, Section 3A(13)(c)(ii)). Exception: Ballasts and residues from mercury spill kits may be sent to an approved hazardous waste disposal or treatment facility.

Universal Waste Requirements
STORAGE

Generators, owners or operators of any central accumulation or consolidation facility and transporters of universal waste must comply with the requirements for the storage of universal waste in accordance with Chapter 850, Section 3A (13) of the Rules. These provisions are summarized below:

1. Universal waste must be stored in a secured area, which can be **locked** when not in use.

2. Universal waste storage areas must be designated by a clearly marked sign, which states "Universal Hazardous Waste Storage" **or** the type of waste being stored there, i.e. "Waste Cathode Ray Tube Storage", "Waste Lamp Storage", "Waste Mercury Device Storage", "Waste Mercury Thermostat Storage", "Waste Motor Vehicle Switch Storage", "Waste PCB Ballast Storage".

3. Store all universal waste in containers.
    a. The containers must not show evidence of leakage, spillage or damage that could cause leakage under reasonably foreseeable conditions.
    b. The containers **must be closed,** structurally sound and compatible with the waste.

4. Each container must be labeled with the date you first put universal waste in it. (This date is called the accumulation start date) **and** the date the container becomes full, if you wish to store universal wastes for more than 365 days. (See #6 below.)

5. Universal waste containers should be marked with the type of waste they contain, i.e. "Waste Cathode Ray Tubes", "Waste Lamps", "Waste Mercury Devices", "Waste Mercury Thermostats", "Waste Motor Vehicle Switches", "Waste PCB Ballasts".

6. A generator **cannot** store universal waste for more than **365** days from the date the waste is ***first placed*** in the container. However, there is an exception, which allows additional storage time where it is needed to fill a container of waste no larger than the following container sizes and the container is shipped **no more than 90 days** from the date the container is filled*:
    a. Batteries: A container no larger than 30 gallons.
    b. Cathode Ray Tubes: One gaylord container, usually 24 CRTs will fit in one gaylord.
    c. Lamps: A container designed for no more than 190 lamps.
    d. Mercury Thermostats: A container no larger than 30 gallons.
    e. Mercury Devices: A container no larger than 55 gallons.
    f. Motor Vehicle Mercury Switches: A container no larger than 5 gallons.
    g. PCB Ballasts: A container no larger than 30 gallons.

    *Motor vehicle mercury switches must be shipped off at least every three years from when waste is first placed in the container regardless of whether the 5 gallon container is filled.

7. Universal waste must be stored so they **are not exposed** to the weather.

8. Universal waste must be packed in containers with packing materials adequate to prevent breakage during storage, handling and transportation. The use of sectional or egg carton type of packing materials is suggested. The type and amount of packing materials should be adequate to prevent breakage during normal handling and shipping. Certain universal wastes are more fragile than others and will require more care in this regard. Other universal wastes are less fragile such as metal motor vehicle switches and

are unlikely to break if placed in a container without packing material. A few motor vehicle switches are made of glass and do need packing material to protect them from breakage.

9. **Full** Universal waste containers must be sealed securely around box openings. **Any** universal waste containers must immediately be **sealed** if incidental breakage occurs. This is an extremely important provision to prevent any broken items from escaping the container, exposing the workers and contaminating the storage area and transportation vehicle. Wide tape with good adhesive properties and that is waterproof is a good choice for boxes. Duct tape often comes loose with time and is not a good choice for most situations.

10. Boxes of universal waste must not be stacked more than 5 feet high. This prevents crushing of items stored in boxes in the lower levels.

11. Universal waste storage areas must be inspected **weekly** and the inspection documented in a **written inspection log** (see Appendix A).
    The log must include the following items:

    a. Name of the inspector.
    b. Date of the inspection.
    c. Condition of all waste containers.
    d. Description of any problem noted during the inspection and action taken to fix it.
    e. Number and type of universal waste on site. (This item may be located somewhere other than the log.)

    Small Universal Waste Generators are not required to meet the above weekly inspection requirements except for keeping track of the number and type of universal waste items on site. However, it is recommended that an inspection be conducted whenever waste is added to the universal waste area to reduce the potential for contamination or exposure to universal waste.

12. Universal waste containers must be stored to facilitate inspection of the container. The inspector shall be able to determine the accumulation start date, container full date, and the container's condition.

13. All releases of waste and residues resulting from spills or leaks of universal waste must, immediately, be contained and transferred into a container that meets the requirements of the Maine Hazardous Waste Management Rules.
    Incidental breakage of ten (10) or fewer lamps or CRTs may still be handled as universal waste. Spills resulting from other than incidental breakage must be handled as hazardous waste in accordance with Chapter 850, Section 3A(13)(e)(viii). The total amount of broken lamps and CRTs in storage may exceed ten (10) items provided no breakage event exceeds the incidental limits. Incidental breakage should however be a rare occasion. If frequent breakage is occurring, the generator, facility and transporter should review their handling procedures and packing materials to ensure that they are adequate for the job.

    See Appendix B for a suggested spill clean up plan that the Department developed for use by small universal waste generators.

14. Generators that accumulate more than 200 items of universal waste or more than 4,000 motor vehicle mercury switches at any one time or in any given month, must notify the Maine Department of Environmental Protection of the handling of universal waste and must obtain either an EPA Identification Number or a State Identification Number.

If the generation rate or accumulation of Universal Waste exceeds 40 tons of CRTs or 5000 Kg (11,000 pounds) of all other types, then an EPA Identification Number must be obtained. This requirement is intended as a registration provision and does not make other sections of the Hazardous Waste Management Rules applicable unless they are otherwise applicable. Any facility that already has an EPA Identification Number for hazardous waste activities should use that same number for universal wastes, regardless of generation rate.

An EPA Identification Number may be obtained by submitting EPA Notification form 8700-12 to:

Maine Department of Environmental Protection
Bureau of Remediation and Waste Management
Division of Oil and Hazardous Waste Facilities Regulation
17 State House Station
Augusta, Maine 04333-0017

A link to this form can be found at the Department's website:

http://www.maine.gov/dep/rwm/hazardouswaste.htm

A State Identification Number may be obtained by completing the State Universal Waste Notification Form found in Appendix C of this Handbook. This form should be submitted to the address above.

In addition to above General and Storage provisions of the rules, Central Accumulation and Consolidation facilities must also:

1. Mark each container with the date a full container of universal waste arrives at the facility or if waste are being added to an existing box, the date that the first item of waste was put in the box.

2. Maintain an inventory system that identifies the date and manifest or Uniform Bill of Lading number for each container or group of containers that is received at or shipped from the facility.

Universal Waste Requirements
CLOSURE

When a central accumulation or consolidation facility no longer handles universal wastes at a site, the owner operator must conduct closure in accordance with Chapter 851, Section 11. The intent of this provision is to ensure the site is free of hazardous waste contamination.

Universal Waste Requirements
TRAINING

Generators, owners or operators of any central accumulation or consolidation facility and transporters of universal waste must comply with the following requirements for training:

1. Train all employees and contractors who handle or have responsibility for managing universal waste on proper handling and emergency procedures. *

2. Documentation of the training must be maintained at the facility** for a minimum of three years from the date the facility first receives or ships universal waste, or for the length of employment, whichever is longer. This documentation must include the name of the employee or contractor receiving the training, the date of the training, and the information covered during the training.

*Training may be provided by any qualified individual such as the generator, central accumulation or consolidation facility personnel, the State DEP or a private consultant.

****Instate small universal waste generators and instate central accumulation facilities** may have their training records maintained by the **instate** consolidator provided the **instate** consolidator meets the above requirements.

Universal Waste Requirements
SHIPPING

Generators, owners or operators of any central accumulation or consolidation facility and transporters of universal waste must comply with the requirements for the shipping of universal waste as follows:

1. The universal waste must be whole, intact, and unbroken.

2. The universal waste must be in proper packaging that includes closed containers that are compatible with the type and amount of universal waste being shipped. Packages must also meet the U.S. Department of Transportation standards in 49 CFR 171-180.

3. A Recyclable Hazardous Material Uniform Bill of Lading (Appendix H) or Uniform Hazardous Waste Manifest must accompany the universal waste. Copies of these documents must be submitted to the Department. The Department on a case by case basis may approve alternative shipping documents for use. Appendix I and J contain information helpful in completing the Recyclable Hazardous Material Uniform Bill of Lading.

Instead of a manifest or bill of lading, a **Small Universal Waste Generator** and a **Central Accumulation Facility** may use a **log system** of tracking (see Appendix D, parts 1 and 2, page 25 and 26). This is allowed for movement of universal waste: **(1)** from the generator to the central accumulation facility and **(2)** from the central accumulation facility to the consolidation facility. The consolidation facility must utilize either a UBOL or manifest for movements of these wastes from the consolidation facility to the recycling facility. The log system of tracking is allowed as long as the following requirements are met:

a. For a Small Universal Waste Generator:
   i. The waste is sent to an **instate** central accumulation or **instate** consolidation facility.
   ii. The required information must be recorded on the log sheet upon arrival at the central accumulation facility.
   iii. The consolidation facility must submit the required **quarterly** universal waste report (see Appendix D, page 21) to the Department on time. *

b. For Central Accumulation Facilities:
   i. The waste is sent to an **instate** consolidation facility.
   ii. The universal waste information is recorded on the log sheet.
   iii. The log sheet accompanies the waste to the **instate** consolidation facility.
   iv. The consolidator submits the **quarterly** universal waste report (see Appendix D) to the Department on time. *

c. The **log sheet** completed by the small universal waste generator and the central accumulation facility must contain the following information:
   i. Name, address and telephone number of the generator. (If from a household enter "Household Generator" instead of name, address and telephone number.)
   ii. Date of delivery to facility.
   iii. Type and quantity of universal waste.

d. For a Consolidation Facility that is receiving universal waste on a log system of tracking:
   i. The waste is sent to a recycling facility, except for ballasts and mercury spill kits
   ii. The log sheets are accurate and complete.
   iii. A **quarterly** universal waste report (see Appendix D or Appendix K for a sample form available on the Department's website) is submitted to the Department for all universal wastes received during that quarter. Quarters are calendar year quarters (i.e.: January -March, April - June, July - September, October - December). The quarterly reports are due within 30 days of the end of the quarter.

***Note: an arrangement must be made with the consolidation facility before collection begins to ensure that the consolidation facility will carry through on this requirement.**

If shipping universal waste out of or into the country, shippers must meet the export and import requirements contained in Chapter 857, Section 7D.

Not all states recognize Maine's universal wastes as universal wastes in their states. Certain states may require PCB ballasts and/or certain other Maine universal wastes to be transported on a hazardous waste manifest rather than a UBOL. Consult with your transporter or designated facility to see if this applies.

For example; When shipping PCB Ballasts to a recycling facility in Massachusetts they must be shipped on a hazardous waste manifest. PCB Ballasts are currently a state regulated hazardous waste in Massachusetts and will need to be identified with the State Waste Code of MA02 as well as the Maine Universal Waste Code of MRM002

Universal Waste Requirements
CERTIFICATE OF RECYCLING

Generators should receive a **Certificate of Recycling** from the recycling facility for each shipment of universal wastes except as noted below**.

The **Certificate of Recycling** shall be dated and signed by the recycling facility confirming that all hazardous waste components of the universal waste have been recycled, used, reused or reclaimed within thirty-five (35) days of receipt.

The **certificate** shall contain at least the following information:

- Name, address and phone number of the generator and the recycling facility;
- Date the universal waste was received at the recycling facility;
- Date the universal waste was recycled;
- Quantity of universal waste recycled;
- The tracking number of the document used to ship the universal waste to the recycling facility and;
- The following statement:

  "I certify that all parts of the hazardous material referenced in the above shipping document including the mercury and lead have been recycled, i.e. used, reused or reclaimed as defined in Chapter 856 Section 11A(5)."

RECORD RETENTION

Generators, owners or operators of any central accumulation or consolidation facility must retain the following documents and paperwork at the facility:

a. **Inspection logs** must be kept for **one (1) year** from the date of shipment or receipt of universal waste.

b. **Training documentation** must be kept for at least **three (3) years** from the date of shipment, receipt of universal waste or length of employment whichever is longer. **

c. **Bill of lading or manifest** must be kept for at least **three (3) years** from the date of shipment or receipt of universal waste.

d. **Certificate of Recycling** must be kept for at least **three (3) years** from the date of shipment of the universal waste except for shipments of ballasts or residues from mercury spill kits. **

****Instate small universal waste generators and instate central accumulation facilities** may have records (b) and (d) above maintained by the **instate** consolidator provided the **instate** consolidator meets the above requirements.

Universal Waste Requirements
TRANSPORTERS

Transporters of universal waste must meet the transporting requirements in accordance with Chapter 853, Section 11:

1. The following persons may transport universal waste:

   a. A licensed hazardous waste transporter.

   b. A common carrier.

   c. A universal waste generator transporting his or her own universal waste.

   d. An owner or operator of a central accumulation facility.

   e. An owner or operator of a consolidation facility.

2. Universal waste must be transported to a facility authorized to handle the waste under a state program and which is a defined universal waste facility and in accordance with the following guidance:

   Transporters **may only** ship universal waste from:

   a. A generator **to** a central accumulation facility, consolidation facility, or recycling facility.
   b. A central accumulation facility **to** a consolidation facility or recycling facility.
   c. A consolidation facility **to** recycling facility.

3. Transporters must meet all of the requirements of Chapter 853, Section 11, of the Hazardous Waste Management Rules, including the minimum $1,000,000 of liability insurance. **Note: Small quantity generators transporting their own universal waste and municipalities, state and federal governments are exempt from the insurance requirement.** These rules include provisions for having a spill kit, spill response plan, and for training drivers in the implementation of the plan.

Any person involved in the transportation of universal waste should consult Chapter 853, Section 11, before transporting universal wastes (see Appendix F).

Universal Waste Collection Programs
MANUFACTURER TAKEBACK PROGRAMS

Universal wastes do not need to be handled in accordance with the requirements described in this guidance document, if the waste is being handled under a Department sanctioned takeback program.

Currently there are three (3) Department sanctioned takeback programs operating in Maine:

1. The Thermostat Recycling Corporation takes back mercury thermostats through participating thermostat wholesalers. See http://www.maine.gov/dep/rwm/hgthermo.htm for more information on this program and the participating locations.

2. The Rechargeable Battery Recycling Corporation takes back Nickel Cadmium, Nickel Metal Hydride, Lithium Ion and small sealed lead acid rechargeable batteries. These items are collected at participating retail stores, businesses and governmental agencies. See http://www.maine.gov/dep/rwm/nicad.htm for more info on this program and a directory of participating locations.

3. The Automobile Manufacturers take back mercury switches from motor vehicles when they are dismantled. There are two separate programs, one for passenger vehicles including pickup trucks and one for medium and heavy-duty trucks.
   a. Passenger Vehicle Program. Automakers have hired Wesco to operate consolidation facilities in Bangor and Portland. Dismantlers of passenger cars and pick up trucks can take their mercury switches to one of these two Wesco locations along with their log sheets and receive a $1 bounty per switch.
   b. Medium and Heavy Truck Program. The Truck Manufacturers Association on behalf of their members operates the truck program. The White & Bradstreet facility in Augusta serves as the consolidation facility for this program. Dismantlers of medium and heavy-duty trucks can take their mercury switches along with their log sheets to the White & Bradstreet facility and receive a $1 bounty per switch.

Appendix A

WEEKLY CHECKLIST FOR UNIVERSAL WASTE STORAGE AREAS

DATE: _____ **TIME:** _____

INSPECTOR: _____

OBSERVATION	YES	NO
ARE ANY CONTAINERS OF WASTE OPEN?		
DO ALL CONTAINERS HAVE A UNIVERSAL WASTE LABEL?		
DO YOU HAVE ACCESS TO EACH CONTAINER AND CAN YOU READ THE LABEL?		
IS EACH CONTAINER MARKED WITH THE DATE ACCUMULATION BEGAN?		
ARE ANY OF THE ACCUMULATION START DATES OVER 365 DAYS OLD?		
IS THE FULL DATE MARKED ON ALL FULL CONTAINERS?		
IS THE FULL DATE MORE THAN 90 DAYS OLD?		
CONTAINERS SHIPPED OFF WITHIN 365 DAYS OF START DATE OR 90 DAYS FROM FULL DATE, WHICHEVER IS LONGER??		
ARE THE CONTAINERS IN GOOD CONDITION AND INTACT?		
WAS THE STORAGE AREA LOCKED WHEN YOU ARRIVED?		
WHAT IS THE TOTAL NUMBER OF UNIVERSAL WASTE ITEMS IN THE STORAGE AREA?		

PROBLEMS:

REFERRAL TO:	
FOLLOW UP:	
ALL PROBLEMS CORRECTED	(DATE) - -

Appendix B Small Universal Waste Generator Cleanup Plan

CAUTION!
Spills and releases of universal waste can be hazardous to your health.
If you do not feel confident with your ability to safely clean up a discharge of universal waste, it is recommended that you hire a professional environmental contractor to conduct the cleanup.

Reporting Requirements:

Report spills/discharges of universal wastes to the Department's spill hotline at:
1-800-452-4664. Exception, you **do not** need to report spills/discharges of the following:
Cathode ray tubes: Incidental spills/releases of ten (**10**) or fewer CRTs.
Lamps: Incidental spills/releases of ten (**10**) or fewer lamps.
All spills/discharges from batteries, mercury-containing thermostats, mercury devices, motor vehicle mercury switches and PCB ballasts must be reported immediately.

The following procedures can be used to clean up universal wastes:

- Always wear safety glasses and disposable rubber gloves when cleaning universal waste spills. All items (i.e. brooms, shovels, scoops, tape, gloves, sponges, rags...) used to clean up universal waste spills should be considered contaminated and must be decontaminated or treated as waste.
- Thoroughly wash your hands and face after cleaning up any universal waste spills.

For spills or releases that **do not** require reporting:

- place the broken universal waste item(s) in an appropriate container i.e. sealable plastic bag or sealable plastic or metal container;
- scoop or wipe up as much of the discharged material as possible and place the rags and any other clean-up equipment in the container;
- wipe the spill area thoroughly with a wet sponge. For **mercury lamps** it is recommended that you go over the area with masking tape to pick up small particles of mercury. Place sponge, tape, and/or rags in an appropriate container;
- seal the container(s) and store as universal waste.
- if the spill occurred on a carpet or other permeable surface it may be necessary to remove the flooring to prevent continued exposure to universal waste. This debris should be considered contaminated and treated as hazardous waste.

For spills or releases that **require** reporting:

- Follow the same instructions as above, except the waste must be managed as a hazardous waste instead of as a universal waste.

Small Universal Waste Generator Cleanup Plan (cont)

Special Precautions for Mercury Spills:

- **For All Mercury-Containing Spills:** When a mercury spill occurs, the immediate area should be blocked off to prevent any accidental tracking of the mercury. The heat should be reduced and cooling and ventilation increased in the spill area. There are clean up kits on the market that can be purchased if you are handling any mercury items. You may also put your own kit together.

- **Avoid skin contact with mercury or surfaces that have been contaminated with mercury and make sure to remove all jewelry that may come in contact with the mercury.**

- **Do not use a vacuum to clean up mercury or lead spills.**

  The use of a vacuum on a mercury or lead containing universal waste spill will cause mercury and lead dust to be dispersed into the air or will cause the liquid mercury to stick to the metal parts in the vacuum motor. This will allow the mercury and lead to be discharged every time the vacuum is used. This poses a serious health problem and should be avoided. In addition, the vacuum will have to be decontaminated or discarded due to mercury contamination.

  Special vacuums are available from environmental contractors that may be used on a mercury spill.

- **For Spills of Liquid Mercury**
  Due to the need for specialized equipment and testing of the contaminated area, it is recommended that a professional environmental contractor be hired for all liquid mercury spills

This spill clean up plan is offered as an aid for the smaller universal waste generators. Other generators may also utilize this plan if it is helpful to them.

Appendix C Universal Waste Notification Form

Maine Department of Environmental Protection
Bureau of Remediation and Waste Management, Division of OHWFR, 17 State House, Augusta, Maine 04333-0017

Type of Facility:

[ ] Large Universal Waste Generator (but less than 5000 kg accumulation)
[ ] Generator Owned Central Accumulation Facility
[ ] Small Service Central Accumulation Facility (less than 200 items)
Municipal/Regional: [ ] Recycling Center; [ ] Transfer Station

A. Facility Name:

_____

B. Facility Location:

_____
Street

_____
City/Town State Zip Code

C. Facility Mailing Address: ___ Same as above.

_____
Street

_____
City/Town State Zip Code

D. Contact Person:

_____/_____/_____-____-_____
Name Job Title Phone

E. Facility Owner: ___Same as Above

_____/_____-____-_____
Name Phone

_____
Street

_____
City State Zip Code

F. Waste Type: (check all that apply): [ ] (CR) Cathode Ray Tube; [ ] (PC) PCB Ballasts; [ ] (BT) Batteries; [ ] (H) Lamps; [ ] (TH) Mercury Thermostats; [ ] (MD) Mercury Devices (includes thermometers); [ ] (MS) Motor Vehicle Mercury Switches

G. 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 further certify that I handle less than 5000kg of universal waste at any one time. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.

H. Name and Official Title (Type or Print): _____
Signed:_____ **Date:**_____

Appendix D Quarterly Universal Waste Report
Instructions

This form is **for use by instate consolidators** that are taking universal waste via a log system of tracking from instate small universal waste generators and/or from instate central accumulation facilities. This form will take the place of individual shipment tracking documents for movement of waste to the instate consolidator's facility from these two types of facilities. All outgoing shipments from the consolidator's facility must be on either a UBOL or Hazardous Waste Manifest. **A consolidator may also want to consider using the alternative Quarterly Report Form contained in Appendix K.**

The quarterly waste report should be filled out according to the following guidance:

1. Complete Form A.

2. Identify all facilities that shipped universal waste to your facility during the reporting quarter.

3. Complete the appropriate Form B for each generator or C for each central accumulation facility identified in step 2.

4. Complete Form D for each facility form completed above.

5. If the generator or central accumulation facility shipped the universal waste using the **Log Form Parts 1 and 2** (see page 25 and 26), you may forward copies of these documents in lieu of Form D for the facility.

6. If a Transfer Station/Recycling Center Universal Waste Log Form is used (see page 27), the consolidator must complete Form B for each business listed on the Log.

7. The consolidator may list all universal waste from **"Household Generators"** on a single Form D. Form C shall be attached with the Transfer Station/Recycling Center information and submitted with the household information on Form D.

8. Submit all completed forms to:

Maine Department of Environmental Protection
Bureau of Remediation and Waste Management
Division of Oil and Hazardous Waste Facilities Regulation
17 State House Station
Augusta, Maine 04333-0017
Attn: Hazardous Waste Manifest Section

Quarterly Universal Waste Report

Form A

Report covers period: From: ____/____/_____ To: ____/____/_____

EPA ID ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___

Consolidation Facility Name:

_____

Consolidation Facility Location:

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Consolidation Facility Mailing Address: ___ **Same as above.**

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Contact Person:

_____

Name Job Title

Consolidation Facility Owner: ___**Same as Above**

_____

Name

_____

Street

_____

City State Zip Code

Quarterly Universal Waste Report

Form B

Report covers period: From: ____/____/_____ To: ____/____/_____

EPA ID ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___

Generator Name:

_____

Generator Location:

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Generator Mailing Address: **___ Same as above.**

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Contact Person:

_____

Name Job Title

Generator Facility Owner: **___Same as Above**

_____

Name

_____

Street

_____

City State Zip Code

Quarterly Universal Waste Report

Form C

Report covers period: From: ____/____/_____ To: ____/____/_____

Maine or EPA ID ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___

Central Accumulation Facility Name:

_____

Central Accumulation Facility Location:

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Central Accumulation Facility Mailing Address: ___ **Same as above.**

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Contact Person:

_____

Name Job Title

Central Accumulation Facility Owner: ___**Same as Above**

_____

Name

_____

Street

_____

City State Zip Code

Quarterly Universal Waste Report
Form D

Report covers period: From: ____/____/_____ To: ____/____/_____

Generator/Central Accumulation Facility Name: _____

Waste Type Code[1]	Lamp Size (2',4',8') or type (U tube)	Battery Type[3]	CRT Type[4]	# of UW Items[2]	Date Received	Comments
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						

[1] **Waste Type Codes:**
Battery = **BT**
Cathode Ray Tubes = **CR**
Lamps = **H**
Mercury-containing Thermostat = **TH**
PCB Ballast = **PC**
Mercury Device (including mercury thermometers) = **MD**
Motor Vehicle Mercury Switches = **MS**

[2] **# of Universal Waste Items:**
Total individual number of items, i.e.: individual lamps, CRTs, thermostats, batteries, PCB ballasts.

[3] **Battery Type:**
Lithium = Li, Mercuric Oxide = HgO, Nickel Cadmium = NiCd, Nickel Metal Hydride = NiMH, Silver Oxide = AgO

[4] **CRT Type:**
Computer or Television

Attach Form B and /or C as appropriate.

Universal Waste Log Form

Part 1

Maine or EPA ID ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___ ___

Generator/Central Accumulation Facility Name:

_____

Generator/ Central Accumulation Facility Location:

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Generating/ Central Accumulation Facility Mailing Address: ___ **Same as above.**

_____

Street

_____

Street (cont.)

_____

City/Town State Zip Code

Contact Person:

_____

Name Job Title

Generator/Central Accumulation Facility Owner: ___**Same as Above**

_____

Name

_____

Street

_____

City State Zip Code

Universal Waste Log Form
Part 2

Generator/Central Accumulation Facility Name:_____

Waste Type Code[1]	Lamp Size (2',4',8') or type (U tube)	Battery Type[3]	CRT Type[4]	# of UW Items[2]	Date Received	Comments
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						

[1] **Waste Type Codes:**
Battery = **BT**
Cathode Ray Tubes = **CR**
Lamps = **H**
Mercury-containing Thermostat = **TH**
PCB Ballast = **PC**
Mercury Devices (including mercury thermometers) = **MD**
Motor Vehicle Mercury Switches = **MS**

[2] **# of Universal Waste Items:**
Total individual number of items, i.e.: individual lamps, CRTs, thermostats, batteries, PCB ballasts.

[3] **Battery Type:**
Lithium = Li, Mercuric Oxide = HgO, Nickel Cadmium = NiCd, Nickel Metal Hydride = NiMH, Silver Oxide = AgO

[4] **CRT Type:**
Computer or Television

Attach Part 1.

Appendix E

Universal Waste Log Form for Transfer Station/Recycling Center

Facility Name: _____ **Contact name and phone number:** _____

Facility address: _____

Household (HH) or Business Name	Business Address/Phone (Not needed for households)	Date Received	Waste Type Code[1].	# of UW Items[2].	Lamp Size (2',4',8') or type (U tube)	Battery Type[3]
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						

[1] **Waste Type Codes:**
Battery = **BT**
Cathode Ray Tubes = **CR**
Lamps = **H**
Mercury-containing Thermostat = **TH**
PCB Ballast = **PC**
Mercury Devices = **MD**
Motor Vehicle Mercury Switches = **MS**

[2] **# of Universal Waste Items:**
Total individual number of items, i.e.: individual lamps, CRTs, thermostats, batteries, PCB ballasts.

[3] **Battery Type:**
Lithium = Li, Mercuric Oxide = HgO, Nickel Cadmium = NiCd, Nickel Metal Hydride = NiMH, Silver Oxide = AgO
Not required for batteries collected for RBRC or other DEP approved manufacturer take back program.

Appendix F Universal Waste Rule Excerpts

Chapter 850, Section 3A:

(13) Special Requirements for Universal Wastes.

(a) Definition Section

(i) Ballast. Ballast means a device that electronically controls light fixtures and includes a capacitor containing 0.1 kg or less of dielectric.

(ii) Cathode Ray Tubes. Cathode Ray Tubes (CRTs) means a product video display component of televisions, computer displays, military and commercial radar, and other display devices.

NOTE: CRTs are believed to represent 75% of the lead in the solid waste stream. Lead, which is used to shield harmful radiation in the CRT, comprises more than 10 percent of a CRT's mass. (Life Cycle Assessment of the Disposal of Household Electronics, Tufts University Masters Thesis, August 1, 1996.)

(iii) Central Accumulation Facility. Central Accumulation Facility means a facility where: (1) a generator consolidates its own universal wastes from the generator's various facilities; or (2) a licensed solid waste transfer station or recycling center where universal waste generators may take their universal wastes; or (3) a facility where less than 200 universal waste items are collected from generators that are serviced by the facility.

NOTE: Item (3) would allow sign service companies, electricians, and other service companies that service a generator's lights, and other universal waste, to take these waste back to their facilities by using a log, store them for a period of time and then transport them to an instate Consolidation facility. The instate consolidator would then take the log information and submit a Quarterly Report to the Department.

(iv) Certificate of Recycling. Certificate of Recycling means a signed statement from the recycling facility which verifies that the hazardous materials contained in the universal waste were in fact recycled and contains the language specified in section 3A(13)(e)(xix)(d).

(v) Consolidation Facility. Consolidation Facility means a facility where universal waste is consolidated and temporarily stored while awaiting shipment to a recycling, treatment or disposal facility. This facility is typically where a central accumulation facility will send its waste initially.

(vi) Lamp. Lamp means a bulb or tube portion of an electric lighting device. A lamp is specifically designed to produce radiant energy, most often in the ultraviolet, visible, and infra-red regions of the electromagnetic spectrum. Examples of lamps are fluorescent lamps, high intensity discharge lamps, neon lamps, mercury vapor lamps,

high pressure sodium lamps and metal halide lamps. Lamp includes both lamps that fail the Toxicity Characteristic Leaching Procedure (TCLP) and those that contain mercury but pass the TCLP.

(vii) Mercury Device. Mercury Device means a manufactured item that has mercury added. Examples of mercury devices are mercury thermometers, mercury manometers, sphygmomanometers, and mercury switches. The term does not include a motor vehicle mercury switch.

(viii) Mercury Switch. Mercury Switch means a mercury added manufactured item that uses metallic mercury to measure, control or regulate the flow of gas, fluids or electricity.

(ix) Mercury Thermostat. Mercury Thermostat means a temperature control device that contains metallic mercury in an ampule attached to a bimetal sensing element.

(x) Motor Vehicle Mercury Switch. Motor Vehicle Mercury Switch means a mercury switch used in a motor vehicle. It includes mercury light switches used to turn a light bulb or lamp on and off and a mercury switch used in anti -lock braking systems.

(xi) Recycling Center. "Recycling Center" means a publicly owned or publicly contracted facility that primarily handles municipal recyclables and that receives pre-separated, uncontaminated, used paper, cardboard, glass, plastic, metal, and universal wastes. A recycling center is not a recycling facility.

(xii) Recycling Facility. "Recycling Facility" means a facility where universal wastes are dismantled, hazardous constituents recovered, reclaimed or separated for reuse.

(xiii) Small Universal Waste Generator. Small Universal Waste Generator means a person or entity that generates or accumulates on site no more than 200 universal waste items, including batteries as described in 850,3A(14) or 4,000 motor vehicle mercury switches at a time or in any given month, and the total weight must be no more than 40 tons of cathode ray tubes or 5,000 kg for all other universal wastes including batteries. A one time generation of lamps under a Green Lights or other similar energy conversion program that is completed within six months or a mercury thermometer collection event, is exempt from the 200 item count provided no more than 5,000 kg of universal waste are generated and it is managed in accordance with the standards for a Green Lights Program or mercury thermometer collection event in Section 3A(13)(i).

NOTE: 5,000 kg approximately equals 20,000 lamps.
40 tons of Cathode Ray Tubes (CRT's) approximately equals 4,000 CRT's
An anti-lock brake system is considered one universal waste unit even though it may contain up to three mercury switches per unit.

(b) Universal Wastes are:

(i) Cathode ray tubes;

(ii) Lamps;

(iii) Mercury Devices;

(iv) Mercury thermostats;

(v) Motor Vehicle Mercury Switches

(vi) Totally enclosed, non leaking polychlorinated biphenyl (PCB) ballast;

NOTE: Only mercury-containing lamps or lamps otherwise hazardous are included as universal wastes.

NOTE: Batteries are managed as universal waste in accordance with section (14).

(c) Generators, owners or operators of any central accumulation or consolidation facility, and transporters of universal wastes are prohibited from conducting the following activities:

(i) Disposing, diluting or treating universal wastes,

NOTE: The intentional breaking of universal wastes including Cathode Ray Tubes is a form of treatment, and is therefore prohibited at locations other than the recycling facility.

(ii) Sending a universal waste to any facility other than a central accumulation facility, a consolidation facility for universal waste, an approved recycling facility for universal wastes, or in the case of ballasts and the residues from mercury spill kits to an approved disposal or treatment facility.

NOTE: Generators that self-transport waste must comply with universal waste transporter requirements, as provided in Section 11 of Chapter 853.

NOTE: Chapters 854 and 856 apply to a universal waste recycling facility.

(d) Household hazardous waste, which meets the description of universal waste in Section 3A(13)(b) but which is exempt under Section 3A(4)(a)(vii), when combined or mixed with universal wastes is no longer exempt and must be managed in accordance with the universal waste requirements of Chapter 850, 851, 853, 856 and 857.

(e) All generators of universal wastes must comply with either the full Hazardous Waste Management Rules or the following alternative generator standards, except as provided in Section i below for mercury containing lamps (i.e. those that are below the TCLP limit for mercury) and in section xxi below for small universal waste generators.

(i) Determine whether the waste generated is hazardous in accordance with Section 5 of Chapter 851 and after July 15, 2002, pursuant to 38 MRSA § 1663 determine that all mercury containing lamps are a universal waste; and

NOTE: On or before July 15, 2002, only mercury containing lamps that fail the TCLP test are universal wastes. However the Department encourages the management of all mercury containing lamps, regardless of the TCLP test results, in accordance with the universal waste rules. Prior to July 15, 2002 a generator can avoid determining whether or not its lamps are hazardous by electing to manage all of its mercury containing lamps under the universal waste rules. After July 15, 2002, all non-household mercury containing lamps are universal wastes as required by statute, regardless of TCLP test results.

(ii) Determine whether the waste is a universal waste under section 13(b) above;

NOTE: If a hazardous waste is not eligible for regulation under the universal waste rules, then the full hazardous waste management rules apply.

(iii) Properly track the universal waste via a manifest in accordance with Chapter 857 or via a Recyclable Hazardous Material Uniform Bill of Lading in accordance with Section 6B of Chapter 857. For the reduced shipping requirements for small universal waste generators and central accumulation facilities, see section (xxi) and (f) below;

(iv) Utilize a licensed transporter in accordance with Section 7 of Chapter 851 or a common carrier in accordance with Section 10B of Chapter 853;

(v) Transport or offer for transport, universal waste only to a facility authorized to handle the waste under a state program, and which is authorized to handle the waste under the federal hazardous waste regulatory program, if applicable, and which is one of the types of facilities named in (13)(c)(ii) above;

(vi) Store all universal waste in containers. Containers must not show evidence of leakage, spillage or damage that could cause leakage under reasonably foreseeable conditions. The containers must be closed, structurally sound, compatible with the content of the waste, and must not be leaking, spilling, dented or damaged such that it could cause leakage under reasonably foreseeable conditions;

(vii) Immediately contain and transfer all releases of waste and residues resulting from spills or leaks from broken or ruptured universal waste to a container that meets the requirements of the Maine Hazardous Waste Management Rules, except that waste and residues from incidental breakage may still be managed as a universal waste;

(viii) Determine by testing, or handle as hazardous, clean up residues resulting from spills or leaks from events other than incidental breakage of lamps or CRTs in accordance with Maine Hazardous Waste Management Rules including generator accumulation time limit, storage and disposal standards, and count this waste toward the determination of hazardous waste generator status;

(ix) Train all employees and contractors who handle or have responsibility for managing universal wastes on proper handling and emergency procedures. Maintain the documentation of employee and contractor training. The documentation shall include the name of the person receiving the training, the date of the training and the information covered during the training;

(x) Conduct weekly inspections of universal waste storage areas and maintain a written inspection log to document the inspections. The log must include the name of the inspector, date of inspection, condition of waste containers and descriptions of actions taken to address any problem discovered during the inspection. The number of universal wastes (i.e.: number of lamps, thermostats) must be maintained onsite;

NOTE: The generator may find the inspection log to be the easiest way to keep track of the number of universal wastes onsite.

(xi) Store universal waste in a secured area which can be locked when not in use;

(xii) Label each container with an accumulation start date and the date the container becomes full;

(xiii) Store universal wastes for no more than one year from the date the waste is first placed in the container. A generator may store waste for more than one year only if the generator stores the waste for no more than 90 days from the date the container becomes full when the activity is solely for the purposes of accumulation of such quantities of universal waste as necessary to facilitate proper recovery, treatment or disposal. The handler bears the burden of proving that such activity was solely for the purposes of accumulation of such quantities as necessary to facilitate proper recovery, treatment or disposal. For the purposes of the accumulation of the following waste in containers no larger than the following capacities, the accumulation time of 90 days from the container full date is deemed necessary to facilitate proper recovery, treatment or disposal:

a. Cathode Ray Tubes - no larger than a single gaylord container;

NOTE: A gaylord container is typically a 4'x4'x4' container that will typically contain 24 CRTs.

b. Lamps - no larger than a 190 bulb size container;

c. Mercury Thermostats - container of no larger than 30 gallons;

d. Mercury Devices - containers of no larger than 55 gallons;

e. Motor Vehicle Mercury Switches - containers of no larger than 5 gallons. Motor Vehicle Mercury Switches must be shipped off site at least every three years regardless of whether the size limit identified in (e) in this paragraph is reached.

NOTE: This universal waste in storage will not be considered part of your hazardous waste accumulation for the purpose of your generation status.

(xiv) Store universal waste containers and boxes with adequate aisle space to be able to inspect the containers and determine the accumulation start dates and container full dates;

(xv) Comply with the export and import requirements of Chapter 857, Section 7D;

(xvi) Generators that accumulate more than 4,000 motor vehicle mercury switches or 200 other items of universal wastes at any one time or in any given month must notify the Maine Department of Environmental Protection of the handling of universal wastes and must receive an EPA Identification Number, unless the generator has previously notified and the site has been assigned an EPA Identification Number. Alternatively generators that handle less than 40 tons of cathode ray tubes or 5,000 kg of other universal wastes are required to notify but may notify the Department on a state waste notification form provided by the Department in lieu of notifying EPA using the EPA form. This notification shall include the specific type of universal wastes handled by the generator. The requirement of an EPA Identification Number for those that generate or accumulate only universal waste is intended as a registration provision and does not make other sections of the_hazardous waste rules applicable unless other hazardous wastes are generated or accumulated.

NOTE: A generator may obtain an EPA identification number by applying to the Department of Environmental Protection, Bureau of Remediation and Waste Management, State House Station #17, Augusta, Maine 04333-0017 using EPA form 8700-12.

NOTE: A generator or central accumulation facility that is not required to obtain an EPA identification number is required to notify the Department of its activities by submitting either a Notification of State Universal Waste Activities form or an EPA 8700-12 form to the Department of Environmental Protection at the above address.

(xvii) Universal waste shipping requirements require that the waste be:

a. Whole, intact, and unbroken;

b. In proper packaging that includes closed containers that are compatible for the type and amount of waste and that meet the US DOT standards;

c. Accompanied by a Recyclable Hazardous Material Uniform Bill of Lading or manifest (if applicable); and

d. Shipped via a common carrier or licensed hazardous waste transporter;

(xviii) Comply with the Recyclable Hazardous Material Uniform Bill of Lading, manifest or log requirements of Chapter 857, Section 13;

NOTE: An instate small universal waste generator and an instate central accumulation facility are allowed to use the log in lieu of the manifest or bill of lading provided they are transporting to an instate consolidation facility.

(xix) Retain the following records at the generator facility, the central accumulation facility, and the consolidation facility (where applicable);

a. Inspection logs for at least one year from generator's shipment or facility's receipt of the universal waste;

b. Documentation of employee or contractor training for at least three years from the date of generator shipment or facility receipt of the universal waste or for the length of employee service whichever is greater. An instate consolidation facility may maintain the record of training for small universal waste generators and central accumulation locations on behalf of these entities.

c. Recyclable Hazardous Materials Uniform Bill of Lading or manifest for at least three years from the date of shipment or receipt of the universal waste; and

d. Certificate of Recycling for at least three years from the date of shipment of the universal waste except in the case of ballasts and the residue from mercury spill kits. The Certificate of Recycling may be maintained at the instate consolidation facility on behalf of small universal waste generators and central accumulation facilities. The Certificate of Recycling shall be dated and signed by the recycling facility that all hazardous waste components of the universal waste have been recycled, used, reused or reclaimed as defined in Section 11A (5) of Chapter 856 within 35 days of receipt. The Certificate of Recycling must contain the following information:

Name, address and phone number of the generator and the recycling facility;

Date universal waste was picked up;

Date universal waste was recycled;

Quantity of universal waste recycled;

Tracking number which includes the original Recyclable Hazardous Materials Uniform Bill of Lading or manifest used to ship the universal waste from the generator or consolidator, and the following language:

"I certify that all parts of the hazardous material referenced in the above shipping document including the mercury and lead have been recycled, i.e. used, reused or reclaimed as defined in Chapter 856, Section 11A(5)";

(xx) Submit the following information to the Department:

a. The original Recyclable Hazardous Materials Uniform Bill of Lading or proper manifest copies within 7 days of shipment.

b. The quarterly universal waste report from the consolidation facility in accordance with the provisions of Chapter 857, Section 13 C(2);

(xxi) Reduced requirements for small universal waste generators:

a. In lieu of 3A(13)(e)(iii) above, a small universal waste generator may log information at the Central Accumulation facility or instate Consolidation facility in accordance with Section 13A of Chapter 857;

b. In lieu of 3A(13)(e)(x) above, a small universal waste generator must keep track of the number of universal waste items onsite (i.e.: number of lamps, thermostats);

NOTE: The Department recommends that the universal waste area is inspected when placing wastes in the area to ensure that the area is in compliance with the rules and to minimize exposures to toxic releases.

---

c A small universal waste generator is not required to notify the Department of this activity, as provided in 3A(13)(e)(xvi); and

d. Records related to personnel training and proof of recycling may be retained by the instate consolidation facility in lieu of a small universal waste generator as provided in 3A (13)(e)(xix), and under such circumstances the reporting requirements in 3A(13)(e)(xx) would not apply to the small universal waste generator.

(xxii) In addition to 13(c), (d) and (e) above, cathode ray tubes (CRT) must also be managed in accordance with the following requirements:

a. Pack CRT in containers, boxes, gaylord, or another acceptable container method approved by the Department that will contain any breakage. CRTs must have packing materials adequate to prevent breakage during storage, handling and transportation:

b. Seal securely, such as with tape, around the box openings of all full boxes and immediately if incidental breakage should occur;

c. Do not stack containers or boxes of CRT's more than five feet in height;

d. Store CRT's in an inside, dry area not exposed to weather;

e. Mark the container or box with the words "Waste Cathode Ray Tube";

f. Designate each waste CRT storage area by a clearly marked sign, which states. "Waste Cathode Ray Tube Storage" or Universal Hazardous Waste Storage;"

(xxiii) In addition to 13(c), (d) and (e) above, lamps must also be managed in accordance with the following requirements:

a. Pack lamps in containers or boxes with packing materials adequate to prevent breakage during storage, handling, and transportation;

b. Seal securely, such as with tape, around the box openings of all full boxes and immediately if incidental breakage should occur;

c. Do not stack containers or boxes of lamps more than five feet in height;

d. Store lamps in an inside, dry area not exposed to weather;

e. Mark the container with the words "Waste Lamps";

f. Designate each waste lamp storage area by a clearly marked sign which states "Waste Lamp Storage" or "Universal Hazardous Waste Storage";

(xxiv) In addition to 13(c), (d) and (e) above, mercury devices must also be managed in accordance with the following requirements:

a. Pack mercury devices in rigid, sealable containers with packing materials adequate to prevent breakage during storage, handling, and transportation;

b. Store mercury devices in an inside, dry area not exposed to weather;

c. Mark the containers with the words "Waste Mercury Devices";

d. Designate each mercury device storage area by a clearly marked sign which states "Waste Mercury Device Storage" or "Universal Hazardous Waste Storage";

(xxv) In addition to 13(c), (d) and (e) above, mercury thermostats must also be managed in accordance with the following requirements:

a. Pack mercury thermostats in rigid, sealable containers with packing materials adequate to prevent breakage during storage, handling, and transportation;

b. Store mercury thermostats in an inside, dry area not exposed to weather;

c. Mark each container with the words "Waste Mercury Thermostats";

d. Designate each waste thermostat area by a clearly marked sign which states "Waste Mercury Thermostat Storage" or "Universal Hazardous Waste Storage"; and

(xxvi) In addition to 13(c), (d), and (e) above, motor vehicle mercury switches must also be managed in accordance with the following requirements:

a. Pack switches in rigid, sealable containers with packing material adequate to prevent breakage during storage, handling, and transportation;

b. Store switches in an inside, dry area not exposed to the weather;

c. Mark the container with the words "Waste Motor Vehicle Switches";

d. Designate each waste motor vehicle mercury switch storage area by a clearly marked sign which states "Waste Motor Vehicle Switch Storage" or "Universal Hazardous Waste Storage";

e. A motor vehicle switch generator may accumulate 4,000 motor vehicle mercury switches before becoming a large universal waste generator. The 200 item limit would continue to apply to all other universal waste items;

f. In addition to 3A(13)(e)(xiii) above, a motor vehicle switch generator must ship off its motor vehicle mercury switches at least every three years whether or not the container is full.

(xxvii) In addition to 13(c), (d) and (e) above, totally enclosed, non leaking PCB ballast must also be managed in accordance with the following requirements:

a. Pack ballasts in rigid, sealable containers with packing materials adequate to prevent breakage during storage, handling, and transportation:

b. Store ballasts in an inside, dry area not exposed to the weather;

c. Mark containers with the words "Waste PCB Ballasts"

d. Designate each waste ballast storage area by a clearly marked sign which states "Waste PCB Ballast Storage " or "Universal Hazardous Waste Storage";

(f) A central accumulation facility must comply with the following requirements:

(i) properly track the universal waste via a manifest in accordance with Chapter 857, via a Recyclable Hazardous Material Uniform Bill of Lading in accordance with Section 6B of Chapter 857, or by a shipping log in accordance with Section 13 of Chapter 857;

(ii) Obtain an EPA ID number as outlined in Subsection (e)(xvi) or if handling less than 5,000 kg notify the Department on a waste notification form provided by the Department;

(iii) ship to a consolidation facility for universal waste or a properly approved recycling facility for universal waste, or in the case of ballasts and the residues from mercury spill kits to a properly approved disposal or treatment facility within one year of receipt of the waste.

(iv) sections 3A(13)(c),(d),(e) (i-ii),(iv-xi),(xiv),(xv),(xvii-xx),(xxii-xxvii);

(v) mark each container with the date the universal waste is received at the facility;

(vi) maintain an inventory system on-site that identifies the date and manifest or Uniform Bill of Lading number (if applicable) for each universal waste container or group of containers that is received at the facility and the date and manifest or Uniform Bill of Lading number (if applicable) for each waste container or group of containers that is shipped from the facility; and

(vii) conduct closure of the facility in accordance with Chapter 851, Section 11. The Department may waive the independent professional engineer certification requirement for transfer stations that only managed lamps and cathode ray tubes, and that have documented that no releases occurred at the transfer station that were not properly cleaned up.

NOTE: In certain circumstances it may be possible to fulfill the provisions of this section and the transfer station closure provision in one document.

(g) A consolidation facility must comply with the following requirements:

(i) ship to a properly approved recycling facility for universal waste, or in the case of ballasts and the residues from mercury spill kits to a properly approved treatment or disposal facility within one year of receipt of waste.

(ii) Section 3A(13)(c),(d),(e)(i)-(xi),(xiv), (xv), (xvii)-(xx), (xxii)-(xxvii);

(iii) Obtain an EPA ID number as outlined in Subsection (e)(xvi);

(iv) Mark each container with the date the universal waste is received at the facility;

(v) Maintain an inventory system on-site that identifies the date and manifest or Uniform Bill of Lading number (if applicable) for each universal waste container or group of containers that is received at the facility and the date and manifest or Uniform Bill of Lading number for each waste container or group of containers that is shipped from the facility;

(vi) Conduct closure of the facility in accordance with Chapter 851, Section 11.

(h) Notwithstanding (e),(f), and (g) above, the Department may on a case by case basis approve alternative standards in the case of a manufacturer's sponsored product take back program, also known as a "product stewardship" program or other similar manufacturer sanctioned collection program. A criteria of any approval under this subsection must include an annual report from the manufacturer on the amount of the particular product collected through this program in the state and the program must meet the federal universal waste requirements of 40 CFR 273 revised as of July 1, 1999.

(i) A small universal waste generator that generates greater than 200 lamps or thermometers per month or at any one time under:

(i) a Green Lights Program or other similar energy conversion program that is completed within a six month period; or

(ii) a single short term event of a maximum of five consecutive days per year for the collection of mercury thermometers, or such other period of time approved by the Department,

must comply with the following requirements:

(a) Ship the lamps or thermometers directly to a properly approved recycling facility for universal waste on a manifest or Recyclable Hazardous Materials Uniform Bill of Lading; and

(b) Comply with all other requirements for a small universal waste generator for the Green Lights and thermometer collection event universal wastes except for the EPA ID notification requirement of Section 3A13(e)(xvi).

(14) Special requirements for certain batteries.

Batteries that are described in 40 CFR 273.2 revised as of July 1, 2001 must be managed in accordance with 40 CFR 273 revised as of July 1, 2001 , except that references to 40 CFR Parts 260 through 272 shall mean 850 through 857 of the Maine Hazardous Waste Management Rules and except that 40 CFR 273.8(a)(2) is not adopted, and instead, batteries handled by federally conditionally exempt small quantity generators are regulated as small quantity handlers pursuant to 40 CFR 273 Subpart B. In addition, instead of 40 CFR 273.2(c), a battery becomes a waste on the date that it becomes useless, unwanted, or intended for disposal, and spent lead acid batteries described in 40 CFR 273.2(a)(2) and 273.2(b)(1) are regulated under 850 through 857 instead of 40 CFR part 266, subpart G.

Chapter 851, Section 9:

F. A generator who handles his hazardous waste on the site of its generation shall submit an Annual Report covering those wastes including any universal wastes:

(1) In accordance with the provisions of Chapter 854, Section 6C(11);

(2) To the Department;

(3) No later than March lst for the preceding calendar year.

Except that a generator shall not be required to file an annual report if the only hazardous wastes generated are universal wastes.

Chapter 853:

10. Persons not required to obtain a license.

A. A person may transport PCBs which are contained in a totally enclosed manner in PCB equipment without using a licensed hazardous waste transporter provided that the PCBs are not discarded or intended to be discarded. In addition, a person who discharges or suffers a discharge of PCBs or who generates PCB contaminated material as a result of routine servicing of off-site PCB containing equipment may transport that PCB waste to an instate facility with an approved PCB management plan or to a Maine hazardous waste facility licensed to handle PCBs without using a licensed hazardous waste transporter provided that the facility is under the control of the entity who has care or custody of or who owns the PCB waste.

B. A person may transport universal wastes via a common carrier without using a licensed hazardous waste transporter provided the transporter complies with the requirements of Section 11..

NOTE: Transporters of universal waste must also comply with the handler requirements of Chapter 850, 3A(13)(c).

11. Universal Waste Transporter Requirements

A. A transporter shall not mix universal wastes of different DOT shipping descriptions by placing them into a single container.

B. A transporter shall not remove universal waste from the container in which it was placed once it is moved from the site of generation until it is accepted at the central accumulation facility or destination facility, unless specifically authorized to do so by the Commissioner.

C. A transporter shall not transport universal waste in any manner which could endanger public health, safety or welfare or the environment,

D. A transporter shall not transport foodstuffs for human or animal consumption in a conveyance in which universal waste has been or is being transported if the foodstuffs might come in contact with the universal waste.

NOTE: The Department discourages the transport of foodstuffs in the same conveyance with universal wastes.

E. A transporter shall not transport universal waste to a waste facility other than a facility for universal waste which is authorized to handle the waste under a State program, and if applicable the federal hazardous waste regulatory program, and which is one of the types of facilities referenced in 850, 3A(13)(c)(ii).

F. A conveyance in which universal waste is transported may be inspected at any time for compliance with the applicable standards set forth in these rules and for adequacy for safe transportation of universal waste. Inspection may be made by a public safety officer or any authorized representative of the Department. A conveyance found to be not in compliance with this rule or otherwise unsafe shall not thereafter be operated except under the direction of a public safety officer or an authorized representative of the Department, or until corrective actions are taken to correct the problem to the Department's satisfaction.

G. A transporter shall hold all other local, state and federal permits, licenses and certifications as are necessary for the universal waste activity as they relate to business conducted in Maine, and shall comply with all state and federal law and rules applicable to its license activity.

H. A transporter shall have in force at all times liability insurance coverage with limitation of liability appropriate for the transporting of universal waste and the risk involved, but in no case less than $1,000,000 annual aggregate on coverage. Municipalities, state and federal governments, and small universal waste generators are exempt from the liability insurance requirement.

I. A transporter shall comply with all applicable state and federal requirements regarding the use of a manifest, bill of lading, or when applicable log for transportation of universal waste.

J. A transporter shall comply with all state and federal inspection and training requirements as may from time to time be applied by law or rule to its license activity.

K. A transporter shall have a plan for the types of wastes transported and be capable of carrying out the plan, for the clean up of discharges of universal waste. The plan shall include the requirements of Chapter 850, Section 3(A)13(e)(viii) and (ix) as well as the emergency telephone number for reporting spills to the Maine Department of Public Safety (State Police). The conveyance operator shall be familiar with the clean up plan and the types of wastes being carried on the vehicle, shall be capable of carrying out the plan, and shall have a copy of the clean up plan in his/her possession. The transporter shall provide to the Department and to public safety agencies all information necessary for response to emergency situations involving universal waste activity. In the event of a discharge of universal waste

during transportation which releases universal wastes from the primary container, the transporter shall implement its clean up plan taking immediate appropriate action to protect public health and safety and the environment and shall immediately report the discharge to the Maine Department of Public Safety by calling, 1-800-452-4664, or (207) 624-7000 and where required, shall report as provided in Chapter 857, Section 8F(3)-(6) of the Department's rules.

NOTE: The Department will make available for small universal waste generators a generic clean up plan.

L. A transporter shall not accept for transport or transport universal wastes which are unlabeled or which are in damaged, bulging, leaking, unsuitable or otherwise unsafe containers, nor accept for transport or transport any wastes which are incompatible with each other such that a danger to public health or safety or the environment could result from their being transported together.

M. It is the duty of the transporter to ensure that the transportation be carried out in safety and without creating or threatening danger to public health or safety.

N. The transporter shall assist the Department in obtaining compliance with this rule.

O. A transporter shall comply with the export and import requirements of Chapter 857.

NOTE: Transporters may only send universal wastes to a recycling facility, a consolidation facility, or a central accumulation facility for universal wastes, except for ballasts and the residues from mercury spill kits which may go to a properly approved treatment, storage or disposal facility.

P. A transporter shall be considered a generator of universal waste and shall comply with the requirements of Chapter 851 if the transporter transports universal waste into or through the State of Maine from a foreign country.

Q. A transporter shall comply with all applicable U.S. Department of Transportation regulations in 49 CFR part 171 through 180 for the transport of any universal wastes that meets the definition of hazardous materials in 49 CFR 171.8. Some universal waste materials are regulated by the Department of Transportation as hazardous materials because they meet the criteria for one or more hazard classes specified in 49 CFR 173.2. When using the Recyclable Hazardous Materials Uniform Bill of Lading, the universal wastes may not be described by the DOT proper shipping name: hazardous waste, (l) or (s), n.o.s.", nor may the hazardous material's proper shipping name be modified by adding the word "waste".

NOTE: The label on the universal waste containers can use the word "waste". It is only the shipping document that cannot use the word "waste".

Chapter 857
Section 6:

B. A person may transport universal wastes without using a manifest, provided that the Uniform Bill of Lading referenced in Section 4 or an alternative form approved by the Department, or for small universal waste generators and central accumulation facilities the log requirements of Section 13, are utilized. For the purposes of administering this Section, where the rule in Sections 5, 7, 8, and 9 states "manifest" it shall be replaced with "Manifest or Uniform Bill of Lading".

Section 12:

Department's Hazardous Waste Manifest and Uniform Bill of Lading for Hazardous Recyclable Material Copies: Where to Send. Generators, transporters and owners and operators of waste facilities for hazardous waste shall send copies of the manifest or Uniform Bill of Lading or other form approved for use by the Department as required by this rule to the Department at:

Hazardous Waste Manifest
Bureau of Remediation and Waste Management
Department of Environmental Protection
State House Station #17
Augusta, Maine 04333

13. Log Requirements

In lieu of a manifest or Uniform Bill of Lading, an instate small universal waste generator or instate central accumulation facility operator may utilize a log system of tracking provided the following requirements are met:

A. For a small universal waste generator:

(1) the waste is sent to either an instate central accumulation facility or instate consolidation facility;

(2) all the required universal waste information pursuant to Section 13 B(4) below is recorded on the log sheet upon the generator's arrival at the facility; and

(3) the instate consolidation facility submits the quarterly waste tracking information to the Department on a timely basis.

B. For a central accumulation facility:

(1) the waste is sent to an instate consolidation facility;

(2) in the case of transfer stations and recycling centers the operator ensures that all the universal waste information is recorded on the log sheet;

(3) the log sheet accompanies the universal waste to the instate consolidation facility;

(4) the log sheet contains at a minimum the following information:

(a) name, address and phone number of generator or in the case of a household, the notation that it is from a household in lieu of a specific name, address and phone number;

(b) date universal waste was delivered to facility; and

(c) type and quantity of universal waste delivered; and

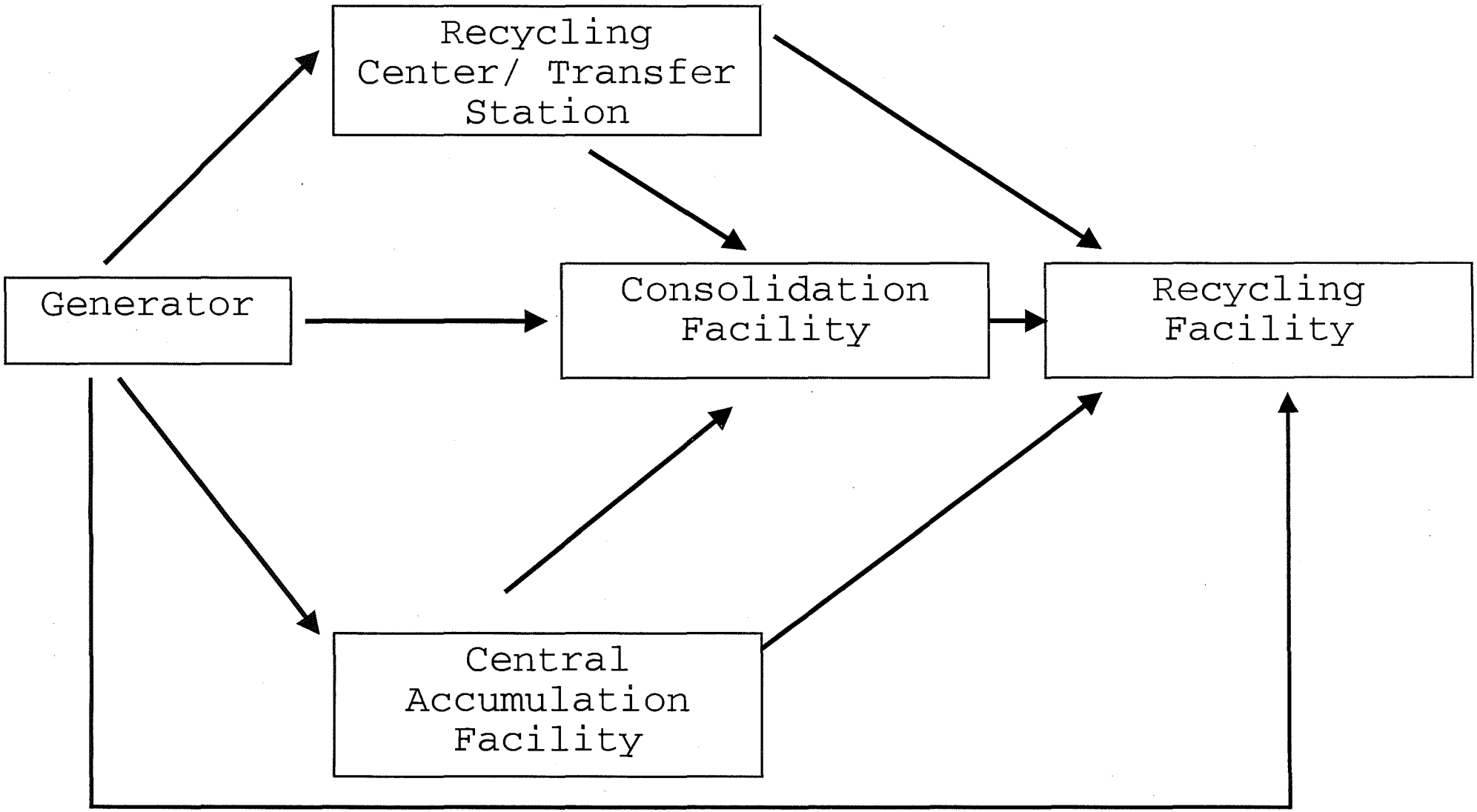
(5) the consolidator submits the quarterly waste tracking information to the Department on a timely basis.

C. For the instate consolidation facility:

(1) the facility ensures that the log sheets are accurately completed;

(2) on a quarterly basis, a waste tracking document will be submitted to the Department in a format specified by the Department.

Appendix G Universal Waste Flow Chart



Appendix H

STATE OF MAINE
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Hazardous Waste Manifest Section, 17 State House Station, Augusta, ME 04333-0017

MAINE RECYCLABLE HAZARDOUS MATERIAL

PLEASE PRINT OR TYPE (FORM DESIGNED FOR USE ON ELITE (12PITCH) TYPEWRITER)

UNIFORM BILL OF LADING	1. GENERATOR'S US EPA ID NUMBER	2. Page 1 of __	A. State Document Number MER
3. Generator's Name and Site Address 4. Generator's Phone ( )			B. Generator's Mailing Address (if different)
5. Carrier 1 Company Name			C. Carrier's Phone
6. Carrier 2 Company Name			D. Carrier's Phone
7. Designated Facility Name & Site Address			E. Facility Mailing Address F. Facility's Phone ( )

8. US DOT Description (including proper shipping name, hazard class & UN/NA)	9. Containers No.	Type	10. Number of Items	11. Unit	12. Waste Code
a.					MR
b.					MR
c.					MR
d.					MR

SAMPLE

G. Additional Descriptions for Materials Listed Above

a. c.

b. d.

13. Emergency Response/ Special Handling Instructions and Additional Information

14. GENERATOR'S CERTIFICATION: I certify that all parts of the hazardous materials referenced in the above shipping document including the mercury and lead will be recycled, i.e. used, or reclaimed as defined in Chapter 856, Section 11A(5). I hereby declare that the contents of this consignment are fully and accurately described above by the proper shipping name, and are classified, packaged, marked and labeled/placarded, and are in all respects in proper condition for transport according to applicable international and national government regulations.

Printed/Typed Name	Signature	MM / DD / YY
15. Carrier 1 Acknowledgement of Receipt of Materials Printed/Typed Name	Signature	MM / DD / YY
16. Carrier 2 Acknowledgement of Receipt of Materials Printed/Typed Name	Signature	MM / DD / YY

17. Discrepancy Indication Space

18. Facility Owner/Operator: Certification of receipt of hazardous materials covered by this Bill of Lading except as noted in item 17.

Printed/Typed Name	Signature	MM / DD / YY

FOR SPILL WITHIN MAINE CONTACT DEP, OIL AND HAZARDOUS MATERIALS CONTROL AT 1-800-482-0777

MER

DESTINATION STATE - MAILED BY RECYCLING FACILITY

Appendix H-2

STATE OF MAINE DEPARTMENT OF ENVIRONMENTAL PROTECTION HAZARDOUS WASTE MANIFEST SECTION

INSTRUCTIONS

FOR COMPLETING THE MAINE UNIFORM BILL OF LADING

IMPORTANT: READ ALL INSTRUCTIONS BEFORE COMPLETING THIS FORM ALL 8 COPIES MUST BE LEGIBLE

GENERAL INFORMATION

The Uniform Bill of Lading (UBOL) is designed to track Universal Waste and Maine Recyclable Hazardous Material from the point of generation to final destination for recycling ("cradle to grave"). In order to accomplish this goal, it is essential that all items in the UBOL be completed correctly. Incomplete, incorrect or illegible UBOLs are violations of the law and could subject you to civil or criminal liabilities as specified in Maine's Hazardous Waste Management Rules and the Maine Hazardous Waste, Septage and Solid Waste Management Act.

The Maine UBOL contains 8 copies. ALL COPIES MUST BE LEGIBLE! (Illegible copies submitted to the State will be returned to the generator for proper completion.) This form is designed for use on a 12 pitch (elite) typewriter. A firm ballpoint pen may also be used only if you press down HARD. The eight copies must be filed with the appropriate parties as they are completed.

COPY DISTRIBUTION

COPY 1: DESTINATION STATE – MAILED BY RECYCLING FACILITY: This original stays with the shipment from generation to completion by the Recycling Facility. When the UBOL is completed the recycling facility must mail this copy to the State where its facility is located.

COPY 2: GENERATOR STATE – MAILED BY RECYCLING FACILITY: When the recycling facility has completed its section of the UBOL, it mails this copy to the State where the waste was generated.

COPY 3: GENERATOR – MAILED BY RECYCLING FACILITY: When the recycling facility has completed its section of the UBOL, it mails this copy back to the Generator of the material, who must retain it on site for his/her records.

COPY 4: RECYCLING FACILITY COPY (RETAINED FOR RECORDS): When the recycling facility has completed its portion of the UBOL, it keeps this copy for its records.

COPY 5: CARRIER COPY (RETAINED BY CARRIER): When the Carrier has completed its section of the UBOL, and transfers the material to the Recycling Facility, the Carrier keeps this copy for its records. NOTE: If a CONTINUING TRANSPORTER is used, the generator is responsible for supplying the transporter with a legible photocopy of the UBOL, which must contain signatures where required.

COPY 6: DESTINATION STATE – MAILED BY GENERATOR: When the Generator has completed its section of the UBOL and transfers the material to the Carrier, the Generator mails this copy to the State where the Recycling Facility is located.

COPY 7: GENERATOR STATE – MAILED BY GENERATOR: When the Generator has completed its section of the UBOL and transfers the material to the Carrier, the Generator mails this copy to the State where the material was generated.

COPY 8: GENERATOR COPY (RETAINED BY GENERATOR): When the Generator has completed its section of the UBOL and transfers the material to the Carrier, the Generator keeps this copy for its records.

GENERATOR SECTION

Item 1: GENERATOR'S US EPA ID NUMBER - Enter the US EPA 12 digit identification number or the State-assigned identification number. Small universal waste generators should enter the number MEX020000000. UNLESS they already have an EPA ID Number in which case that number should be used.

Item 2: Page 1 of __ - Enter the total number of pages used to complete the UBOL, i.e. the first form plus the number of continuation sheets, if any.

Item A: STATE DOCUMENT NUMBER – Number preprinted by Maine except on the continuation sheets. Enter this number on each of the continuation sheets attached to or a part of a UBOL.

Item 3: GENERATOR'S NAME AND SITE ADDRESS – Enter the name (as notified to EPA) and site address of the Generator.

Item 4: GENERATOR'S PHONE NUMBER – Enter a telephone number with the area code where an authorized agent of the Generator can be reached.

Item B: GENERATOR MAILING ADDRESS – Enter the mailing address of the Generator. If the site and mailing address are the same, enter 'Same' in this block.

Item 5: CARRIER 1 COMPANY NAME – Enter the company name of the first transporter who will transport the material. If the transporter has an US EPA ID number, enter it beside the company name.

Item C: CARRIER'S PHONE – Enter a telephone number with area code where an authorized agent of the carrier can be contacted.

Item 6: If applicable, enter the company name of the second transporter who will transport the material. If the transporter has an US EPA ID number, enter it beside the company name. If more then 2 carriers will be used, use a continuation sheet & list the carriers in the order they will be transporting the material.

Item D: CARRIER'S PHONE – If applicable, enter a telephone number with area code where an authorized agent of Carrier 2 can be contacted.

Item 7: DESIGNATED FACILITY NAME & SITE ADDRESS – Enter the company name (as notified to EPA) of the facility designated to receive the material listed on the UBOL. The address must be the site address, which may differ from the mailing address.

Item E: FACILITY MAILING ADDRESS – Enter mailing address if different from the site address.

Item F: Enter a telephone number with area code for the facility designated to receive the material listed on the UBOL.

Item 8: US DOT DESCRIPTION – ALL of the following information must be entered: the correct US DOT name for the material as identified in 49 CFR Parts 171-177(usually found in column 2 of section 172.101), the assigned DOT Hazard Class (usually in Column 3) & the 4 digit UN/NA ID Number (Column 4).

Item 9: CONTAINERS (NO. & TYPE) – Enter the number of containers for each material and the appropriate abbreviations from Table 1 below for the type of container used

TABLE 1 – CONTAINER TYPE

BA = Burlap cloth, paper or plastic bags	CW = Wooden boxes, cartons, cases	DM = Metal drums, boxes, kegs
CF = Fiber or plastic boxes, gaylords, cartons, cases	DF = Fiberboard or plastic drums, barrels, kegs	DW = Wooden drums, barrels, kegs
CM = Metal boxes, cartons, cases (incl. Roll-offs)		

Item 10: NUMBER OF ITEMS – Enter the total number of items described on each line, relative to the units used in Item 11. (i.e. exact number of lamps)

Item 11: UNIT – Enter the appropriate abbreviation from Table 2 for the unit of measure used in determining the Number of items described on each line.

TABLE 2 – UNITS

BT = Batteries	MD = Mercury containing devices (includes thermometers)	TH = Mercury Thermostats
CR = Cathode Ray Tubes	MS = Mercury containing motor vehicle switches	P = Pounds (Do not use for universal waste)
H = Mercury containing lamps	PC = PCB ballasts	

Item 12: Enter the 2 digit Maine recyclable hazardous material number prefix MR followed by the waste code. If destination and generator states have assigned codes, use the Destination State code. (*Example: a characteristic mercury material would use the code MRD009*)

Item G: ADDITIONAL DESCRIPTIONS FOR MATERIALS LISTED ABOVE – Enter description for any material which has a US DOT description ending in n.o.s. Any additional waste description may be entered here. (*Example: mercury thermometers, lamps, etc.*)

Item 13: SPECIAL HANDLING INSTRUCTIONS AND EMERGENCY INFORMATION – Use this space to indicate special transportation, treatment, storage or disposal or bill of lading information. If an alternate facility is designated, note it here. This space may also be used for emergency numbers, and other information the Generator wishes to include about the shipment.

Item 14: GENERATOR'S CERTIFICATION – The generator must read, sign (by hand) and date the certification (with date of transfer to Carrier).

TRANSPORTER SECTION

Item 15: CARRIER 1 ACKNOWLEDGEMENT – Print or type the name of the person accepting the material on behalf of the 1st transporter. That person must acknowledge acceptance of the material described on the UBOL by signing & entering the date of receipt.

Item 16: CARRIER 2 ACKNOWLEDGEMENT – If applicable, follow instructions for Item 15 for Carrier 2.

DESIGNATED FACILITY SECTION

Item 17: DISCREPANCY INDICATION SPACE – The authorized representative of the designated facility must note in this space any significant discrepancy between the material described on the UBOL & the material actually received at the facility. Any rejected material should be listed here, along with an indication of the disposition of the rejected materials.

Item 18: FACILITY OWNER/OPERATOR CERTIFICATION – Print or type the name of the person accepting the material on behalf of the owner or operator of the designated facility. That person must acknowledge acceptance of the material described on the UBOL by signing (by hand) and entering the date of receipt. The signature of the authorized facility agent indicates acceptance (except for items specified in item 17) and agreement with the statements on this UBOL.

REMINDER: ALL 8 COPIES OF THIS FORM MUST BE LEGIBLE

Appendix I

STATE OF MAINE
DEPARTMENT OF ENVIRONMENTAL PROTECTION
Hazardous Waste Manifest Section, 17 State House Station, Augusta, ME 04333-0017
MAINE RECYCLABLE HAZARDOUS MATERIAL

PLEASE PRINT OR TYPE (FORM DESIGNED FOR USE ON ELITE (12PITCH) TYPEWRITER)

FOR SPILL WITHIN MAINE CONTACT DEP. OIL AND HAZARDOUS MATERIALS CONTROL AT 1-800-482-0777

UNIFORM BILL OF LADING	1. GENERATOR'S US EPA ID NUMBER	2. Page 1 of __	A. State Document Number
	MIE D 9 8 7 6 5 4 3 2 1	1	MER 009542

3. Generator's Name and Site Address	B. Generator's Mailing Address (if different)
ABC COMPANY 123 SCHOOL ST. ANYTOWN, ME 99999	P.O. BOX 100 ANYTOWN, ME 99999
4. Generator's Phone (207) 555-1212	
5. Carrier 1 Company Name: HAZWASTE TRANSPORTATION CO. MER999999999	C. Carrier's Phone: 207-555-5555
6. Carrier 2 Company Name	D. Carrier's Phone
7. Designated Facility Name & Site Address: ONYX ELECTRONIC RECYCLING 218 CANTON ST. STOUGHTON, MA 02072 MAS000004713	E. Facility Mailing Address: same F. Facility's Phone (800) 478-6055

	8. US DOT Description (including proper shipping name, hazard class & UN/NA)	9. Containers No.	9. Containers Type	10. Number of Items	11. Unit	12. Waste Code
a.	NON-DOT REGULATED MATERIALS, (HID), FOR RECYCLE AS UNIVERSAL WASTE	0011	CF	001039	H	MR D009
b.	NON-DOT REGULATED MATERIALS, (CATHODE RAY TUBE), for recycle as universal waste	0011	CF	000102	CR	MR D008
c.	RQ, MERCURY, 8, UN2809, PG III	0011	DF	000125	MD	MR D009
d.						MR

SAMPLE

G. Additional Descriptions for Materials Listed Above
a. high intensity discharge lamps
b. computer monitors
c. mercury switches & thermostats
d.

13. Emergency Response/ Special Handling Instructions and Additional Information

14. GENERATOR'S CERTIFICATION: I certify that all parts of the hazardous materials referenced in the above shipping document including the mercury and lead will be recycled, i.e. used, or reclaimed as defined in Chapter 856, Section 11A(5). I hereby declare that the contents of this consignment are fully and accurately described above by the proper shipping name, and are classified, packaged, marked and labeled/placarded, and are in all respects in proper condition for transport according to applicable international and national government regulations.

Printed/Typed Name	Signature	MM / DD / YY
Sue Smith	Sue Smith	01/21/04
15. Carrier 1 Acknowledgement of Receipt of Materials Printed/Typed Name: John Gooddriver	John Gooddriver	01/21/04
16. Carrier 2 Acknowledgement of Receipt of Materials Printed/Typed Name	Signature	MM / DD / YY

17. Discrepancy Indication Space

18. Facility Owner/Operator: Certification of receipt of hazardous materials covered by this Bill of Lading except as noted in item 17.

Printed/Typed Name	Signature	MM / DD / YY
Tom Miller	Tom Miller	01/21/04

MER 009542

DESTINATION STATE – MAILED BY RECYCLING FACILITY

Appendix I-2

STATE OF MAINE
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Hazardous Waste Manifest Section, 17 State House Station, Augusta, ME 04333-0017

MAINE RECYCLABLE HAZARDOUS MATERIAL

PLEASE PRINT OR TYPE (FORM DESIGNED FOR USE ON ELITE (12PITCH) TYPEWRITER)

FOR SPILL WITHIN MAINE CONTACT DEP. OIL AND HAZARDOUS MATERIALS CONTROL AT 1-800-482-0777

UNIFORM BILL OF LADING	1. GENERATOR'S US EPA ID NUMBER	2. Page 1 of _	A. State Document Number
	MEX020000000	1	MER

3. Generator's Name and Site Address	B. Generator's Mailing Address (if different)
XYZ Company 33 Park Lane, Newtown, ME 99998 4. Generator's Phone (207) 555-1313	Same
5. Carrier 1 Company Name Common Carrier Co.	C. Carrier's Phone 207-555-2121
6. Carrier 2 Company Name	D. Carrier's Phone
7. Designated Facility Name & Site Address Conservation Lighting 470 Riverside St Portland ME 04101 MES000001602	E. Facility Mailing Address Same F. Facility's Phone (800) 696-4709

8. US DOT Description (including proper shipping name, hazard class & UN/NA)	9. Containers No.	Type	10. Number of Items	11. Unit	12. Waste Code
a. Batteries, Wet, Filled with acid, 8, UN2794, PG III	001	CF	00150	BT	MR D008 MR D002
b. Batteries, Wet, Filled with alkali, 8, UN2795 PG III	001	CF	00025	BT	MR D006 MR D002
c. Lithium battery, liquid, UN3090 PG II	001	CF	00025	BT	MR D003
d. Mercury compounds, Solid, NOS (mercuric oxide), 6.1 UN2025, PG III	001	CF	00010	BT	MR D009

SAMPLE

G. Additional Descriptions for Materials Listed Above

a. Small, sealed lead-acid batteries
b. Ni-Cad batteries, wet
c. Lithium batteries
d. Mercuric oxide batteries

13. Emergency Response/ Special Handling Instructions and Additional Information

14. GENERATOR'S CERTIFICATION: I certify that all parts of the hazardous materials referenced in the above shipping document including the mercury and lead will be recycled, i.e. used, or reclaimed as defined in Chapter 856, Section 11A(5). I hereby declare that the contents of this consignment are fully and accurately described above by the proper shipping name, and are classified, packaged, marked and labeled/placarded, and are in all respects in proper condition for transport according to applicable international and national government regulations.

Printed/Typed Name	Signature	MM / DD / YY
Tom Smith	Tom Smith	01/21/13
15. Carrier 1 Acknowledgement of Receipt of Materials Printed/Typed Name	Signature	MM / DD / YY
Dudley Dowright	Dudley Dowright	01/21/13
16. Carrier 2 Acknowledgement of Receipt of Materials Printed/Typed Name	Signature	MM / DD / YY

MER

17. Discrepancy Indication Space

18. Facility Owner/Operator: Certification of receipt of hazardous materials covered by this Bill of Lading except as noted in item 17.

Printed/Typed Name	Signature	MM / DD / YY
Joe Jones	Joe Jones	01/21/13

DESTINATION STATE - MAILED BY RECYCLING FACILITY

Appendix J

MAINE UNIVERSAL WASTE TRANSPORT AND IDENTIFICATION INFORMATION

Waste Type	DOT Proper Shipping Name	Unit Code	Waste Code(s)
Ni-Cad batteries, dry	Cadmium compounds, 6.1, UN2570, PGIII	BT	MRD006
Ni-Cad batteries, wet	Batteries, wet filled with alkali, 8, UN2795, PGIII	BT	MRD002 MRD006
Mercuric oxide batteries	Mercury compounds, Solid, NOS (mercuric oxide), 6.1, UN2025, PGIII	BT	MRD009
Lithium batteries	Lithium battery, liquid cathode, 9, UN3090, PGII	BT	MRD003
Small Sealed Lead Acid Batteries	Batteries, Wet, Filled with acid, 8, UN2794, PGIII	BT	MRD002 MRD008
Mercury containing items	RQ, Mercury, 8, UN2809, PGIII	TH = thermostats	MRD009
"	RQ, Mercury, 8, UN2809, PGIII	MD = mercury devices (including switches & thermometers)	MRD009
"	RQ, Mercury, 8, UN2809, PGIII	MS = motor vehicle switches	MRD009
PCB Ballasts (if reason to believe over the RQ)	RQ Polychlorinated biphenyls, liquid, 9, UN2315, PGIII	PC	MRM002
PCB Ballasts (not over the RQ)	Environmentally hazardous substances, liquid, NOS, 9, UN3082, PGIII	PC	MRM002
Cathode Ray Tubes (CRT) and Mercury containing lamps can use more than one description **(bold-preferred)** :			
CRT's	**Non-DOT regulated materials, (cathode ray tube), for recycle as universal waste**	CR	MRD008
Or	Environmentally hazardous substances	CR	MRD008
Lamps	**Non-DOT regulated materials, (insert type of lamp), for recycle as universal waste**	H	MRD009
Or	Environmentally hazardous substances	H	MRD009

Types of lamps, fluorescent tubes, high intensity discharge (HID), neon, mercury vapor, high-pressure sodium and metal halide bulbs.

Appendix K

Example Quarterly Report

This report format is now available on the web at:
www.state.me.us/dep/rwm/universalwaste.htm

QUARTERLY UNIVERSAL WASTE REPORT			
Year: 2002			**Quarter:** July thru September
Central Accumulation Facility:			Universal Wastes We Be Company
Maine Central Accumulation Facility ID #:			123-45-678 ME
Address:			32 Mercury Boulevard
Mailing Address:			PO Box 1
Phone:			156-9895
Fax:			156-9896
Contact Person:			Wiggley Quiggley
Generator Name:			Charlie's Convenience Store
Location:			53 Pretzel Street
			Pepsi Plantation
Mailing Address:			same
Date Rec'd	**Waste Type Code**	**Quantity**	**Description**
9/12/2002	H	6	8' fluorescent lamps
9/12/2002	CRT	1	Computer Monitor
Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	**Waste Type Code**	**Quantity**	**Description**

Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description
Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description
Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description

Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description
Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description
Generator Name:			
Location:			
Mailing Address:			
Date Rec'd	Waste Type Code	Quantity	Description