

APA-1  
07/04

**TRANSMITTAL SHEET FOR  
NOTICE OF INTENDED ACTION**

Control No. 335 Department or Agency Environmental Management  
Rule No. 335-14-11-.03  
Rule Title: Standards for Large Quantity Handlers of Universal Waste

         New   X   Amend          Repeal          Adopt by Reference

Would the absence of the proposed rule significantly harm or endanger the public health, welfare, or safety?          YES

Is there a reasonable relationship between the state's police power and the protection of the public health, safety, or welfare?          YES

Is there another, less restrictive method of regulation available that could adequately protect the public?          NO

Does the proposed rule have the effect of directly or indirectly increasing the costs of any goods or services involved and, if so, to what degree?          NO

Is the increase in cost, if any, more harmful to the public than the harm that might result from the absence of the proposed rule?          NO

Are all facets of the rulemaking process designed solely for the purpose of, and so they have, as their primary effect, the protection of the public?          YES

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Does the proposed rule have an economic impact?          NO

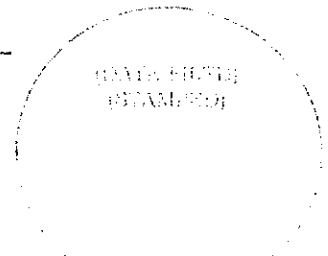
If the proposed rule has an economic impact, the proposed rule is required to be accompanied by a fiscal note prepared in accordance with subsection (f) of section 41-22-23, Code of Alabama 1975.

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Certification of Authorized Official

I certify that the attached proposed rule has been proposed in full compliance with the requirements of Chapter 22, Title 41, Code of Alabama 1975, and that it conforms to all applicable filing requirements of the Administrative Procedure Division of the Legislative Reference Service.

Signature of certifying officer         Mary Elliott        

Date October 20, 2017



APA-2  
11/96

DEPARTMENT OF ENVIRONMENTAL MANAGEMENT  
LAND DIVISION

NOTICE OF INTENDED ACTION

AGENCY NAME: DEPARTMENT OF ENVIRONMENTAL MANAGEMENT

RULE NO. & TITLE: 335-14-11-.01 General (Amend)  
335-14-11-.02 Standards for Small Quantity Handlers of Universal Waste (Amend)  
335-14-11-.03 Standards for Large Quantity Handlers of Universal Waste (Amend)  
335-14-11-.04 Standards for Universal Waste Transporters (Amend)  
335-14-11-.05 Standards for Destination Facilities (Amend)  
335-14-11-.06 Import Requirements (Amend)  
335-14-11-.07 Petitions to Include Other Wastes under Chapter 335-14-11 (Amend)

INTENDED ACTION: Revise Division 14 of the ADEM Administrative Code.

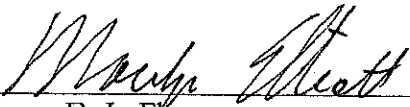
SUBSTANCE OR PROPOSED ACTION: Revise portions of Division 14 Regulations to incorporate changes to ensure consistency with State and Federal Statutes; to adopt certain State specific requirements; and to provide clarification of State requirements for the management of hazardous waste.

TIME, PLACE, MANNER OF PRESENTING VIEWS:

Comments may be submitted in writing or orally at a public hearing to be held December 6, 2017 at 1:30 PM in the Main Hearing Room at the ADEM Central Office located at 1400 Coliseum Boulevard, Montgomery, Alabama 36110.

FINAL DATE FOR COMMENT AND COMPLETION OF NOTICE: December 6, 2017

CONTACT PERSON AT AGENCY: Vernon H. Crockett, Chief of the Industrial Hazardous Waste Branch, ADEM Land Division (334/270-5627)

  
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Lance R. LeFleur  
Director

**335-14-11-.03      Standards for Large Quantity Handlers of Universal Waste.**

(1)            Applicability.    335-14-11-.03 applies to large quantity handlers of universal waste [as defined in rule 335-14-1-.02].

(2)            Prohibitions.    A large quantity handler of universal waste is:

(a)            Prohibited from disposing of universal waste; and

(b)            Prohibited from diluting or treating universal waste, except by responding to releases as provided in 335-14-11-.03(8); or by managing specific wastes as provided in 335-14-11-.03(4) or 335-14-8-.01(1)(c)2.(x).

(3)            Notification.

(a)            1.        Except as provided in 335-14-11-.03(3)(a)2. and 3., a large quantity handler of universal waste must have sent written notification of universal waste management to the Department, and received an EPA Identification Number, before meeting or exceeding the 5,000 kilogram storage limit.

2.            A large quantity handler of universal waste who has already notified the Department of his hazardous waste management activities and has received an EPA Identification Number is not required to renotify under 335-14-11-.03(3).

3.            A large quantity handler of universal waste who manages recalled universal waste pesticides as described in 335-14-11-.01(3)(a)1. and who has sent notification to EPA as required by 40 CFR Part 165 is not required to notify for those recalled universal waste pesticides under 335-14-11-.03(3).

(b)            This notification must include:

1.            The universal waste handler's name and mailing address;

2.            The name and business telephone number of the person at the universal waste handler's site who should be contacted regarding universal waste management activities;

3.            The address or physical location of the universal waste management activities;

4.            A list of all of the types of universal waste managed by the handler (e.g., batteries, pesticides, mercury-containing equipment, lamps); and

5.            A statement indicating that the handler is accumulating more than 5,000 kilograms of universal waste at one time and the types of universal waste (e.g., batteries, pesticides, mercury-containing equipment, lamps) the handler is accumulating above this quantity.

(4)            Waste management.

(a) Universal waste batteries. A large quantity handler of universal waste must manage universal waste batteries in a way that prevents release of any universal waste or component of a universal waste to the environment, as follows:

1. A large quantity handler of universal waste must contain any universal waste battery that shows evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions in a container. The container must be closed, structurally sound, compatible with the contents of the battery, and must lack evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions.

2. A large quantity handler of universal waste may conduct the following activities as long as the casing of each individual battery cell is not breached and remains intact and closed (except that cells may be opened to remove electrolyte but must be immediately closed after removal):

- (i) Sorting batteries by type;
- (ii) Mixing battery types in one container;
- (iii) Discharging batteries so as to remove the electric charge;
- (iv) Regenerating used batteries;
- (v) Disassembling batteries or battery packs into individual batteries or cells;
- (vi) Removing batteries from consumer products; or
- (vii) Removing electrolyte from batteries.

3. A large quantity handler of universal waste who removes electrolyte from batteries, or who generates other solid waste (e.g., battery pack materials, discarded consumer products) as a result of the activities listed above, must determine whether the electrolyte and/or other solid waste exhibit a characteristic of hazardous waste identified in rule 335-14-2-.03.

(i) If the electrolyte and/or other solid waste exhibit a characteristic of hazardous waste, it must be managed in compliance with all applicable requirements of 335-14-1 through 335-14-9. The handler is considered the generator of the hazardous electrolyte and/or other waste and is subject to 335-14-3.

(ii) If the electrolyte or other solid waste is not hazardous, the handler may manage the waste in any way that is in compliance with applicable federal, State of Alabama, or local solid waste regulations.

(b) Universal waste pesticides. A large quantity handler of universal waste must manage universal waste pesticides in a way that prevents release of any universal waste or component of a universal waste to the

environment. The universal waste pesticides must be contained in one or more of the following:

1. A container that remains closed, structurally sound, compatible with the pesticide, and that lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions; or
2. A container that does not meet the requirements of 335-14-11-.03(4)(b)1., provided that the unacceptable container is overpacked in a container that does meet the requirements of 335-14-11-.03(4)(b)1.; or
3. A tank that meets the requirements of rule 335-14-6-.10, except for 335-14-6-.10(8)(e), (11), and (12); or
4. A transport vehicle or vessel that is closed, structurally sound, compatible with the pesticide, and that lacks evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions.

(c) Universal waste mercury-containing equipment. A large quantity handler of universal waste must manage universal waste mercury-containing equipment in a way that prevents releases of any universal waste or component of a universal waste to the environment, as follows:

1. A large quantity handler of universal waste must place in a container any universal waste mercury-containing equipment with non-contained elemental mercury or that shows evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions. The container must be closed, structurally sound, compatible with the contents of the device, must lack evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions, and must be reasonably designed to prevent the escape of mercury into the environment by volatilization or any other means.

2. A large quantity handler of universal waste may remove mercury-containing ampules from universal waste mercury-containing equipment provided the handler:

- (i) Removes and manages the ampules in a manner designed to prevent breakage of the ampules;

- (ii) Removes the ampules only over or in a containment device (e.g., tray or pan sufficient to collect and contain any mercury released from an ampule in case of breakage);

- (iii) Ensures that a mercury clean-up system is readily available to immediately transfer any mercury resulting from spills or leaks of broken ampules from that containment device to a container that meets the requirements of 335-14-3-.013(65)(b)2.;

(iv) Immediately transfers any mercury resulting from spills or leaks from broken ampules from the containment device to a container that meets the requirements of 335-14-3-.013(65)(b)2.;

(v) Ensures that the area in which ampules are removed is well ventilated and monitored to ensure compliance with applicable OSHA exposure levels for mercury;

(vi) Ensures that employees removing ampules are thoroughly familiar with proper waste mercury handling and emergency procedures, including transfer of mercury from containment devices to appropriate containers;

(vii) Stores removed ampules in closed, non-leaking containers that are in good condition;

(viii) Packs removed ampules in the container with packing materials adequate to prevent breakage during storage, handling, and transportation.

3. A large quantity handler of universal waste mercury-containing equipment that does not contain an ampule may remove the open original housing holding the mercury from universal waste mercury-containing equipment provided the handler:

(i) Immediately seals the original housing holding the mercury with an air-tight seal to prevent the release of any mercury to the environment; and

(ii) Follows all requirements for removing ampules and managing removed ampules under paragraph (c)2. of this section; and

4. (i) A large quantity handler of universal waste who removes mercury-containing ampules from mercury-containing equipment or seals mercury from mercury-containing equipment in its original housing must determine whether the following exhibit a characteristic of hazardous waste identified in rule 335-14-2-.03:

(I) Mercury or clean-up residues resulting from spills or leaks; and/or

(II) Other solid waste generated as a result of the removal of mercury-containing ampules or housings (e.g., the remaining mercury-containing device).

(ii) If the mercury, residues, and/or other solid waste exhibits a characteristic of hazardous waste, it must be managed in compliance with all applicable requirements of 335-14-1 through 335-14-9. The handler is considered the generator of the mercury, residues, and/or other waste and must manage it in compliance with 335-14-3.

(iii) If the mercury, residues, and/or other solid waste is not hazardous, the handler may manage the waste in any way that is in compliance with applicable federal, State of Alabama or local solid waste regulations.

(d) Universal Waste Lamps. A large quantity handler of universal waste must manage lamps in a way that prevents release of any universal waste or component of a universal waste to the environment, as follows:

1. A large quantity handler of universal waste must contain any lamp in containers or packages that are structurally sound, adequate to prevent breakage, and compatible with the contents of the lamps. Such containers must remain closed and must lack evidence of leakage, spillage, or damage that could cause leakage under reasonably foreseeable conditions.

2. A large quantity handler of universal waste must immediately clean up and place in a container any lamp that is broken and must place in a container any lamp that shows evidence of breakage, leakage, or damage that could cause the release of mercury or other hazardous constituents to the environment. Containers must be closed, structurally sound, compatible with the contents of the lamps and must lack evidence of leakage, spillage or damage that could cause leakage or releases of mercury or other hazardous constituents to the environment under reasonably foreseeable conditions.

(5) Labeling/marking. A large quantity handler of universal waste must label or mark the universal waste to identify the type of universal waste as specified below:

(a) Universal waste batteries (i.e., each battery), or a container or tank in which the batteries are contained, must be labeled or marked clearly with any one of the following phrases: "Universal Waste Battery(ies)", or "Waste Battery(ies)", or "Used Battery(ies)";

(b) A container (or multiple container package unit), tank, transport vehicle or vessel in which recalled universal waste pesticides as described in 335-14-11-.01(3)(a)1. are contained must be labeled or marked clearly with:

1. The label that was on or accompanied the product as sold or distributed; and

2. The words "Universal Waste Pesticide(s)" or "Waste Pesticide(s)";

(c) A container, tank, or transport vehicle or vessel in which unused pesticide products as described in 335-14-11-.01(3)(a)2. are contained must be labeled or marked clearly with:

1. (i) The label that was on the product when purchased, if still legible;

(ii) If using the labels described in 335-14-11-.03(5)(c)1.(i) is not feasible, the appropriate label as required under the Department of Transportation regulation 49 CFR Part 172;

(iii) If using the labels described in 335-14-11-.03(5)(c)1.(i) and (ii) is not feasible, another label prescribed or designated by the pesticide collection program; and

2. The words "Universal Waste Pesticide(s)" or "Waste Pesticide(s)".

(d) 1. Universal waste mercury-containing equipment (i.e., each device), or a container in which the equipment is contained, must be labeled or marked clearly with any one of the following phrases: "Universal Waste-Mercury Containing Equipment", "Waste Mercury-Containing Equipment," or "Used Mercury-Containing Equipment."

2. A universal waste mercury-containing thermostat or container containing only universal waste mercury-containing thermostats may be labeled or marked clearly with any of the following phrases: "Universal Waste-Mercury Thermostat(s)," "Waste Mercury Thermostat(s)," or "Used Mercury Thermostat(s)."

(e) Each lamp or a container or package in which the lamps are contained must be labeled or marked clearly with any one of the following phrases: "Universal Waste Lamp(s)", or "Waste Lamp(s)", or "Used Lamp(s)".

(6) Accumulation time limits.

(a) A large quantity handler of universal waste may accumulate universal waste for no longer than one year from the date the universal waste is generated, or received from another handler, unless the requirements of 335-14-11-.03(6)(b) are met.

(b) A large quantity handler of universal waste may accumulate universal waste for longer than one year from the date the universal waste is generated, or received from another handler, if such activity is solely for the purpose of accumulation of such quantities of universal waste as necessary to facilitate proper recovery, treatment, or disposal. However, the handler bears the burden of proving that such activity was solely for the purpose of accumulation of such quantities of universal waste as necessary to facilitate proper recovery, treatment, or disposal.

(c) A large quantity handler of universal waste must be able to demonstrate the length of time that the universal waste has been accumulated from the date it becomes a waste or is received. The handler may make this demonstration by:



1. Placing the universal waste in a container and marking or labeling the container with the earliest date that any universal waste in the container became a waste or was received;

2. Marking or labeling the individual item of universal waste (e.g., each battery or thermostat) with the date it became a waste or was received;

3. Maintaining an inventory system on-site that identifies the date the universal waste being accumulated became a waste or was received;

4. Maintaining an inventory system on-site that identifies the earliest date that any universal waste in a group of universal waste items or a group of containers of universal waste became a waste or was received;

5. Placing the universal waste in a specific accumulation area and identifying the earliest date that any universal waste in the area became a waste or was received; or

6. Any other method which clearly demonstrates the length of time that the universal waste has been accumulated from the date it becomes a waste or is received.

(7) Employee training. A large quantity handler of universal waste must ensure that all employees are thoroughly familiar with proper waste handling and emergency procedures, relative to their responsibilities during normal facility operations and emergencies.

(8) Response to releases.

(a) A large quantity handler of universal waste must immediately contain all releases of universal wastes and other residues from universal wastes.

(b) A large quantity handler of universal waste must determine whether any material resulting from the release is hazardous waste, and if so, must manage the hazardous waste in compliance with all applicable requirements of 335-14-1 through 335-14-9. The handler is considered the generator of the material resulting from the release, and is subject to 335-14-3.

(9) Off-site shipments.

(a) A large quantity handler of universal waste is prohibited from sending or taking universal waste to a place other than another universal waste handler, a destination facility, or a foreign destination.

(b) If a large quantity handler of universal waste self-transportes universal waste off-site, the handler becomes a universal waste transporter for those self-transportation activities and must comply with the transporter requirements of 335-14-11-.04 while transporting the universal waste.

(c) If a universal waste being offered for off-site transportation meets the definition of hazardous materials under 49 CFR 171 through 180, a large quantity handler of universal waste must package, label, mark and placard the shipment, and prepare the proper shipping papers in accordance with the applicable Department of Transportation regulations under 49 CFR Parts 172 through 180;

(d) Prior to sending a shipment of universal waste to another universal waste handler, the originating handler must ensure that the receiving handler agrees to receive the shipment.

(e) If a large quantity handler of universal waste sends a shipment of universal waste to another handler or to a destination facility and the shipment is rejected by the receiving handler or destination facility, the originating handler must either:

1. Receive the waste back when notified that the shipment has been rejected, or
2. Agree with the receiving handler on a destination facility to which the shipment will be sent.

(f) A large quantity handler of universal waste may reject a shipment containing universal waste, or a portion of a shipment containing universal waste that he has received from another handler. If a handler rejects a shipment or a portion of a shipment, he must contact the originating handler to notify him of the rejection and to discuss reshipment of the load. The handler must:

1. Send the shipment back to the originating handler, or
2. If agreed to by both the originating and receiving handler, send the shipment to a destination facility.

(g) If a large quantity handler of universal waste receives a shipment containing hazardous waste that is not a universal waste, the handler must immediately notify the Department of the illegal shipment, and provide the name, address, and phone number of the originating shipper. The Department will provide instructions for managing the hazardous waste.

(h) If a large quantity handler of universal waste receives a shipment of non-hazardous, non-universal waste, the handler may manage the waste in any way that is in compliance with applicable federal, State of Alabama, or local solid waste regulations.

(10) Tracking universal waste shipments.

(a) Receipt of shipments. A large quantity handler of universal waste must keep a record of each shipment of universal waste received at the facility. The record may take the form of a log, invoice, manifest, bill of lading,

movement document or other shipping document. The record for each shipment of universal waste received must include the following information:

1. The name and address of the originating universal waste handler or foreign shipper from whom the universal waste was sent;
2. The quantity of each type of universal waste received (e.g., batteries, pesticides, thermostats);
3. The date of receipt of the shipment of universal waste.

(b) Shipments off-site. A large quantity handler of universal waste must keep a record of each shipment of universal waste sent from the handler to other facilities. The record may take the form of a log, invoice, manifest, bill of lading, movement document or other shipping document. The record for each shipment of universal waste sent must include the following information:

1. The name and address of the universal waste handler, destination facility, or foreign destination to whom the universal waste was sent;
2. The quantity of each type of universal waste sent (e.g., batteries, pesticides, thermostats);
3. The date the shipment of universal waste left the facility.

(c) Record retention.

1. A large quantity handler of universal waste must retain the records described in 335-14-11-.03(10)(a) for at least three years from the date of receipt of a shipment of universal waste.
2. A large quantity handler of universal waste must retain the records described in 335-14-11-.03(10)(b) for at least three years from the date a shipment of universal waste left the facility.

(11) Exports. A large quantity handler of universal waste who sends universal waste to a foreign destination is subject to the requirements of 335-14-3-.09 ~~other than to those OECD countries specified in 335-14-3-.05(9)(a)1. (in which case the handler is subject to the requirements of rule 335-14-3-.09)~~ must:

~~(a) Comply with the requirements applicable to a primary exporter in rules 335-14-3-.05(4), 335-14-3-.05(7)(a)1. through 4., (a)6., and (b), and 335-14-3-.05(8);~~

~~(b) Export such universal waste only upon consent of the receiving country and in conformance with the EPA Acknowledgement of Consent as defined in rule 335-14-1-.02; and~~

~~(e) Provide a copy of the EPA Acknowledgement of Consent for the shipment to the transporter transporting the shipment for export.~~

**Author:** Amy P. Zachry; C. Edwin Johnston; Michael B. Jones; Lynn T. Roper; Michael B. Champion; Bradley N. Curvin; Theresa A. Maines; Vernon H. Crockett.  
**Statutory Authority:** Code of Alabama 1975, §§ 22-30-11, 22-30-14, 22-30-15, and 22-30-16.

**History:** January 12, 1996.

**Amended:** March 28, 1997; March 27, 1998; April 13, 2001; March 15, 2002; April 17, 2003; March 31, 2005; April 4, 2006; April 3, 2007; March 31, 2009; March 31, 2017; XXXXX, 2018.