

Annexure-A

Checklist of document for obtaining Authorization under Section 6 of HOWM Rules, 2016:

A. List of common documents for all kind of authorizations:

1. Duly filled up application in form – 1 (**Online**)
2. Copy of Consent to Establish (CTE) granted by the Board (**for first time authorization**) or, Copy of valid Consent to Operate (CTO) under Water Act, 1974 and Air Act, 1981 granted by the Board (**in case of renewal of authorization**)
3. Occupier/Authorized person Certificate issued by the Management of the applicant industry
4. Copy of emergency response plan regarding procedures for dealing with emergency situations (viz. spillage or release or fire) as specified in the guidelines of CPCB (refer column no. 4 of part A of application form)
5. Undertaking or declaration to comply with all provisions including the scope of submitting bank guarantee in the event of spillage, leakage or fire while handling the hazardous and other waste (refer column no. 5 of part A of application form)
6. Plan showing the details of secured storage of Hazardous Waste wastes with storage capacity including mode of disposal
7. Process flow sheet indicating equipment details, inputs and outputs (raw materials, chemicals, products, by-products, wastes, emissions, waste water etc.) - (refer column no. 1 (b) of part B of application form)
8. Copy of proof of application submitted to the operator of CHWT/SDF for registration / membership and /or agreement made with the actual user of the Hazardous Waste as the case may be (**for first time authorization**) or, Copy of agreement made with the operator of CHWT/SDF and /or with the actual user of the Hazardous Waste as the case may be, authorized from concerned SPCB/PCC with copy of valid authorization issued from concerned SPCB/PCC (**in case of renewal of authorization**)
9. Self-certified compliance report in respect of the conditions specified in the authorization granted earlier (**in case of renewal of authorization**)
10. Copies of annual returns of last 3 years (**in case of renewal of authorization**)

B. In case the unit is engaged in the activity of recycling/re-processing for the hazardous waste as per schedule-IV of HOWM Rules, 2016, the following additional documents apart from the documents as prescribed at A:

1. Registration issued by the District Industries Centre showing installed capacity of unit (**for first time authorization**)

2. Proof of installed capacity of plant and machinery for processing the hazardous waste issued by the District Industries Centre or any other government agency authorized in this behalf **(for first time authorization)**
3. Design scheme of pollution control systems such as Effluent Treatment Plant, Air Pollution Control measures such as scrubbers, etc. including mode of disposal. **(for first time authorization)**
4. Detail of storage facility for raw material and hazardous waste generated **(for first time authorization)**
5. Report on the compliance of the guidelines issued by CPCB from time to time, for Environmentally Sound recyclers of Hazardous Waste, in case of recycling of HW
6. Self-certified compliance report in respect of effluent, emission standards supported with latest analysis report under Water Act, 1974 and Air Act, 1981 as applicable and the conditions specified in the authorization for hazardous and other wastes alongwith copies of annual returns of last 3 years **(in case of renewal of authorization)**

C. In case of the unit is engaged in Utilization of hazardous and other waste as per Rule 9 of the Hazardous and Other Wastes (Management and Transboundary movement) Rules, 2016 following additional documents apart from A above, will also be required:

1. Design scheme of pollution control systems such as Effluent Treatment Plant, Air Pollution Control Measures such as scrubbers, etc. including mode of disposal **(for first time authorization)**
2. Detail of storage facility for raw material and hazardous waste generated **(for first time authorization)**
3. Detailed Report on Standard Operating Procedure and Checklist of Minimal Requisite Facilities for utilization of hazardous waste under Rule 9 of the Hazardous and Other Wastes (Management and Transboundary movement) Rules, 2016, as per the Guidelines, directions, standards issued by the CPCB
4. Self-certified compliance report in respect of effluent, emission standards supported with latest analysis report under Water Act, 1974 and Air Act, 1981 as applicable and the conditions specified in the authorization for hazardous and other wastes alongwith copies of annual returns of last 3 years **(in case of renewal of authorization)**

D. In case of the Common Hazardous Waste Treatment, Storage And Disposal Facility (CHWT SDF) following additional documents apart from A above, will also be required:

1. Copy of prior Environmental Clearance (refer column no. 3 of part C of application form) **(for first time authorization)**
2. Design scheme of pollution control systems such as Effluent Treatment Plant, Air Pollution Control Measures such as scrubbers, etc. with Environment Management Plan **(for first time authorization)**
3. Layout/location map of the site **(for first time authorization)**
4. Report on the compliance with the Guidelines regarding development and operation of TSDF issued by Central Pollution Control Board as amended from time to time.
5. Self-certified compliance report in respect of effluent, emission standards supported with latest analysis report /AAQ and Ground Water Monitoring reports and the conditions specified in the authorization earlier granted and Environmental Clearance where ever applicable alongwith copies of annual returns of last 3 years **(in case of renewal of authorization)**

E. In case unit who is a trader, importing waste on behalf of actual users, apply for one time authorization as per rule 13 for import of other waste listed in part D() of schedule III of Hazardous and Other Wastes (Management and Transboundary movement) Rules, 2016, the following documents are required:**

1. Proof of Name and address of the trader unit.
2. Photocopy of valid trade license of godown address issued by the local authority if any.
3. Copy of registration certificate of TIN/VAT Number/ GST No.
4. Photocopy of the certificate of the Importer-Exporter Code issued by the Ministry of Commerce & Industry govt. of India.
5. Copy of valid consent to operate under Water Act, 1974/Air Act, 1981/authorization under HWM Rules issued by concerned State Pollution Control Board in favor of authorized actual user(s) duly signed and stamped by the authorized actual and applicant.
6. In case the waste proposed to be imported is covered under schedule-IV of the said Rules, then copy of registration under Hazardous Waste (Management Handling & Trans-boundary Movement) Rules, 2008 or Hazardous & Other Waste (Management & Trans-boundary Movement) Rules, 2016, as the case may be, in favor of actual user(s) for which the applicant intended to import hazardous waste, issued by concerned SPCB/PCC, for re-processing/recycling of hazardous waste covered under Schedule-IV,.
7. Authority letter in favor of applicant to sign the said Rules.
8. Description and quantity of waste to be imported for actual user(s) has to be provided with Basel No. separately for individual actual user(s), in column no. 3.

F. For the facilities established outside/inside the State and desirous of 'No Objection Certificate' for transportation of Hazardous and Other Waste for final disposal from the units operating in the state/outside, the following documents will be required

1. Details of the units along with category and quantity of waste from where hazardous and other waste will be collected and Copy of the consent to operate and relevant authorization under the Rules granted to such units.
2. Copy of consent to operate (of both units) and relevant authorization granted to the unit from the concerned State Pollution Control Board (both the units).
3. Copy of Emergency Response Plan (in the event of spillage, leakage, etc.) of the transporter.
4. Undertaking by the unit (which also includes that the documents submitted are correct and proper).
5. Copy of the Standard Operating Procedure issued by the CPCB for the hazardous and other waste for which 'No Objection Certificate' is applied for transportation (where ever applicable).
6. Any other relevant document asked by HSPCB.

G. For the facilities established outside the State and desirous of adding their name for transportation of Hazardous and Other Waste for recycling or utilization including co-processing and final disposal from the units operating in the state/outside, the following documents will be required:

1. Copy of consent to operate and relevant authorization granted to the unit from the concerned State Pollution Control Board (including the details of vehicles).
2. Copy of Emergency Response Plan (in the event of spillage, leakage, etc.) of the transporter.
3. Undertaking by the unit includes that the documents submitted are correct and proper.
4. Undertaking by the unit that the unit will provide the GPS tracking system in the vehicles and will share ID credentials necessary for live tracking of vehicles.
5. Copy of the Standard Operating Procedure issued by the CPCB for the hazardous and other waste for which 'No Objection Certificate' is applied for transportation (where ever applicable).
6. Documents necessary for the creating HROCMS ID (will be notified by a separate order).
7. Any other relevant document asked by HSPCB.