

Table 1: Summary of Universal Waste (UW) Handler Requirements*

[Note: Different Requirements Apply to CRT Material Handlers]

| Management Standards | Household and Conditionally Exempt Small Quantity Universal Waste Generator (CESQUWG) (§66273.8(b) (households); §66273.8(c) (CESQUWGs)) | Small Quantity Handler of Universal Waste (SQHUW) (§§66273.10 through 66273.21) | Large Quantity Handler of Universal Waste (LQHUW) (§§66273.30 through 66273.41) |
|---|--|--|--|
| Definitions | <p>Household: a private residence. (§66273.9)</p> <p>CESQUWG: a person who:</p> <ul style="list-style-type: none"> Generates, in any calendar month, no more than 100 kilograms (220 pounds) of RCRA hazardous wastes (including all universal waste except CRT materials) and no more than 1 kilogram (2.2 pounds) of acutely hazardous waste; Generates, in a calendar year, no more than 5 CRT devices; and Remains in compliance with 40 CFR section 261.5 (§66273.9) | A universal waste handler who does not accumulate 5,000 Kg or more of total universal waste at any time (§66273.9) | A universal waste handler who accumulates 5,000 kilograms or more of total universal waste at any time (§66273.9) |
| Prohibitions | <ul style="list-style-type: none"> Do not dispose (However, temporary exemptions exist for batteries, lamps, thermostats, and Universal Waste Electronic Devices (UWEDs), as specified in §66273.8(a)) (Also see §66273.8(b)(1) (household exemption); §66273.8(c)(1) (CESQUWG exemption)) Do not disassemble or treat, except under the provisions of section 66273.13 (§66273.8(b)(2) (households); §66273.8(c)(2) (CESQUWGs)) | <ul style="list-style-type: none"> Do not dispose (e.g., put in trash or landfill) Do not treat, except in responding to releases as provided in section 66273.17 or by managing specific wastes as provided in section 66273.13 (§66273.11) | <ul style="list-style-type: none"> Do not dispose (e.g., put in trash or landfill) Do not treat, except in responding to releases as provided in section 66273.37 or by managing specific wastes as provided in section 66273.33 (§66273.31) |
| EPA ID/ Notification | Not required | Not required (§66273.12) | Required (§66273.32) |
| Uniform Hazardous Waste Manifest | Not required | Not required | Not required |
| On-Site Accumulation Limits | None | <ul style="list-style-type: none"> Less than 5,000 Kg total universal waste (§66273.9); and No more than 35 kg of mercury that was drained from gauges onsite (§66273.13(g)(2)(I)) | <ul style="list-style-type: none"> No limit for most universal wastes (but see below); No more than 35 kg of mercury that was drained from gauges onsite (§66273.33(g)(2)(I)) |

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|---|---|--|--|
| Waste Management | No specific requirements (but see prohibitions, above) (§§66273.8(b) and 66273.8(c)) | <ul style="list-style-type: none"> • Properly contain wastes (See table 3: "Universal Waste Container Requirements") (§66273.13) • Classify and properly manage wastes generated during cleanup of releases (§66273.13) • Treat only as specified (See table 4: "Handler Treatment Activities") (§66273.13) | <ul style="list-style-type: none"> • Properly contain wastes (See table 3: "Universal Waste Container Requirements") (§66273.33) • Classify and properly manage wastes generated during cleanup of releases (§66273.33) • Treat only as specified (See table 4: "Handler Treatment Activities") (§66273.33) |
| Labeling/Marking | Not required | Label or mark universal waste or containers of universal waste to identify universal waste type (§66273.14) | Label or mark universal waste or containers of universal waste to identify universal waste type (§66273.34) |
| Accumulation Time Limits/ Demonstration Requirements | None | <ul style="list-style-type: none"> • No longer than one year, unless solely for the purpose of proper recovery, treatment, or disposal • Demonstration of accumulation time (§66273.15) | <ul style="list-style-type: none"> • No longer than one year, unless solely for the purpose of proper recovery, treatment, or disposal • Demonstration of accumulation time (§66273.35) |
| Employee Training | Not required | <u>Inform</u> employees of proper handling and emergency procedures (§66273.16) | Ensure employees are <u>thoroughly familiar with</u> proper handling and emergency procedures, relative to their responsibilities (§66273.36) |
| Response to Releases | No specific requirements | <ul style="list-style-type: none"> • Immediately contain releases and residues from UW • May manage residues of leaking, broken or damaged UW as UW, provided the waste is repackaged pursuant to section 66273.13 • Manage other hazardous wastes generated from cleanup as HW (§66273.17) | <ul style="list-style-type: none"> • Immediately contain releases and residues from UW • May manage residues of leaking, broken or damaged UW as UW, provided the waste is repackaged pursuant to section 66273.33 • Manage other hazardous wastes generated from cleanup as HW (§66273.37) |
| Off-site Shipments | Transport universal waste only to another universal waste handler or to a destination facility. (§66273.8(b)(3) (households); §66273.8(c)(3) (CESQUWGs)) | <ul style="list-style-type: none"> • Send only to other handlers, destination facilities, or foreign destinations • Comply with applicable DOT requirements for labeling, marking, placarding, and shipping papers • Follow requirements for rejected shipments (§66273.18) | <ul style="list-style-type: none"> • Send only to handlers, destination facilities, or foreign destinations • Comply with applicable DOT requirements for labeling, marking, placarding, and shipping papers • Follow requirements for rejected shipments (§66273.38) |

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|--|--|---|---|
| Tracking/ Record Keeping | Not required | <ul style="list-style-type: none"> • Keep a record in the form of a log, invoice, manifest, bill of lading, or other shipping documents • Retain records for 3 years (§66273.19) | <ul style="list-style-type: none"> • Keep a record in the form of a log, invoice, manifest, bill of lading, or other shipping documents • Retain records for 3 years (§66273.39) |
| Foreign Exports | Not allowed (§66273.8(b)(3) (households); §66273.8(c)(3) (CESQUWGs)) | Requirements are numerous and vary based on whether receiving country is a member of OECD. General requirements include: <ul style="list-style-type: none"> • Consent of receiving country; • Reporting; • Recordkeeping; • Special notification requirements for exporting UWEDs (§66273.20) | Requirements are numerous and vary based on whether receiving country is a member of OECD. General requirements include: <ul style="list-style-type: none"> • Consent of receiving country; • Reporting; • Recordkeeping; • Special notification requirements for exporting UWEDs (§66273.40) |
| Accumulation of UW Received From Other Handlers | Not allowed (household and CESQUWG exemptions apply only to the generator's own universal waste) (§66273.8(b) (households); §66273.8(c) (CESQUWGs)) | SQHs that accumulate mercury-containing UW from other handlers are subject to special requirements concerning: <ul style="list-style-type: none"> • Handling hazardous materials, • Disclosure, • Location, • Seismic, • Zoning, and • Land use. (§66273.21) [No similar special requirements for non-mercury UW] | LQHs that accumulate mercury-containing UW from other handlers are subject to special requirements concerning: <ul style="list-style-type: none"> • Handling hazardous materials, • Disclosure, • Location, • Seismic, • Zoning, and • Land use. (§66273.41) [No similar special requirements for non-mercury UW] |

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Table 2: Universal Waste (UW) Container Requirements[‡]

| Waste | Container required? | Must the Container be closed, structurally sound, compatible, lacking evidence of leakage, spillage, or damage? | Must the waste be packaged with packing materials adequate to prevent breakage? | Must the container be airtight? | Is a plastic bag required? | Notes/other container requirements |
|---|--|---|---|---------------------------------|--|------------------------------------|
| Batteries (§§66273.13(a)(1) & 66273.33(a)(1)) | Yes, if batteries are broken, damaged, leaking | Yes | No | No | No | |
| Thermostats (§§66273.13(b)(1) & 66273.33(b)(1)) | Yes, if thermostats are broken, damaged, leaking | Yes | No | No | No | |
| Lamps (§§66273.13(c)(1) & 66273.33(c)(1)) | Yes | Yes | No | No | Yes, if evidence of leakage, spillage, or damage | |

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|--|---------------------|--|---|---------------------------------|----------------------------|--|
| <p>Aerosol Cans (nonempty/pressurized) (Health and Saf. Code §25201.16(g) requires handlers to accumulate universal waste aerosol cans in containers that meet the requirements of §25201.16(f))</p> | <p>Yes</p> | <p>Yes (Prior to processing or shipping cans offsite, containers need not be covered, except at the end of each workday (Health and Saf. Code § 25201.16(f)(1)(B))</p> | <p>No</p> | <p>No</p> | <p>No</p> | <p>- Containers must be:</p> <ul style="list-style-type: none"> • Placed in a location that has sufficient ventilation to avoid formation of an explosive atmosphere (Health and Saf. Code §25201.16(f)(2)) • Designed, built, and maintained to withstand pressures reasonably expected during storage and transportation (Health and Saf. Code §25201.16(f)(2)) Placed on or above a floor or other surface that is free of cracks or gaps and is sufficiently impervious and bermed to contain leaks and spills (not applicable prior to processing or shipping cans offsite) (Health and Saf. Code §25201.16(f)(3)(A)) • Incompatible materials must be kept segregated, in separate containers. (Health and Saf. Code §25201.16(f)(4)) • Containers holding flammable wastes must be kept at a safe distance from heat and open flames. (Health and Saf. Code §25201.16(f)(5)) |

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|---|----------------------------|--|--|--|--|---|
| Mercury Thermometers (§§66273.13(e)(1) & (2) & 66273.33(e)(1) & (2)) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |
| Mercury Thermometers (§§66273.13(e)(1) & (2) & 66273.33(e)(1) & (2)) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |
| Mercury-Containing Motor Vehicle Light Switches (§§66273.13(e)(1) & (3)(A)5 & 66273.33(e)(1) & (3)(A)5) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |
| Non-Automotive Mercury Switches (§§66273.13(e)(1) & (3)(A)5 & 66273.33(e)(1) & (3)(A)5) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |
| Dental Amalgam (§§66273.13(f)(1) & 66273.33(f)(1)) | Yes | No | No | Yes | No | <ul style="list-style-type: none"> • Container must be kept closed, except when adding amalgam waste |
| Mercury Pressure or Vacuum Gauges (§§66273.13(g)(1) & 66273.33(g)(1)) | Yes | Yes | Yes | No | Yes | <ul style="list-style-type: none"> • Openings of gauges must be closed • Gauges must be placed upright into container or package • Drained mercury must be placed in secondary container |

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|---|---------------------|---|---|---------------------------------|--|---|
| Mercury-Added Novelties <ul style="list-style-type: none"> • With Mercury Batteries (§§66273.13(h)(1) & 66273.33(h)(1)) | No | n/a | n/a | n/a | n/a | Manage in accordance with the standards for universal waste batteries in §§66273.13 & 66273.33(a). |
| <ul style="list-style-type: none"> • Painted with Mercury-Containing Paint (§§66273.13(h)(2) & 66273.33(h)(2)) | Yes | Yes | No | Yes | No | |
| <ul style="list-style-type: none"> • With Liquid Mercury (§§66273.13(h)(3) & 66273.33(h)(3)) | Yes | Yes | Yes | Yes | No | |
| <ul style="list-style-type: none"> • With Mercury Switches (§§66273.13 & 66273.33) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | Manage in accordance with the standards for universal waste switches and thermometers in §§66273.13 & 66273.33. |
| Mercury Counterweights and Dampers (§§66273.13(i)(1) & (2) & 66273.33(i)(1) & (2)) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |
| Mercury-Added Dilators and Weighted Tubing (§§66273.13(j)(1) & (2) & 66273.33(j)(1) & (2)) | Yes | Yes | Yes | No | Yes, if evidence of leakage, spillage, or damage | |

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|---|---------------------|---|---|---------------------------------|----------------------------|--|
| Mercury-Added Rubber Flooring (§§66273.13(k) & 66273.33(k)) | No | n/a | n/a | n/a | n/a | |
| Mercury Gas-Flow Regulators (§§66273.13(l)(1), (2), & (3) & 66273.33(l)(1), (2), & (3)) | Yes | Yes | Yes | Yes | No | The regulator must be placed upright into container or package. |
| Universal Waste Electronic Devices (§§66273.13(d)(1) & 66273.33(d)(1)) | No | No | No | No | No | Whole UWEDs that are stored in a room on a pallet meet this requirement. |
| CRT Materials (§66273.83(a)) | Yes | Yes | No | No | No | Whole CRT devices that are shrink-wrapped on a pallet meet this requirement. |

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Table 3: Handler Treatment Activities[‡]

| Waste | Treatment Activities that May Be Conducted by a (Universal Waste or CRT Material) Handler without a Permit or Other Authorization | Status of Resultant Material |
|---|---|---|
| Aerosol Cans (Health and Saf. Code §25201.16(h)) | Processing aerosol cans to remove and collect the contents, provided the handler meets all the requirements of subdivisions (h) and (i). (Notes: An offsite commercial processor may not process aerosol cans as a universal waste handler; an offsite commercial processor needs a hazardous waste facility permit to operate. Also, a household hazardous waste collection facility is not considered to be an offsite commercial processor.) | The drained contents of an aerosol can, if characteristically hazardous, are fully-regulated hazardous waste. A drained can, if empty, is not regulated as a hazardous waste. (§66261.7(m)) |
| Batteries (§§66273.13(a)(2) & 66273.33(a)(2)) | Sorting, mixing, or discharging batteries; disassembling battery packs; removing batteries from consumer products | The batteries are universal waste. |
| | Regenerating used batteries | Regenerated batteries are not considered wastes. However, fully-regulated hazardous wastes could also be generated in the process. |
| | Removing electrolyte | Removed electrolyte, if characteristically hazardous, is a fully-regulated hazardous waste |
| Universal Waste Electronic Devices (§§66273.13(d)(2) & 66273.33(d)(2)) | [BEYOND THE SCOPE OF THIS DOCUMENT] | [BEYOND THE SCOPE OF THIS DOCUMENT] |
| Counterweights and Dampers – Mercury | n/a | n/a |
| CRT Materials (§66273.83(b)(1)) (§§66273.83(c)(10) and (11)) | [BEYOND THE SCOPE OF THIS DOCUMENT] | [BEYOND THE SCOPE OF THIS DOCUMENT] |
| | [BEYOND THE SCOPE OF THIS DOCUMENT] | [BEYOND THE SCOPE OF THIS DOCUMENT] |
| Dental Amalgam | n/a | n/a |
| Dilators and Weighted Tubing – Mercury-Added | n/a | n/a |
| Gas-Flow Regulators – Mercury | n/a | n/a |
| Gauges – Mercury Pressure or Vacuum (§§66273.13(g)(2) & 66273.33(g)(2)) | Draining elemental mercury from pressure or vacuum gauges at the site where the gauges were generated | Drained mercury is a universal waste. A drained gauge, if characteristically hazardous, is a universal waste. |
| Lamps (§§66273.13(c)(3) & 66273.33(c)(3)) | Removing lamps from products or structures | Removed lamps are universal wastes. |

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|---|---|---|
| <p>Novelties – Mercury-Added</p> <ul style="list-style-type: none"> With Mercury-Containing Batteries (§§66273.13(h)(1)(A), (B), and (C) & 66273.33(h)(1)(A), (B), and (C)) <p>Painted with Mercury-Containing Paint</p> <ul style="list-style-type: none"> With Liquid Mercury With Mercury Switches (§§66273.13(h)(4)(A), (B), and (C) & 66273.33(h)(4)(A), (B), and (C)) | <p>Removing mercury-containing batteries from novelties</p> <p>n/a</p> <p>n/a</p> <p>Removing mercury switches from novelties</p> | <ul style="list-style-type: none"> After removing batteries, a novelty that contains no other mercury and does not exhibit a hazardous characteristic is non-hazardous waste; Batteries removed from universal waste novelties are universal wastes. <p>n/a</p> <p>n/a</p> <ul style="list-style-type: none"> After removing mercury switches, a novelty that contains no other mercury and does not exhibit a hazardous characteristic is non-hazardous waste; <p>Mercury switches removed from universal waste novelties are universal wastes.</p> |
| <p>Rubber Flooring – Mercury-Added</p> | <p>n/a</p> | <ul style="list-style-type: none"> n/a |
| <p>Switches – Mercury (§§66273.13(e)(3)(A) & 66273.33(e)(3)(A))</p> | <p>Removing mercury switches from motor vehicles and other products</p> | <p>Removed switches are universal waste.</p> |
| <p>Thermometers – Mercury</p> | <p>n/a</p> | <p>n/a</p> |
| <p>Thermostats (§§66273.13 & 66273.33(b)(2))</p> | <p>Removing ampoules</p> | <p>Removed ampoules are universal waste.</p> |
| | | |

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Table 4: Notification and Record Keeping Requirements for Universal Waste (UW) Handlers and CRT Material Handlers ‡

| Waste Streams | Notification | Tracking And Record Keeping |
|---|--|--|
| Universal Waste Handlers – General (All UWs except CRT Materials) | <p>Small Quantity Universal Waste Handler (SQUWH): not required to notify (§66273.12)</p> <p>Large Quantity Universal Waste Handler (LQUWH) (accumulates >5,000 Kg at any time): Notify USEPA of UW management and obtain an EPA ID number (§66273.32)</p> <p>Handlers that export universal waste: Comply with applicable exporter notification requirements:</p> <ul style="list-style-type: none"> • Notification requirements for exports to OECD (§66262.53) or non-OECD (§66262.83) countries • Annual report requirements for exports to non-OECD (§66262.53) countries (§§66273.20 (SQUWH) and 66273.40 (LQUWH)) | <p>All handlers: Maintain shipping records for 3 years. Include names and addresses of handlers, foreign shippers, and destination facilities:</p> <ul style="list-style-type: none"> • from whom universal waste shipments were received, and • to whom universal waste shipments were sent. <p>The records must also include the quantity and type of each universal waste sent or received and the date of shipment or receipt. (§§66273.19 and 66273.39)</p> <p>Handlers that export universal waste: Comply with applicable exporter tracking and recordkeeping requirements:</p> <ul style="list-style-type: none"> • Recordkeeping requirements for exports to non-OECD countries (§66262.57) • Tracking requirements for exports to OECD countries (§66262.84) • Reporting and recordkeeping requirements for exports to OECD countries (§66262.87) (§§66273.20 (SQUWH) and 66273.40 (LQUWH)) |
| Mercury | In addition to applicable handler notification requirements, a handler who accepts mercury-containing universal wastes from other handlers must disclose that mercury is being handled in all business and use permit applications (§§66273.21(b)(2) and 66273.41(b)(2)) | In addition to the notification and record keeping requirements that apply to all universal waste handlers, those that handle mercury must also retain records for the following activities: <ul style="list-style-type: none"> • removing mercury switches from vehicles or appliances (number of: vehicles crushed, baled, sheared, or shredded; appliances destined for shredding; vehicles/appliances destined for crushing, baling, shearing, or shredding determined to contain mercury switches; switches removed; switches that could not be removed) (retain for three years) (§§66273.13(e)(3)(A)7 and 66273.33(e)(3)(A)7) • draining mercury from gauges (date of accumulations; description of gauges; amount of mercury) (§§66273.13(g)(2)(H) and 66273.33(g)(2)(H)) |
| CRTs | [BEYOND THE SCOPE OF THIS DOCUMENT] | [BEYOND THE SCOPE OF THIS DOCUMENT] |
| Universal Waste Electronic Devices | [BEYOND THE SCOPE OF THIS DOCUMENT] | [BEYOND THE SCOPE OF THIS DOCUMENT] |

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| Universal Waste Handlers who Process Pressurized Aerosol Cans | Notify CUPA by certified mail with return receipt requested, no later than the date on which processing commences: <ul style="list-style-type: none"> • handler name, identification number, site address, mailing addresses, and telephone number • description of the UW aerosol can processing activities, including: type and estimated volumes or quantities of aerosol cans to be processed monthly, treatment processes, equipment description and design capacities • characteristics and management of hazardous treatment residuals (Health & Saf. Code §25201.16) | See requirements above for “Universal Waste Handlers – General” |

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