

[Unofficial translation, for information only]

**ANNUAL CERTIFICATE OF OPERATIONS (COA) FORM
POLLUTANT RELEASE AND TRANSFER REGISTER**

ANNUAL CERTIFICATE OF OPERATIONS 20_____



**ANNUAL CERTIFICATE OF OPERATIONS FOR INDUSTRIAL ESTABLISHMENTS
UNDER FEDERAL JURISDICTION DURING THE YEAR 20_____**

TO BE FILLED OUT BY SEMARNAT	
REGISTRATION NO. OF AUTOMATED FILING SYSTEM (SAT):	DATE OF RECEIPT:
RECEIVED BY:	(Receipt Stamp)
Name and signature	

The legal basis for the Annual Certificate of Operations is set forth in:

- General Law of Ecological Balance and Environmental Protection (LGEEPA): articles 109 BIS and 159 BIS.
 - LGEEPA Regulations on the Pollutant Release and Transfer Register: articles 4, 5, 6, 9, 10, 11, 12, 13, 15, 16 and 21.
 - LGEEPA Regulations on Air Pollution Prevention and Control: articles 11, 17 section II, 17 BIS and 21.
 - LGEEPA Regulations on Hazardous Waste: article 8 section XI.
- Law of National Waters: articles 85, 87 and 88 BIS section V.
 - Regulations to the Law of National Waters: articles 133 and 136.
- General Law for Waste Prevention and Comprehensive Management: article 46.

TO BE FILLED OUT BY THE INDUSTRIAL ESTABLISHMENT	Mark with an X the information filed through the Annual Certificate of Operations:
	<input type="checkbox"/> Section I and II. The establishment is under federal air jurisdiction (see list in Exhibit A of the COA filing instructions).
	<input type="checkbox"/> Section III. The establishment discharges wastewater that is received by nationally owned bodies.
	<input type="checkbox"/> Section IV. The establishment generates hazardous waste or is a hazardous waste management service company.
<input type="checkbox"/> Section V. The establishment uses, produces, markets, releases and/or transfers substances subject to PRTR reporting.	

REGISTRATION DATA

TO BE FILLED OUT BY THE INDUSTRIAL ESTABLISHMENT

1) NAME OR COMPANY NAME:		TAXPAYER ID:
2) UNIQUE REGISTRATION NUMBER OF ACCREDITED PERSONS (RUPA) or ENVIRONMENTAL REGISTRATION NUMBER (NRA): (See Trans. Art. 5 of LGEEPA Regulations on PRTR)	3) UNIQUE ENVIRONMENTAL LICENSE NO.: LAU- ___/_____-_____	4) OPERATING LICENSE NO.: _____
5) ESTABLISHMENT'S PRIMARY PRODUCTION ACTIVITY		
6) APPOINTED TECHNICIAN (Designated by the establishment for consultation and clarification of information, only if other than the legal representative) NAME: <input type="checkbox"/> Internal <input type="checkbox"/> External		
7) CONSULTANT'S NAME OR COMPANY NAME: (Where the certificate has been prepared by a consultant)		
8) NAME AND SIGNATURE OF LEGAL REPRESENTATIVE OR REQUIRED INDIVIDUAL		9) PERSONAL ID NUMBER OF LEGAL REPRESENTATIVE OR REQUIRED INDIVIDUAL _____
<p>I HEREBY STATE UNDER OATH that the information contained on this form and its schedules is true and may be verified by Semarnat when so required, and that any omission or inaccuracy may void the filing and/or imposition of the corresponding penalties.</p>		<p>In order that this information submitted to the Secretariat may be accepted, it must be hand-signed by the legal representative or electronically signed by the reporting establishment, in accordance with articles 15 and 16 of the LGEEPA Regulations on the Pollutant Release and Transfer Register.</p>

REGISTRATION DATA (CONTINUED)

10) ESTABLISHMENT'S ADDRESS Population Center () Industrial Park or Port () Other () Specify industrial park, port or other: _____ Street (also indicate cross streets or point of reference): _____ Exterior No. and Interior No. or Block and Lot No.: _____ District : _____ Postal Code: _____ Town (other than D.F.): _____ Municipality or Delegation: _____ State: _____ Telephone numbers (include long-distance codes): _____ Fax (include long-distance code): _____ Email(s): _____			
11) DOMICILE AND OTHER MEANS TO HEAR AND RECEIVE NOTICES (Only if other than the establishment's address) Street (also indicate cross streets or point of reference): _____ Exterior No. and Interior No. or Block and Lot No.: _____ District : _____ Postal Code: _____ Town (other than D.F.): _____ Municipality or Delegation: _____ State: _____ Telephone numbers (include long-distance codes): _____ Fax (include long-distance code): _____ Email(s): _____			
12) GEOGRAPHICAL LOCATION UTM coordinates: X = _____ (m) Y = _____ (m) or Geographical coordinates: North latitude: <input type="text"/> <input type="text"/> degrees <input type="text"/> <input type="text"/> minutes <input type="text"/> <input type="text"/> seconds West longitude: <input type="text"/> <input type="text"/> <input type="text"/> degrees <input type="text"/> <input type="text"/> minutes <input type="text"/> <input type="text"/> seconds Indicate the (Universal Transversal Mercator--UTM) or geographical coordinates. The COA reporting program automatically generates the UTM units. For further information on UTM cartographical coordinates and UTM zones, see Chapter 5 (Section 5.2) of the COA filing instructions.	UTM ZONE _____ ALTITUDE <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Meters above sea level	13) PERSONNEL Total no. of administrative employees: _____ Total no. of plant workers: _____	14) PLANT WORKING HOURS AND WEEKS Monday to Friday _____ hours/day Saturday _____ hours/day Sunday _____ Weeks/yr _____
15) PLANT OPERATIONS START DATE: Day <input type="text"/> <input type="text"/> Month <input type="text"/> <input type="text"/> Year <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	16) SHAREHOLDERS: Only national () Majority national () Majority foreign () Only foreign ()		
17) DATA ON LAST NAME CHANGE Date of change: Day <input type="text"/> <input type="text"/> Month <input type="text"/> <input type="text"/> Year <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Previous name: _____ Previous RUPA or NRA: _____		
18) MEMBERSHIP CHAMBER AND REGISTRATION NO.:	19) PARENT COMPANY INFORMATION Name: _____ Location: Country _____ State or Province _____ Dun and Bradstreet Number _____	20) ESTABLISHMENT'S DUN AND BRADSTREET NUMBER. Only the establishment has such number (for further information see Section 5.3 of the COA filing instructions). _____	

SECTION I. GENERAL TECHNICAL INFORMATION

This first section requests all process information: inputs, products and byproducts and the industrial establishment's fuel consumption. It includes an operating flowchart and essential information for linking, understanding and validating the data in the various sections of the Annual Certificate of Operations (releases and transfers into the air, water and subsoil, and hazardous waste and wastewater discharges received by national water bodies), to be included in the Pollutant Release and Transfer Register database.

1.1 OPERATIONS

Prepare and submit the *Operation Flowcharts* and the *Summary Table* following the example included in Chapter 3 of the COA filing instructions, showing the information requested in the various sections. The operation flowcharts and summary table should include all steps in production and auxiliary services within the establishment, graphically identifying the use of inputs and water, fuel consumption, air emissions, water discharges, hazardous waste generation, energy loss and waste and wastewater transfers, using the following symbols (See Chapter 3 of the COA filing instructions):

KEY		
INPUTS	RELEASES AND/OR EMISSIONS	SUBSTANCE TRANSFER (in wastewater and wastes)
 Input entry	 Release of pollutants into atmosphere	 Total transfer
 Fuel consumption	 Discharge of wastewater received by nationally owned bodies (water release)	 Partial transfer
 Water usage	 On-site release of PRTR materials and substances into soil	REU Reuse
	 Hazardous waste generation	REC Recycling
	 Solid waste generation	COP Coprocessing
	 Release of energy	TRA Treatment
		DIF Final disposal
		ALC Sewer
		OTR Other

1.2 INPUTS. Includes all inputs involved in the process and auxiliary services. This table does not include the annual fuel consumption for power.

Inputs involved in	Name ⁴			Point of consumption ⁵	Physical state ⁶	Form of storage ⁷	Annual consumption	
	Commercial	Chemical	CAS No.				Quantity	Unit ⁸
Process ^{1,2}								
Auxiliary services ³								

- 1 Production process to generate a good or service, or as applicable a hazardous waste or wastewater treatment process (in these last two cases, when it is the primary activity).
- 2 Indicate the chemical substances, compounds and fuels used in the process as raw materials.
- 3 Activities or equipment that are auxiliary in the production process, for example: furnaces, cooling systems, bathrooms, kitchens, maintenance, loaders, etc.
- 4 Provide the commercial and chemical name of the inputs used. In the case of pure substances, provide the Chemical Abstract Service (CAS) number. When not applicable, enter NA. When the information is not available, enter ND.
- 5 Enter the number appearing on the operations flowcharts and summary table, corresponding to the point (equipment, process, etc.) where the reported input is used.
- 6 Indicate whether it is gaseous (GP), nonaqueous liquid (LN), aqueous liquid, (LA), solid (S) or semisolid (SS).
- 7 Indicate whether the storage type is bulk roofed (GT), bulk unroofed (GI), metal drum (TAM), metal tank (TAN), plastic bag (BP), plastic container (CP), cardboard container (CC) or other (OF), specify. Use more than one code as needed.
- 8 Annual consumption is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year), or volume: L/yr (liters/year), gal/yr (gallons/year), brl/yr (barrels/year), m³/yr (cubic meters/year) or ft³/yr (cubic feet/year).

1.3 PRODUCTS AND BYPRODUCTS. (Not including byproducts and formulated fuels produced and consumed at the same plant)

Name of product or byproduct	Chemical name ¹	Physical state ²	Form of storage ³	Installed production capacity ⁴	Annual production	
					Quantity	Unit ⁵

- 1 Report the chemical name of the product or byproduct when available. If not applicable enter NA, or when not available enter ND.
- 2 Indicate whether the product or byproduct is gaseous (GP), nonaqueous liquid (LN), aqueous liquid, (LA), solid (S) or semisolid (SS).
- 3 Indicate whether the storage type is bulk roofed (GT), bulk unroofed (GI), metal drum (TAM), metal tank (TAN), plastic bag (BP), plastic container (CP), cardboard container (CC) or other (OF), specify. Use more than one code as needed.
- 4 Indicate the plant production capacity in the same units as reported for annual production.
- 5 Annual production is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year); units of volume: L/yr (liters/year), gal/yr (gallons/year), brl/yr (barrels/year), m³/yr (cubic meters/year), ft³/yr (cubic feet/year); or units/yr or pieces/year.

1.4 FUEL CONSUMPTION**1.4.1 Annual consumption of fuels for power.**

Consumption area	Fuel type ¹	Annual consumption	
		Quantity	Unit ²
Production process and auxiliary services			
Electrical power self-generation			

1 Indicate whether the fuel used is natural gas (GN), LP gas (LP), heavy fuel-oil (CBP), light fuel-oil (CBL), gasoil (GO), diaphanous (DF), diesel (DI), gasoline (GA), coal (CA), coal coke (CCA), oil coke (CPE), bagasse (BG), cellulose (CL), wood (MA), formulated fuels (RC), specify which, or others (RO), entering the name of the fuel in the same space. When not applicable enter NA.

2 Annual fuel consumption is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year), or volume: L/yr (liters/year), gal/yr (gallons/year), brl/yr (barrels/year), m³/yr (cubic meters/year) or ft³/yr (cubic feet/year).

1.4.2 Annual electrical power consumption.

Annual consumption	Quantity ¹	Unit ²
Outside supply		

1 Indicate the annual quantity of outside-supplied electrical power. When not applicable enter NA.

2 To report annual consumption of outside-supplied electrical power use units of: KWhr (kilowatt hours) or MWhr (megawatt hours).

SECTION II. REGISTER OF AIR POLLUTION RELEASES

Releases of sulfur dioxide (SO₂), nitrous oxide (NO_x), total suspended particles (TSP), carbon monoxide (CO), carbon dioxide (CO₂), total hydrocarbons (THC) and volatile organic compounds (VOCs) are reported pursuant to the Mexican Official Standards in effect, as are the characteristics of the machinery, equipment or activity that generated the release and the characteristics of the ducts and stacks through which the releases are carried. For this section, consult the codes in Tables 4.1, 4.2, 4.3, 4.4, 4.5 and 4.6 of the COA filing instructions code catalog.

2.1 GENERATION OF AIR POLLUTANTS (gases and/or solid or liquid particles)

2.1.1 Characteristics of the pollutant-generating machinery, equipment or activity.

Equipment machinery, or activity code ¹	Point of generation ²	Operating time (hours/year)	Type of release ³	Equipment capacity ⁴		Combustion equipment and/or release-generating activity			
				Quantity	Unit ⁴	Type of burner ⁵	Annual fuel consumption		
							Type ⁶	Quantity	Unit ⁷

- 1 Indicate the code of the facility, equipment, machinery or activity code where air pollutants are generated, in accordance with Tables 4.1 and 4.2 of the COA filing instructions code catalog.
- 2 Enter the identification number of the machinery, equipment or activity where air pollutants are generated, corresponding to the entries in the operation diagrams and summary table requested in Section 1.1, Operations.
- 3 Indicate whether the release is carried (C), fugitive (F) or open-air (A), if the combustion is open-air. When the release is carried relate it to the machinery, equipment or activity with the following Table 2.1.2, which requests the characteristics of the stacks or discharge ducts.
- 4 Indicate equipment capacity units as defined by the manufacturer. In the case of combustion equipment, indicate the nominal thermal capacity of the equipment in: cc (boiler horsepower), MJ/hr (megajoules/hour), kcal/hr (kilocalories/hour), BTU/hr (British Thermal Units/hour) or lb/hr (steam pounds/hour). When not applicable enter NA.
- 5 Burner type may be selected under Table 4.2 of the COA filing instructions code catalog.
- 6 Indicate whether the fuel used is natural gas (GN), LP gas (LP), heavy fuel-oil (CBP), light fuel-oil (CBL), gasoil (GO), diaphanous (DF), diesel (DI), gasoline (GA), coal (CA), coal coke (CCA), oil coke (CPE), bagasse (BG), cellulose (CL), wood (MA), formulated fuels (RC), specify which, or others (RO), entering the name of the fuel in the same space. When more than one fuel is used specify the type and quantity of each. When not applicable enter NA.
- 7 Annual consumption is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year), or volume: L/yr (liters/year), gal/yr (gallons/year), bbl/yr (barrels/year), m³/yr (cubic meters/year) or ft³/yr (cubic feet/year).

2.1.2 Characteristics of stacks and discharge ducts for emissions released in Table 2.1.1 above.

Duct or stack ¹	Point of release ²	Related point(s) of generation ³	Height ₁ ⁴ (m)	Height ₂ ⁵ (m)	Inner diameter or equivalent diameter (m)	Gas flow speed ⁶ (m/s)	Volumetric speed ⁶ (m ³ /min)	Exiting gas temperature (°C) ⁶

- 1 Enter the name or identification number used at the establishment for the reported duct or stack.
- 2 Enter the identification number of the duct or stack from which air pollutants are released, according to the operations flowchart.
- 3 Indicate the generation points (established as a carried release in Table 2.1.1 for the equipment, machinery or activity under this section), associated with each stack or duct, so as to relate release points to generation points.
- 4 Height in meters of the stack or discharge duct, measured from floor level.
- 5 Height in meters of the stack or discharge duct, measured from the last perturbation.
- 6 Indicate the average results obtained from all monitoring performed in the reporting year, considering the average between the first and second monitoring run, at 1 atm, 25°C and dry base. These data should correspond to the stack gas and particle sampling when the guidelines of the respective standard are applied. Where no standard is applied and/or the exiting gas speed is unknown, the volumetric speed or temperature, and/or in the case of venting ducts, enter ND (not available) and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.

2.2 STANDARDIZED AIR RELEASES. Report the results of the sampling and analysis conducted under the applicable standards.

Point of release ¹	Equipment or activity subject to standard ²	Applicable standard ²	Standardized parameters ²	Maximum allowable value		Monitoring ⁴					Control system or equipment		
				Quantity	Unit ³	Monitored value ⁵				Average value ⁵	Unit ³	Code ⁷	Efficiency (%) ⁸
						1	2	3	4				

- 1 Enter the number of the release point corresponding to the duct or stack from which air pollution is released, according to the required operations flowchart and summary table.
- 2 List the equipment or operations relating to each release point, according to Table 2.1.2 of this form, and indicate the corresponding standardized pollutant according to the activity carried on and the number of the current standard, as listed in Table 4.3 of the COA filing instructions code catalog.
- 3 The reported units of each pollutant should be indicated in accordance with the respective standard.
- 4 The sampling logs and related technical documentation should be kept in case it is required by Semarnat or Profepa. In the case of the parameters CO₂, CO, O₂, N₂ and NO_x, under NOM-085-SEMARNAT-1994 the sampling period average should be reported. If this information is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 5 Indicate the values for each monitoring performed during the year, considering the average between the first and second monitoring runs.
- 6 Indicate the average of all monitoring performed in the reporting year. Average of measurements from preceding point.
- 7 Indicate the air emissions control system(s) and/or equipment in accordance with Table 4.6 of the COA filing instructions code catalog. Use more than one code as needed. Where there are no emissions control systems or equipment enter NA (not applicable), or when this information is not available enter ND in the corresponding column.
- 8 Report the last control equipment efficiency value calculated for the reporting year. When not applicable enter NA or when no information is available enter ND.

2.3 ANNUAL RELEASES. The reporting of annual releases requested in the following table for each release point corresponds to the releases from the pollution-generating machinery, equipment or activities reported in Table 2.1.1. The releases of standardized parameters should be obtained using the measurement of emissions as specified in the corresponding Mexican Official Standards. When no standard applies, theoretically the releases are estimated using release factors, balances of materials, approximation based on historical data or mathematical release models. The corresponding worksheets should be kept to be made available to Semarnat or Profepa when so required. The measurement of standardized parameters should be done after the control system or equipment. Note that this table should not include the information reported in Section V.

Pollutant	Point of release ¹	Annual release		
		Quantity ²	Unit ³	Estimation method ⁴
Sulfur dioxide (SO ₂)				
Nitrous oxide (NOx)				
Total suspended particles (TSP)				
Carbon monoxide (CO)				
Carbon dioxide ⁵ (CO ₂)				
PM-10 particles ⁸ (PM ₁₀)				
Total hydrocarbons ^{5,6} (THC)				
Volatile organic compounds ^{5,7} (VOCs)				
Others (specify)				

- 1 Enter the number of the release point corresponding to the duct or stack from which air pollutants are released, according to the required operations flowcharts and summary table.
- 2 Enter the annual quantity of the pollutant released.
- 3 The annual release is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).
- 4 Indicate whether the method used to obtain the total annual quantity released per event was: direct measurement (MD), balance of materials (BM), approximation using historical data (DH), release factors (FE), engineering calculations (CI), mathematical modeling (MM) or other, specified in the same space (OM). The calculation worksheets should be kept along with the related technical documentation to be shown as required by Semarnat or Profepa. Show the reference(s) for release factors and name and version for mathematical modeling, in the same estimation method column.
- 5 To calculate CO₂, THC and VOCs, the use of AP-42 release factors from the U.S. Environmental Protection Agency document "Air Chief" are recommended. For further information, consult: <<http://www.epa.gov/ttn/chief/app/42/index.html>>.
- 6 Report the release of total hydrocarbons (methanic and nonmethanic) released into the air by combustion equipment. Hydrocarbon emissions in processes not involving combustion equipment should be reported as volatile organic compounds.
- 7 If the establishment has measurements or estimates of specific volatile organic compounds from the PRTR listing published by Semarnat, it should report them by substance in Section V of this form (Pollutant Release and Transfer Register).
- 8 This information may be reported optionally on this table.

SECTION III. REPORTING OF DISCHARGES (RELEASES) INTO BODIES OF WATER AND TRANSFERS OF POLLUTANTS IN WATER

The following three tables relate the information on water usage to the wastewater release data. The last table of this Section requests the final discharge volumes finales, concentrations and annual releases of the standardized parameters into receiving bodies and sewers. For this Section, consult Tables 4.7, 4.8 and the hydrological region map in the code catalog found in the COA filing instructions.

3.1 USAGE. Report the establishment’s water extraction sources.

Water extraction sources ¹	Number of concession title or assignment ²	Hydrological Region ³	Annual usage ⁴	
			Quantity	Unit

- 1 Enter the origin of each of the company’s extraction or supply source, indicating: drinking water network (AB), surface (FS), underground (ST), brackish (SL), internally treated water (TIN), externally treated water (TE), untreated reused water (AST), contaminated water collected and treated by a company for use in its process (ACE) or other (O), specified in the same space. Use more than one code as needed. When not applicable enter NA.
- 2 Indicate the number corresponding to the title or assignment, according to the jurisdiction of the source. When not applicable enter NA (such as in the case of trucked-in water).
- 3 The hydrological region from which the water supply is derived should be entered according to Table 4.7 of the COA filing instructions code catalog and the hydrological region map. When not applicable enter NA.
- 4 To report the quantity of water used, use units of annual volume: L/yr (liters/year), m³/yr (cubic meters/year), ft³/yr (cubic feet/year) or gal/yr (gallons/year).

3.2 WASTEWATER DISCHARGE

3.2.1 Discharges received by national water bodies (release) and sewer (transfer).

Type of discharge ¹	Discharge number ²	Discharge origin ³	Discharge destination ⁴	Name of receiving national water body ⁵	Hydrological Region ⁶	Annual on-site treatment		
						Code ⁷	Quantity	Unit ⁷
Release	<i>Discharge 1</i>							
	<i>Discharge 2</i>							
Transfer	<i>Discharge 3</i>							
	<i>Discharge 4</i>							

- 1 Indicate whether the discharge is a release (on-site wastewater discharge into nationally owned waters or properties), or a transfer (wastewater discharge into the sewer or for off-site reuse or treatment).
- 2 Number the discharges consecutively so as to identify them clear in Table 3.2.3.
- 3 Indicate whether the discharge is derived from: production process (PP), services and administration (SA), wastewater treatment (TAR), processes and services (PS), gas washing (LG), cooling systems (SE), rainwater (ALL), mixed currents (CMZ), water conditioning for industrial processes (AA) or other discharge types (OD), identified in the same space. Use more than one code as needed. When there are no wastewater discharges enter NA.
- 4 Indicate whether the discharge is transferred to the sewer (AL), released into a nationally owned receiving body (CR), used for farm irrigation (RA), used for the establishment’s lawn watering RV), reused at the establishment (RI), for sale (VE) or other (O), specify. Use more than one code as needed.
- 5 For discharges received by a national water body (lagoon, river, sea, etc.) provide the name. Otherwise indicate NA.
- 6 The Hydrological Region where the national water body receives the wastewater discharge should be entered according to Table 4.7 of the COA filing instructions code catalog and hydrological region map.
- 7 The annual treatment should be in accordance with Table 4.8 of the COA filing instructions code catalog, reported in units of volume: L/yr (liters/year), m³/yr (cubic meters/year), ft³/yr (cubic feet/year) or gal/yr (gallons/year). Use more than one code as needed.

3.2.2 Total annual volume of wastewater discharges into receiving bodies that are national waters or properties (cubic meters): _____

3.2.3 Annual releases and transfers of wastewater discharges. Note that this table should not include the information reported in Section V.

Parameter ¹	Discharge 1		Discharge 2		Discharge 3		Total annual release ⁶	
	Volume 1= (L/year) ²		Volume 2= (L/year) ²		Volume 3= (L/year) ²			
	Concentration ³ (mg/L)	Release ⁴ (mg/year)	Concentration ³ (mg/L)	Release ⁴ (mg/year)	Concentration ³ (mg/L)	Release ⁴ (mg/year)	Quantity	Unit ⁷
Greases and oils								
Total suspended solids								
Total arsenic								
Total cadmium								
Total cyanide								
Total copper								
Hexavalent chromium								
Total phosphorus								
Total mercury								
Total nickel								
Total nitrogen								
Total lead								
Total zinc								
Other parameters ⁵ : _____								

- 1 Corresponding to parameters subject to measurement under Mexican Official Standards, or as applicable the particular discharge conditions established by the competent authority. When the value of the requested information is zero or undetectable, enter the number 0. When not applicable enter NA or when there is no available information enter ND.
- 2 Enter the annual volume of each discharge, in units of volume: liters/yr (L/year). Where there is a CNA permit, obtain this information from the sum of volumes reported in each quarterly report from the annual reporting period.
- 3 Report the average concentration of the pollutant in each discharge, in units of concentration: milligrams/liter (mg/L). Where there is a CNA permit, report the annual average annual concentrations reported in the quarterly reports corresponding to the annual reporting period. When the value of the requested information is zero or undetectable, enter the number 0. When not applicable enter NA or when there is no available information enter ND.
- 4 Enter the annual quantity of the pollutant or parameter released, in units of mass: milligrams/year, (mg/year). In this case, the release is calculated by multiplying the volume of the discharge by its concentration: $V \times C = E$.
- 5 Specify the parameter referenced in the particular discharge conditions.
- 6 The total release quantity is the sum of pollutant emissions from all discharges.
- 7 The annual quantity of pollutants or parameters released is reported in units of mass: g/yr (grams/year), kg/yr (kilograms/year) or t/yr (metric tons/year).

SECTION IV. REPORTING OF HAZARDOUS WASTE GENERATION, MANAGEMENT AND TRANSFER

This Section requests information on hazardous waste, such as information on the generation and transfer of waste for reuse, recycling, coprocessing, treatment and final disposal, for hazardous waste-generating establishments and establishments providing a waste management service. To fill out this form, consult Tables 4.9 and 4.10 in the COA filing instructions code catalog.

4.1 REPORTING OF HAZARDOUS WASTE GENERATION AND TRANSFER. This Table should be filled out by hazardous waste-generating establishments (including treatment service companies that generate hazardous waste). The generator must contract the services of only companies authorized to handle hazardous waste (LGEEPA Article 151 BIS and Article 10 of the LGEEPA Regulations on Hazardous Waste).

Generation area ²	Waste identification						Annual waste generation		Transfer of generated hazardous waste								
	NOM-052-SEMARNAT-1993 ³	Code ⁴	C R E T I B ⁵				Quantity	Unit ⁶	New waste ⁷	Annual transfer of waste				Carrier name and authorization No. ¹⁰	Collection center name and authorization No. ¹¹	Name and authorization No. of the hazardous waste management service company ¹²	Location (Address, Municipality, State and Country) of the hazardous waste management service company
											Quantity	Unit ⁶	Type of transfer ⁸				

- 1 Number assigned by Semarnat to the hazardous waste-generating industrial establishment.
- 2 Indicate whether the substance was generated in the input transport area (TI) and import storage area (AMP) during the production process (PP), product storage (PR), product transport (TP), product unloading (DES), auxiliary services (SAX), maintenance (MN), others (OA), specify. If no hazardous waste was generated in the reporting year, enter NA.
- 3 Name and identification number of the hazardous waste, according to NOM-052-SEMARNAT-1993 listing. If the waste is not listed, indicate Corrosive, Reactive, Explosive, Toxic, Flammable, or Biological-Infectious (CRETIB) characteristics.
- 4 Hazardous waste code under Table 4.9 of the COA filing instructions code catalog, only if not found in the NOM-052-SEMARNAT-1993 listing or current standards.
- 5 When the hazardous waste is not listed in NOM-052-SEMARNAT-1993, mark with an X the initials for: (C) Corrosive, (R) Reactive, (E) Explosive, (T) Toxic, (I) Flammable, or (B) Biological-Infectious, corresponding to the characteristics of the waste's hazard.
- 6 The annual quantity of hazardous waste generated and/or transferred is reported in units of mass or volume: kg/yr (kilograms/year), t/yr (metric tons/year) or m³/yr (cubic meters/year).
- 7 Mark with an X if the waste is a new waste generated by the establishment.
- 8 Enter the type of transfer. Waste transferred for: reuse (REU), recycling (REC), coprocessing (COP), treatment (TRA) or final disposal (DIF).
- 9 Enter the code from Table 4.10 of the COA filing instructions, corresponding the typical processes for reuse, recycling, coprocessing, treatment and final disposal of hazardous waste. Use more than one code as needed.
- 10 Indicate the authorization number for hazardous waste collection and transport service companies issued by Semarnat. If this number is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 11 Indicate the authorization number for the collection center (storage) service company authorized by Semarnat. If this number is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 12 Indicate the authorization number for hazardous waste reuse, recycling, coprocessing, treatment or final disposal (DIF) issued by Semarnat. If this number is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.

4.2 ON-SITE HAZARDOUS WASTE STORAGE. Enter the characteristics of the hazardous waste storage.

Warehouse No.	Type of storage ¹		Warehouse characteristics ²			Hazardous waste stored					
	Roofed	Unroofed	Site	Ventilation	Lighting	Waste identification		Annual quantity ⁵	Unit ⁶	Form of storage ⁷	Period ⁸ (days)
						NOM-052-SEMARNAT-1993 ³	Code ⁴				

- 1 Mark the corresponding column with an **X**.
- 2 Indicate whether the site is closed (LC) or open (LA); if the ventilation is natural (VN), forced (VF) or nonexistent (VI); and whether the lighting is natural (IN), explosion-proof (NE) or not explosion-proof (SE).
- 3 Name and identification number of the waste, according to NOM-052-SEMARNAT-1993 listing.
- 4 Hazardous waste code according to Table 4.9 of the COA filing instructions code catalog.
- 5 Total annual quantity of hazardous waste stored.
- 6 Annual quantity of hazardous waste stored is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).
- 7 Indicate if the form of storage is bulk (GR), metal container (CM), plastic container (CP), plastic bag (BP), cardboard container (CC) or other, specified in the same space (OF). Use more than one code as needed.
- 8 Maximum storage time for a lot of waste, in days.

4.3 HAZARDOUS WASTE MANAGEMENT. This table should be filled out only by companies that reuse, recycle, coprocess, treat or confine their own hazardous waste and/or service companies to which hazardous waste has been transferred for reuse, recycling, treatment and/or final disposal.

Treatment	RUPA or NRA ¹	Waste identification								Type of transfer ⁵	Handling code ⁶	Total handled		Collector and carrier data ⁸			Name and Authorization No. of the hazardous waste management service company ¹⁰
		NOM-052-SEMARNAT-1993 ²	Code ³	CRETIB ⁴								Annual quantity ⁷	Unit ⁷	Quantity ⁹	Unit ⁹	Name and authorization No.	
On-site																	
Service company																	

- 1 Enter the Unique Registration Number of Accredited Persons (RUPA) or the Environmental Registration Number (NRA) of the customers to whom the hazardous waste management service is provided. If this number is not available state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 2 Waste identification number under NOM-052-SEMARNAT-1993. If the waste is not listed, indicate Corrosive, Reactive, Explosive, Toxic, Flammable, or Biological-Infectious (CRETIB) characteristics.
- 3 Hazardous waste code in accordance with Table 4.9 of the COA filing instructions code catalog, only when not listed in NOM-052-SEMARNAT-1993 or current standards.
- 4 When the hazardous waste is not listed in NOM-052-SEMARNAT-1993, mark with an **X** the initials for: (C) Corrosive, (R) Reactive, (E) Explosive, (T) Toxic, (I) Flammable, or (B) Biological-Infectious, corresponding to the characteristics of the waste's hazard.
- 5 Indicate whether the waste was transferred for reuse (REU), recycling (REC), coprocessing (COP), treatment (TRA) or final disposal (DIF).
- 6 Enter the code from Table 4.10 of the COA filing instructions, corresponding the typical processes for reuse, recycling, coprocessing, treatment and final disposal of hazardous waste. Use more than one code as needed.
- 7 Annual quantity handled is reported in units of mass or volume: kg/yr (kilograms/year) or t/yr (metric tons/year) or m³/yr (cubic meters).
- 8 Indicate the authorization number for hazardous waste collection or transport service companies, issued by Semarnat. If this number is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 9 Annual quantity collected or transported is reported in units of mass or volume: kg/yr (kilograms/year) or t/yr (metric tons/year) or m³/yr (cubic meters).
- 10 Hazardous waste management service company should enter the authorization number for reuse, recycling, coprocessing, treatment and/or final disposal. If this number is not available enter ND and state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.

SECTION V. POLLUTANT RELEASES AND TRANSFERS

This section reports the information on pollutant releases and transfers and the prevention and control of pure PRTR substances or substances contained in materials. The information is segregated by substance when found in inputs, as a formula component, in the chemical composition of hazardous waste, in the discharge of wastewater received by national water bodies, or as a component of gases released into the atmosphere. Table 5.5 of this Section should be filled out only by hazardous waste or wastewater management service companies that receive pure substances or substances contained in hazardous waste or wastewater discharges.

For this Section, consult the list of substances (see Transitional Article 3 of the LGEEPA Regulations on the Pollutant Release and Transfer Register), as well as the safety data sheets for the industrial establishment's inputs and products.

5.1 USE, PRODUCTION AND/OR COMMERCIALIZATION OF PRTR SUBSTANCES AT THE ESTABLISHMENT. This table should be filled out by establishments that use, product or market substances subject to PRTR reporting.

Substantive activity	Name of material containing the substance ¹	Handling code ²	Containing PRTR substances			Annual quantity ⁴	Unit ⁵
			Substance name ³	Code or CAS No. ³	% weight of the substance		
Substances used in process	Direct use ⁶						
	Indirect use ⁷						
Substances produced ⁸							
Other uses ⁹							

1 Indicate the general name of the input or material containing PRTR substances. In the case of pure substances enter NA and the name of the pure substance in the corresponding column.

2 The substance handling codes correspond to the respective activities (see points 6, 7, 8, and 9).

3 Name and code or CAS No. of the substance according to the Semarnat listing. When there is no code enter S/C.

4 Annual quantity of pure substance or substance contained in the input, hazardous waste or material.

5 Annual quantity is reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).

6 Substances used directly in process: imported and used as raw material (IM), pure raw material (MP), raw material component (CM), reactive (RE) or other (OT), specify.

7 Substances used indirectly in process, used as: catalyst (CA), solvent (SO), buffer (BU), refrigerant (RF), lubricant (LU), degreaser (DE), cleaner (LM), waste treatment (TR) or other (OT), specify. Use more than one code as needed.

8 Substances produced: indicate whether it forms part of the establishment's primary production (PP), used and processed on-site (UP), sold or distributed (VD), is a byproduct (SP), is an impurity in the product or byproduct (IM) or other (OT), specify. Use more than one code as needed.

9 Other uses: indicate if it is imported for direct sale (IV), if the substance or material containing it is packaged only for sale and/or distribution (EV), if it is used in packaging activities (EM), if it is used in auxiliary services (SA) or other (OT), specify. Use more than one code as needed.

5.2 RELEASES AND TRANSFERS OF PRTR SUBSTANCES. This table should be filled out by establishments that in the normal course of their activity have generated releases into any medium (air, water or soil) and/or transferred substances in water discharges and waste in the prior year.

Release/Transfer		Identification of listed substances			Generation area ²	Annual release or transfer			Data on the hazardous waste and wastewater management service company where the substances were transferred		
		Name of the material containing the PRTR substance	Substance name ¹	Code or CAS No. ¹		Quantity	Unit ³	Estimation method ⁴	Name and Authorization No. ⁵	Form of handling ⁶	Address, state and country
Released to:	Air ⁷										
	Water ⁸										
	Soil ⁹										
Transferred to:	Reuse ¹⁰										
	Recycling ¹¹										
	Coprocessing ¹²										
	Treatment ¹³										
	Final disposal ¹⁴										
	Sewer ¹⁵										
	Other (specify)										

- 1 Name and code or CAS No. of the substance according to the Semamat listing. When there is no code enter S/C.
- 2 Indicate whether the substance was generated in the input transport area (TI) and import storage area (AMP) during the production process (PP), product storage (PR), product transport (TP), product unloading (DES), auxiliary services (SAX), maintenance (MN), others (OA), specify. Use more than one code as needed.
- 3 The annual release or transfer of the substance is reported in units of annual mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).
- 4 Indicate whether the method used to obtain the total annual quantity released per event was: direct measurement (MD), balance of materials (BM), approximation using historical data (DH), release factors (FE), engineering calculations (CI), mathematical modeling (MM) or other, specified in the same space (OM). The calculation worksheets should be kept along with the related technical documentation to be shown as required by Semamat or Profepa. Show the reference(s) for release factors and name and version for mathematical modeling, in the same estimation method column.
- 5 Enter the name of the establishment to which the substances were transferred and the authorization number of the institution that authorized the hazardous waste or wastewater management or soil and aquifer treatment service company. When not applicable enter NA and when not available enter ND, stating the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 6 Enter the code from Table 4.10 of the COA filing instructions, corresponding to the typical processes of reuse, recycling, coprocessing, treatment and final disposal of hazardous waste.
- 7 Report air releases of PRTR substances not reported in Section II.
- 8 Report releases of PRTR substances in wastewater discharges received by nationally owned bodies not reported in Section III.
- 9 Report substance releases into soil, for example: subsoil leakage of water from on-site water treatment processes, lawn watering, on-site underground injection, spills, etc.
- 10 Off-site transfer of a substance in hazardous waste or water discharge for off-site reuse without a transformation process.
- 11 Substance transferred in hazardous waste or water discharge for off-site recycling using a transformation for reuse for production purposes.
- 12 Off-site transfer of a substance in hazardous waste or water discharge for coprocessing or environmentally safe integration.
- 13 Substance transferred in hazardous waste or water discharge for off-site treatment by physical, chemical, biological or thermal procedures, changing the characteristics of the waste, reducing its volume and hazard.
- 14 Transfer of a substance in hazardous waste or wastewater discharge for final disposal in facilities whose characteristics prevent an environmental release.
- 15 Transfer of a PRTR substance in water discharge into sewer.

5.3 RELEASES OR TRANSFERS OF SUBSTANCES DERIVED FROM ACCIDENTS, CONTINGENCIES, LEAKS OR SPILLS, START OF OPERATIONS AND SCHEDULED STOPPAGES. This table should be filled out by establishments that issued or transferred substances due to on-site accidents, contingencies, leaks or spills. This information should be reported for each event occurring (including open-air combustion).

Release/Transfer	Identification of PRTR substance			Quantity ²	Unit ²	Estimation method ³	Event No. ⁴	Event code ⁵	Cause of event ⁶	Type of handling ⁷	Name and authorization No. of the hazardous waste or wastewater management service company ⁸	Address, state and country where substances were transferred
	Name of the material containing the PRTR substance	Substance name ¹	Code or CAS No. ¹									
Release	Air											
	Water											
	Soil											
Transfer	Reuse ⁹											
	Recycling ¹⁰											
	Coprocessing ¹¹											
	Treatment ¹²											
	Final disposal ¹³											
	Sewer ¹⁴											
	Other (specify)											

- 1 Name and code or CAS No. of the substance according to the Semarnat listing. When there is no code enter S/C.
- 2 Annual substance releases or transfers are reported in units of mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).
- 3 Enter whether the method used to obtain the total annual quantity released per event was: direct measurement (MD), balance of materials (BM), approximation using historical data (DH), release factors (FE), engineering calculations (CI), mathematical modeling (MM) or other, specified in the same space (OM). The calculation worksheets should be kept along with the related technical documentation to be shown as required by Semarnat or Profepa. Show the reference(s) for release factors and name and version for mathematical modeling, in the same estimation method column.
- 4 Assign a consecutive number (1, 2, 3, 4....) identifying each event occurring at the establishment.
- 5 Indicate whether the event was an explosion (EX), leak (FU), fire (IC), spill (DE), spill during land movement (DET), spill during sea, lake or river movement (DVA), start of operations and/or scheduled stoppages as duct boring during maintenance (PI), or other specified in the same space (OE). Use one line for each event occurring where a substance is released or transferred.
- 6 If the even had a human source or cause, indicate if it was due to the lack of a maintenance program (MT), lack of preventive maintenance (MP), lack of corrective maintenance (MC), carelessness (DS), scheduled event (due to contingency, training, safety, etc.) (EP), or other human cause specified in the same space (OH). If due to earthquake or tremor (TR), flood (ID), hurricane (HU), or other natural cause, specify (ON). Use more than one code as needed.
- 7 Enter the code from Table 4.10 of the COA filing instructions, corresponding to the typical processes of reuse, recycling, coprocessing, treatment and final disposal of hazardous waste. Use more than one code as needed.
- 8 Enter the name and authorization No. of the hazardous waste or wastewater management or soil and aquifer treatment service company. When not applicable enter NA and when not available enter ND, stating the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 9 Transfer of a substance in a hazardous waste or water discharge for reuse without a transformation process.
- 10 Substance transferred in hazardous waste or water discharge for recycling using a transformation for reuse for production purposes.
- 11 Transfer of a substance in hazardous waste or water discharge for coprocessing or environmentally safe integration.
- 12 Substance transferred in a hazardous waste or water discharge for treatment by physical, chemical, biological or thermal procedures, changing the characteristics of the waste, reducing its volume and hazard.
- 13 Transfer of a substance in hazardous waste or wastewater discharge for final disposal in facilities whose characteristics prevent an environmental release.
- 14 Substances transferred to sewer.

5.4 POLLUTION PREVENTION AND MANAGEMENT

5.4.1 Pollution prevention activities for PRTR substances.

Name of input, hazardous waste or material containing PRTR substances ¹	Containing PRTR substances		Physical state ³	Prevention activities carried on at the source ⁴	Application area for prevention activity ⁵
	Name ²	Code or CAS No. ²			

- 1 Indicate the general name of the input, hazardous waste or material (including wastewater discharge and liquid or gas process current) containing PRTR substances. In the case of pure substances enter NA.
- 2 Name and code or CAS No. of the substance according to the Semarnat listing. When there is no code enter S/C.
- 3 Indicate whether the input, waste or material containing PRTR substances is in a gaseous (GP), nonaqueous liquid (LN), aqueous liquid, (LA), solid (S) or semisolid (SS) state.
- 4 Indicate whether the following have been carried on: good operating or training practices (BOC), inventory control or procurement techniques (CIN), spill and leak prevention (PDF), input change (CMP), product change or redesign (CRP), modifications to equipment or production process (MPP), change in cleanup practices (CPL), surface preparation and finishing (PAS), on-site reuse, recycling or recovery (RRR), others, specify (O). State more than one activity as needed. Use more than one code as needed.
- 5 Indicate whether the prevention activity is applied in the input transport area (TI) and import storage area (AMP) during the production process (PP), product storage (PR), product transport (TP), product unloading (DES), auxiliary services (SAX), maintenance (MN), others (OA), specify. Use more than one code as needed.

5.4.2 On-site reuse, recycling, coprocessing, treatment and control of substances and/or final disposal.

Method	Name of hazardous waste or material ¹	Containing PRTR substances		Quantity ³	Unit ³	Method code ⁴	Estimated efficiency ⁵ (%)
		Name ²	Code or CAS No. ²				
Reuse							
Recycling ⁶							
Coprocessing ⁷							
Air emissions control							
Wastewater treatment							
Hazardous waste treatment							
Final disposal							

- 1 Indicate the general name of the hazardous waste or material (including wastewater discharge and gaseous or liquid process current) containing PRTR substances. In the case of pure substances enter NA.
- 2 Name and code or CAS No. of the substance according to the Semarnat listing. When there is no code enter S/C.
- 3 Quantity of the substance reused, recycled, coprocessed, treated or disposed of at the established is reported in units of mass mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons/year) or lb/yr (pounds/year).
- 4 If the substance receives a treatment or disposal method within the establishment, report using Tables 4.6, 4.8 and 4.10 of the COA filing instructions. When not treated indicate the final disposal: confinement (DF1) or others (DF2), specified in the same space. Report more than one method as needed.
- 5 Indicate the estimated overall efficiency of the control and/or treatment methods used. When this information is not available state the reasons in the OBSERVATIONS AND CLARIFICATIONS section of this form.
- 6 Transformation of a substance for recycling can to be reused for production purposes.
- 7 Substance for coprocessing, i.e., environmentally safe integration of waste as an input in another production process.

5.5 TREATMENT AND/OR DISPOSAL OF PRTR SUBSTANCES BY SERVICE PROVIDERS. This table should be filled out only by reuse, recycling, coprocessing, treatment and/or final disposal service providers, to register PRTR substances contained in hazardous waste and/or wastewater (and generated by other establishments).

Substances contained in	Authorization No. of hazardous waste management service company ¹	Generator identification ²	Identification of listed substance		Annual quantity received	
			Name ³	Code or CAS No ³	Quantity ⁴	Unit ⁵
Hazardous waste						
Wastewater						

- 1 State the hazardous waste treatment or disposal authorization number issued by Semarnat or the wastewater treatment authorization number issued by the regulatory agency. Where this number is not available state the reasons in the space for OBSERVATIONS AND CLARIFICATIONS on this form.
- 2 Enter the hazardous waste generator registration number issued by Semarnat, for the generator from whom the reported substance is received. If more than one generator forwards the same substances, as many lines should be used as there are different generators, repeating the substance name on each line. If this information is not known, enter the name and location (state, municipality and country, as applicable) of the establishment that generated the delivered waste.
- 3 Name and code or CAS No. of the substance according to the Semarnat listing. When there is no code enter S/C.
- 4 Total annual quantity received for reuse, recycling, coprocessing, treatment and final disposal. If the reported substance is received in different deliveries from the same generator, add all deliveries and report only the annual grand total. Remember for a different line should be used to report each generator.
- 5 The annual quantity received is reported in mass: mg/yr (milligrams/year), g/yr (grams/year), kg/yr (kilograms/year), t/yr (metric tons /year) or lb/yr (pounds/year).

5.6 REASONS FOR CHANGES IN SUBSTANCE RELEASES AND/OR TRANSFERS. When a substance is no longer reported under this section because it is no longer used, produced or generated as a result of the production activity, it should be stated in this table and/or reported in the section on general comments and suggestions.

Justification of changes in quantities of substance released or transferred in prior year.

Substance or Pollutant		Justification ²	Chemical Management Program ³	Comments
Name ¹	Code or CAS No. ¹			

- 1 Name and code or CAS number of the substance, according to the list established by Semarnat and reported throughout this form. Where you do not have a code, enter S/C.
- 2 Indicate whether the difference in quantities was due to the following reasons: change in production level (CNP), when any substance is no longer reported because it is no longer used, produced or generated (DRS), changes in estimation method (CME), pollution prevention activities have been implemented (APC), treatment changes within the establishment (CTI), changes in the transfer for treatment of final disposal (CDF), changes in transfer for reuse or recycling (CTR), change is insignificant if below 10% or without change (CNS), not applicable in the first reporting year for this substance (NA), or other (O), specifying such item in the same space. Indicate more than one code as needed, except for codes CNS and NA.
- 3 Report whether you have any Chemical Management Program in place at your industrial establishment, including alternative processes, environmentally rational substitute chemicals, etc.

