



# RECYCLABLES HANDLING & RECOVERY FACILITY ANNUAL REPORT

(If you need assistance filling out this form please email [swmfannualreport@dec.ny.gov](mailto:swmfannualreport@dec.ny.gov) or call 518-402-8678.)

**Complete and submit this form by March 1, 2022.**

This annual report is for the year of operation from January 01, 2021 to December 31, 2021

## SECTION 1 – GENERAL INFORMATION

FACILITY INFORMATION			
FACILITY NAME:			
FACILITY LOCATION ADDRESS:	FACILITY CITY:	STATE:	ZIP CODE:
FACILITY TOWN:	FACILITY COUNTY:	FACILITY PHONE NUMBER:	
FACILITY NYS PLANNING UNIT: (A list of NYS <a href="#">Planning Units</a> can be found at the end of this report).			NYSDEC REGION #:
360 PERMIT #: (Refer to DEC Permit)	DATE ISSUED:	DATE EXPIRES:	NYS DEC ACTIVITY CODE OR REGISTRATION NUMBER: (Refer to DEC Registration)
FACILITY CONTACT:	<input type="checkbox"/> public <input type="checkbox"/> private	CONTACT PHONE NUMBER:	CONTACT FAX NUMBER:
CONTACT EMAIL ADDRESS:			
OWNER INFORMATION			
OWNER NAME:	OWNER PHONE NUMBER:	OWNER FAX NUMBER:	
OWNER ADDRESS:	OWNER CITY:	STATE:	ZIP CODE:
OWNER CONTACT:	OWNER CONTACT EMAIL ADDRESS:		
OPERATOR INFORMATION			
OPERATOR NAME: <input type="checkbox"/> same as owner			<input type="checkbox"/> public <input type="checkbox"/> private
PREFERENCES			
Preferred address to receive correspondence: <input type="checkbox"/> Facility location address <input type="checkbox"/> Owner address <input type="checkbox"/> Other (provide):			
Preferred email address: <input type="checkbox"/> Facility Contact <input type="checkbox"/> Owner Contact <input type="checkbox"/> Other (provide):			
Preferred individual to receive correspondence: <input type="checkbox"/> Facility Contact <input type="checkbox"/> Owner Contact <input type="checkbox"/> Other (provide):			

Did you operate in 2021?  Yes; Complete this form.

No; Complete and submit Sections 1 and 11. If you no longer plan to operate and wish to relinquish your permit/registration associated with this solid waste management activity, also complete the "Inactive Solid Waste Management Facility or Activity Notification Form" located at: <http://www.dec.ny.gov/chemical/52706.html>.

## SECTION 2 - MATERIAL RECEIVED

**Please provide the tonnages of materials received.** This includes all materials received at your facility regardless of their destination after processing.  
**DO NOT REPORT IN CUBIC YARDS!**

Specify the methods used to measure the quantities received and the percentages measured by each method:

\_\_\_\_\_ % Scale Weight

\_\_\_\_\_ % Estimated

\_\_\_\_\_ % Truck Count

\_\_\_\_\_ % Other (Specify: \_\_\_\_\_)

Material	Tip Fee (\$/Ton)	January (tons)	February (tons)	March (tons)	April (tons)	May (tons)	June (tons)	July (tons)
Commingled Containers <small>(metal, glass, plastic)</small>								
Commingled Paper (all grades)								
Single Stream (total)								
Other (specify)								
<b>Total Tons Received</b>								
Material	August (tons)	September (tons)	October (tons)	November (tons)	December (tons)	Total Year (tons)		Daily Avg. (tons)
Commingled Containers <small>(metal, glass, plastic)</small>								
Commingled Paper (all grades)								
Single Stream (total)								
Other (specify)								
<b>Total Tons Received</b>								

If the material type is not listed, use one of the "Other" lines and fill in the name of the material. If more "Other" lines are needed, cross out an unused type and fill in the other materials name. If still more "Other" lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials name.

### SECTION 3 – SERVICE AREA OF MATERIAL RECEIVED

**Please identify where the material is coming from.** The total tons received reported below should equal the total tons received in Section 2 (Solid Waste Received). **DO NOT REPORT IN CUBIC YARDS!**

- If the material **WAS** received from another solid waste management facility, please write in the name *and* address of the facility along with the appropriate state, county and planning unit/municipality.
- If the material **WAS NOT** received from another solid waste management facility, please write in “**Direct Haul**” along with the appropriate state, county and planning unit/municipality where the material was generated.

Specify transport method, list type of material(s) and percentages of total material transported by each:

\_\_\_\_\_ % Road: Material(s): \_\_\_\_\_                      \_\_\_\_\_ % Rail: Material(s): \_\_\_\_\_  
 \_\_\_\_\_ % Water: Material(s): \_\_\_\_\_                      \_\_\_\_\_ % Other (specify: \_\_\_\_\_): Material(s): \_\_\_\_\_

SERVICE AREA OF MATERIAL RECEIVED <small>(where the material is coming from)</small>					
MATERIAL	SOLID WASTE MANAGEMENT FACILITY FROM WHICH IT WAS RECEIVED <small>(Name &amp; Address)</small> OR “ <b>Direct Haul</b> ”	SERVICE AREA STATE OR COUNTRY	SERVICE AREA COUNTY OR PROVINCE	SERVICE AREA NYS PLANNING UNIT <small>(See Attached List of NYS Planning Units)</small>	TONS RECEIVED
<b>Commingled Containers</b> <small>(metal, glass, plastic)</small>					
<b>Commingled Paper</b> <small>(all grades)</small>					
<b>Single Stream</b> <small>(total)</small>					
<b>Other</b> <small>(specify)</small>					
<b>TOTAL MATERIAL RECEIVED (tons):</b>					_____

If the material type is not listed, use one of the “Other” lines and fill in the name of the material. If more “Other” lines are needed, cross out an unused type and fill in the other materials name. If still more “Other” lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials

## SECTION 4 – RESIDUE

Total residue (tons) = \_\_\_\_\_ Residue destination (Name & Address) \_\_\_\_\_  
**Percent Residue Calculation:** Total tons residue/Total tons material received x 100 = \_\_\_\_\_

## SECTION 5 – RECYCLABLES & RECOVERED MATERIALS

**Please identify destination of recyclable materials.** Indicate the name of the facility, address, corresponding State/Country, County/Province, Destination Planning Unit/Municipality and the amount of material recovered. **DO NOT REPORT IN CUBIC YARDS!**

Specify transport method, list type of material(s) and percentages of total material transported by each:

\_\_\_\_\_ % Road: Material(s): \_\_\_\_\_ % Rail: Material(s): \_\_\_\_\_  
 \_\_\_\_\_ % Water: Material(s): \_\_\_\_\_ % Other (specify: \_\_\_\_\_): Material(s): \_\_\_\_\_

PAPER RECOVERED					
RECOVERED MATERIAL	DESTINATION <small>(Name &amp; Address)</small>	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT <small>(See Attached List of NYS Planning Units)</small>	TONS RECOVERED <small>(out of facility)</small>
Commingled Paper <small>(all grades)</small>					
Corrugated Cardboard					
Junk Mail					
Magazines					
Newspaper					
Office Paper					
Paperboard / Boxboard					
Other Paper <small>(specify)</small>					
<b>TOTAL PAPER RECOVERED (tons):</b>					

If the material type is not listed, use one of the "Other" lines and fill in the name of the material. If more "Other" lines are needed, cross out an unused type and fill in the other materials name. If still more "Other" lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials name.

**SECTION 5 – RECYCLABLES & RECOVERED MATERIALS** (continued)

**GLASS RECOVERED**

RECOVERED MATERIAL	DESTINATION (Name & Address)	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT (See Attached List of NYS Planning Units)	TONS RECOVERED (out of facility)
Container Glass					
Industrial Scrap Glass					
Other Glass (specify)					
<b>TOTAL GLASS RECOVERED (tons):</b>					

**METAL RECOVERED**

RECOVERED MATERIAL	DESTINATION (Name & Address)	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT (See Attached List of NYS Planning Units)	TONS RECOVERED (out of facility)
Aluminum Foil / Trays					
Bulk Metal					
Enameled Appliances / White Goods					
Industrial Scrap Metal					
Tin & Aluminum Containers					
Mixed Metal Scrap					
<b>TOTAL METAL RECOVERED (tons):</b>					

If the material type is not listed, use one of the "Other" lines and fill in the name of the material. If more "Other" lines are needed, cross out an unused type and fill in the other materials name. If still more "Other" lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials name.

**SECTION 5 – RECYCLABLES & RECOVERED MATERIALS** (continued)

PLASTIC RECOVERED					
RECOVERED MATERIAL	DESTINATION (Name & Address)	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT (See Attached List of NYS Planning Units)	TONS RECOVERED (out of facility)
Commingled Plastic (#1 - #7)					
PET (plastic #1)					
HDPE (plastic #2)					
Other Rigid Plastics (#3 - #7)					
Industrial Scrap Plastic					
Plastic Film & Bags					
Other Plastics (specify)					
<b>TOTAL PLASTIC RECOVERED (tons):</b>					

If the material type is not listed, use one of the "Other" lines and fill in the name of the material. If more "Other" lines are needed, cross out an unused type and fill in the other materials name. If still more "Other" lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials name.

**VOLUME TO WEIGHT CONVERSION FACTORS**

MATERIAL	EQUIVALENT	MATERIAL	EQUIVALENT	MATERIAL	EQUIVALENT
GLASS – w hole bottles	1 cubic yard 0.35 tons	GLASS - crushed mechanically	1 cubic yard 0.88 tons	ALUMINUM – cans – w hole	1 cubic yard 0.03 tons
GLASS - semi crushed	1 cubic yard 0.70 tons	GLASS - uncrushed manually	55 gallon drum 0.16 tons	ALUMINUM – cans – flattened	1 cubic yard 0.125 tons
PAPER - high grade loose	1 cubic yard 0.18 tons	PLASTIC – PET – w hole	1 cubic yard 0.015 tons		
PAPER - high grade baled	1 cubic yard 0.36 tons	PLASTIC – PET - flattened	1 cubic yard 0.04 tons		
PAPER - mixed loose	1 cubic yard 0.15 tons	PLASTIC – PET - baled	1 cubic yard 0.38 tons	WHITE GOODS - uncompacted	1 cubic yard 0.10 tons
NEWSPRINT - loose	1 cubic yard 0.29 tons	PLASTIC - styrofoam	1 cubic yard 0.02 tons	WHITE GOODS - compacted	1 cubic yard 0.5 tons
NEWSPRINT - compacted	1 cubic yard 0.43 tons	PLASTIC – HDPE – w hole	1 cubic yard 0.012 tons		
CORRUGATED – loose	1 cubic yard 0.015 tons	PLASTIC – HDPE – flattened 1	1 cubic yard 0.03 tons		
CORRUGATED - baled	1 cubic yard 0.55 tons	PLASTIC – HDPE - baled	1 cubic yard 0.38 tons	FERROUS METAL - cans w hole	1 cubic yard 0.08 tons
		PLASTIC – mixed (grocery bags)	45 gallon bag 0.01 tons	FERROUS METAL - cans	1 cubic yard 0.43 tons

**SECTION 5 – RECYCLABLES & RECOVERED MATERIALS** *(continued)*

MIXED MATERIAL RECOVERED					
RECOVERED MATERIAL	DESTINATION <i>(Name &amp; Address)</i>	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT <i>(See Attached List of NYS Planning Units)</i>	TONS RECOVERED <i>(out of facility)</i>
Commingled Containers <i>(metal, glass, plastic)</i>					
Commingled Paper & Containers					
Single Stream <i>(total)</i>					
Other <i>(specify)</i>					
<b>TOTAL MIXED MATERIAL RECOVERED (tons):</b>					_____
MISCELLANEOUS MATERIAL RECOVERED					
RECOVERED MATERIAL	DESTINATION <i>(Name &amp; Address)</i>	DESTINATION STATE OR COUNTRY	DESTINATION COUNTY OR PROVINCE	DESTINATION NYS PLANNING UNIT <i>(See Attached List of NYS Planning Units)</i>	TONS RECOVERED <i>(out of facility)</i>
Electronics					
Textiles					
Other <i>(specify)</i>					
<b>TOTAL MISCELLANEOUS MATERIAL RECOVERED (tons):</b>					_____

If the material type is not listed, use one of the "Other" lines and fill in the name of the material. If more "Other" lines are needed, cross out an unused type and fill in the other materials name. If still more "Other" lines are needed, attached another copy of this page, cross out an unused type, and fill in the other materials name.

## SECTION 6 – UNAUTHORIZED SOLID WASTE

Has unauthorized solid waste been received at the facility during the reporting period?

Yes  No If yes, give information below for each incident (attach additional sheets if necessary):

Date Received	Type Received	Date Disposed	Disposal Method & Location

## SECTION 7 - COST ESTIMATES AND FINANCIAL ASSURANCE DOCUMENTS

Are there required cost estimates and financial assurance documents for closure?

Yes  No If yes, attach additional sheets reflecting annual adjustments for inflation and any changes to the Closure Plan?

## SECTION 8 – PROBLEMS

Were any problems encountered during the reporting period (e.g., specific occurrences which have led to changes in facility procedures)?

Yes  No If yes, attach additional sheets identifying each problem and the methods for resolution of the problem.

## SECTION 9 – CHANGES

Were there any changes from approved reports, plans, specifications, and permit conditions?

Yes  No If yes, attach additional sheets identifying changes with a justification for each change.

## SECTION 10 - PERMIT/CONSENT ORDER REPORTING REQUIREMENTS

Are there any additional permit/consent order reporting requirements not covered by the previous sections of this form?

Yes  No If yes, attach additional sheets identifying the reporting requirements with their respective responses.



## SECTION 11 - SIGNATURE AND DATE BY OWNER OR OPERATOR

Owner or Operator must sign, date and submit one completed form to the appropriate Regional Office (See attachment for Regional Office addresses, email addresses and Materials Management Contacts).

The Owner or Operator must also submit one copy by email, fax or mail to:

**New York State Department of Environmental  
Conservation Division of Materials Management  
Bureau of Solid Waste Management  
625 Broadway  
Albany, New York 12233-  
7260 Fax 518-402-9041  
Email address: SWMFannualreport@dec.ny.gov**

I certify, under penalty of law, that the data and other information identified in this report have been prepared under my direction and supervision in compliance with a system designed to ensure that qualified personnel properly and accurately gather and evaluate this information. I am aware that any false statement I make in such report is punishable pursuant to section 71-2703(2) of the Environmental Conservation Law and section 210.45 of the Penal Law.

_____ Signature	_____ Date
_____ Name (Print or Type)	_____ Title (Print or Type)
_____ Email (Print or Type)	
_____ Address	_____ City
_____ State and Zip	(_____)_____-_____ Phone Number

ATTACHMENTS: \_\_\_ YES \_\_\_ NO

\*This page for reference only. Please do not return with submittal.\*

**Division of Materials Management  
New York State Department of Environmental Conservation  
Albany, New York 12233-7260**

**RECYCLABLES HANDLING & RECOVERY FACILITY**

A Recyclable Handling and Recovery Facility is a facility that receives source-separated recyclables. Further information and a listing of the recyclable handling and recovery facilities are available online at <http://www.dec.ny.gov/chemical/50793.html>.

If your facility is authorized to operate a construction and demolition debris handling and recovery facility you need to submit a Construction and Demolition Debris Handling and Recovery Facility Annual Report.

If your facility is authorized to operate as a transfer facility you need to submit a Transfer Facility Annual. If your facility is authorized to operate as a recyclables handling & recovery facility and a transfer facility you must submit both annual reports.

Forms for all solid waste management facilities can be found at <http://www.dec.ny.gov/chemical/52706.html> and a brief description of each type of facility can be found at <http://www.dec.ny.gov/chemical/8495.html>.

**Annual Report**

**Submit the Annual Report no later than March 1, 2022.**

Reporting of the information indicated on this Recyclables Handling and Recovery Facility Annual Report form is required pursuant to 6 NYCRR Part 360. Failure to provide the required information requested is a violation of Environmental Conservation Law. Timely submission of a properly completed form to the Department's Regional Office that has jurisdiction over your facility and to the Department's Central Office is required to meet the Annual/Quarterly Report requirements of 6 NYCRR Part 360.

Where the Annual Report requirements have been modified, appropriate Sections (as necessary to reflect the modification) must be completed and submitted with a copy of the Department's written notification which allows the modification.

Entries on the report forms should be either typewritten or neatly printed in black ink. Attach additional sheets if space on the pages is insufficient or supplementary information is required or appropriate.

**SECTION 3 – SERVICE AREA OF MATERIAL RECEIVED**

Identify the facility's service area by indicating the type and amount of material received, the Solid Waste Management facility (SWMF) from which it was received by your facility (or Direct Haul), the corresponding State/Country, the County/Province, and the NYS Planning Unit from which waste was received. **Refer to the list of NYS Planning Units that can be found at the end of this report.** The Total Tons Received reported below should equal the Total Tons Received in Section 2. **DO NOT REPORT IN CUBIC YARDS!**

**Additional Service Area Guidance:**

1) *Direct hauled from the generator of the recyclables.* In the case where the recyclables are hauled to your recycling facility from the generator (i.e., hauled from residences, commercial establishments, etc.), **“Direct Haul”** would be the appropriate response in Column 2 under “Service Area”. Please report the tonnage by material type and identify the state, county and planning unit where it was generated; or

2) *Sent to your recycling facility from another solid waste management facility.* Recyclables may be sent to your recycling facility from another solid waste management facility. In this case, please report the tonnage by material type from each sending solid waste management facility, as well as the sending facility's name, address, county, and the planning unit where the sending facility is located.

### New York State Planning Units & Regions

When completing the annual report, please use the Planning Unit listed below that corresponds with the municipality and county. **Note: The Planning Unit is not the DEC Region.**

DEC Region	Planning Unit	County	Municipality
1	Glen Cove	Nassau	Glen Cove (City)
	Hempstead		Hempstead (Town)
	Long Beach		Long Beach (City)
	North Hempstead Solid Waste Management Authority		North Hempstead (Town), <b>except 8 villages (see below)</b>
	Oyster Bay Solid Waste Disposal District		Oyster Bay (Town), <b>except 17 villages (see below)</b>
	Babylon	Suffolk	Babylon (Town)
	Brookhaven		Brookhaven (Town)
	East Hampton		East Hampton (Town)
	Fishers Island Waste Management District		Fishers Island
	Huntington		Huntington (Town)
	Islip Resource Recovery Agency		Islip (Town)
	Riverhead		Riverhead (Town)
	Shelter Island		Shelter Island (Town)
	Smithtown		Smithtown (Town)
	Southampton		Southampton (Town)
Southold	Southold (Town), <b>except Fishers Island</b>		
2	New York City	Bronx	Bronx
		Kings	Kings (Brooklyn)
		New York	New York (Manhattan)
		Queens	Queens
		Richmond	Richmond (Staten Island)
3	Dutchess County	Dutchess	
	Orange County	Orange	
	Putnam County	Putnam	
	Rockland County Solid Waste Management Authority (RCSWMA)	Rockland	
	Sullivan County	Sullivan	
	Ulster County Resource Recovery Agency (UCRRA)	Ulster	
	Westchester County	Westchester	
4	Colonie	Albany	Cohoes (City)
			Colonie (Town)
			Colonie (Village)
			Menands (Village)
			Watervliet (City)
	Capital Region Solid Waste Management Partnership	Albany	Albany (City)
			Altamont (Village)
			Berne (Town)
			Bethlehem (Town)
			Green Island (Town/Village)
			Guilderland (Town)
			Knox (Town)
			New Scotland (Town)
			Rensselaerville (Town)
Voorheesville (Village)			
Westerlo (Town)			

		Rensselaer	East Greenbush (Town) Rensselaer (City)	
4	Eastern Rensselaer County Solid Waste Management Authority	Rensselaer	Castleton-on-Hudson (Village)	
			Hoosick Falls (Village)	
			Nassau (Village)	
			Pittstown (Town)	
			Schaghticoke (Town/Village)	
			Stephentown (Town)	
			Valley Falls (Village)	
			Berlin (Town)	Inactive Members
			Grafton (Town)	
			Hoosick (Town)	
			Nassau (Town)	
			Petersburg (Town)	
			Poestenkill (Town)	
			Columbia County	
Delaware County	Delaware			
Greene County	Greene			
Montgomery County	Montgomery			
Otsego County	Otsego			
Schoharie County	Schoharie			
Schenectady County	Schenectady			
5	Clinton County	Clinton		
	Essex County	Essex		
	County of Franklin Solid Waste Management Authority (CFSWMA)	Franklin		
	Fulton County	Fulton		
	Hamilton County	Hamilton		
	Saratoga County	Saratoga		
	Warren County	Warren		
	Washington County	Washington		
6	Development Authority of the North Country (DANC)	Jefferson		
		Lewis		
		St. Lawrence		
	Oneida-Herkimer Solid Waste Authority	Oneida		
	Herkimer			
7	Broome County	Broome		
	Cayuga County	Cayuga		
	Chenango County	Chenango		
	Cortland County	Cortland		
	Madison County	Madison		
	Onondaga County	Onondaga	All municipalities, <b>except Town and Village of Skaneateles (See below)</b>	
	Oswego County	Oswego		
	Tioga County	Tioga		
	Tompkins County	Tompkins		
8	Chemung County	Chemung		
	GLOW Region Solid Waste Management Committee	Genesee		
		Livingston		
	Monroe County	Monroe		
	Ontario County	Ontario		
	Orleans County	Orleans		
	Schuyler County	Schuyler		
Seneca County	Seneca			

	Steuben County	Steuben	
	Wayne County	Wayne	
	Yates County	Yates	
	Allegany County	Allegany	
	Cattaraugus County	Cattaraugus	
	Chautauqua County	Chautauqua	
	GLOW Region Solid Waste Management Committee	Wyoming	
	Niagara	Niagara	
9	Northeast-Southtowns Solid Waste Management Board (NEST)	Erie	Akron (Village)
			Alden (Town/Village)
			Angola (Village)
			Aurora (Town)
			Blasdell (Village)
			Boston (Town)
			Brant (Town)
			Cheektowaga (Town)
			Clarence (Town)
			Colden (Town)
			Collins (Town)
			Concord (Town)
			Depew (Village)
			East Aurora (Village)
			Eden (Town)
			Elma (Town)
			Evans (Town)
			Farnham (Village)
			Gowanda (Village)
			Hamburg (Town/Village)
			Holland (Town)
			Lackawanna (City)
			Lancaster (Town/Village)
			Marilla (Town)
			Newstead (Town)
			North Collins (Town/Village)
			Orchard Park (Town/Village)
	Sardinia (Town)		
	Sloan (Village)		
	Springville (Village)		
	Wales (Town)		
	West Seneca (Town)		
	Northwest Communities Solid Waste Management Board (NWCB)	Erie	Amherst (Town)
Grand Island (Town)			
Kenmore (Village)			
Tonawanda (Town/Village)			
			Williamsville (Village)

### Municipalities Not Currently Affiliated With a Recognized Planning Unit

DEC Region	County	Non-Member Municipality	
1	Nassau	North Hempstead	Great Neck Estates (Village)
			Great Neck Plaza (Village)
			Mineola (Village)
			New Hyde Park (Village)
			Plandome (Village)
			Plandome Manor (Village)
			Westbury (Village)
			Williston Park (Village)
		Oyster Bay	Bayville (Village)
			Brookville (Village)
			Centre Island (Village)
			Cove Neck (Village)
			East Hills (Village) (portion)
			Glenwood – Glen Head Garbage District
			Lattington (Village)
			Laurel Hollow (Village)
			Matinecock (Village)
			Mill Neck (Village)
			Muttontown (Village)
			Old Brookville (Village)
			Old Westbury (Village) (portion)
			Oyster Bay Cove (Village)
			Roslyn Harbor (Village) (portion)
Sea Cliff (Village)			
Upper Brookville (Village)			
4	Albany	Coeymans (Town)	
		Ravena (Village)	
	Rensselaer	Brunswick (Town)	
		North Greenbush (Town)	
		Sand Lake (Town)	
		Schodack (Town)	
	Troy (City)		
Columbia	Canaan (Town)		
7	Onondaga	Skaneateles (Town/Village)	
9	Erie	Buffalo (City)	

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New York State Department of Environmental Conservation  
Division of Materials Management  
Bureau of Solid Waste Management

## MATERIAL MANAGEMENT PROGRAM CONTACTS

### CENTRAL OFFICE

Bureau of Solid Waste Management  
625 Broadway  
Albany, NY 12233-7260  
Phone: (518) 402-8678

For Submission of Solid Waste Management Facility Annual Reports only:

Fax: (518) 402-9041

Email: [swmfannualreport@dec.ny.gov](mailto:swmfannualreport@dec.ny.gov)

### REGIONAL OFFICE ADDRESS & LEAD CONTACT PERSON

#### REGION 1 (Nassau, Suffolk)

Syed Rahman/David Gibb  
SUNY @ Stony Brook  
50 Circle Road  
Stony Brook, NY 11790  
Phone: (631) 444-0375  
[SWMFannualreportR1@dec.ny.gov](mailto:SWMFannualreportR1@dec.ny.gov)

#### REGION 2 (Bronx, Kings, New York, Queens, Richmond)

Joseph O'Connell  
47-40 21st Street  
Long Island City, NY 11101-5407  
Phone: (718) 482-4892  
[SWMFannualreportR2@dec.ny.gov](mailto:SWMFannualreportR2@dec.ny.gov)

#### REGION 3 (Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester)

Lee Reiff  
21 South Putt Corners Road  
New Paltz, NY 12561  
Phone: (845) 256-3134  
[SWMFannualreportR3@dec.ny.gov](mailto:SWMFannualreportR3@dec.ny.gov)

#### REGION 4 (Albany, Columbia, Delaware, Greene, Montgomery, Otsego, Rensselaer, Schenectady, Schoharie)

Brian Maglienti  
1130 North Westcott Road  
Schenectady, NY 12306  
Phone: (518) 357-2085  
[SWMFannualreportR4@dec.ny.gov](mailto:SWMFannualreportR4@dec.ny.gov)

#### REGION 5 (Clinton, Essex, Franklin, Fulton, Hamilton, Saratoga, Warren, Washington)

Jessie Sangster  
1115 State Route 86, PO Box 296  
Ray Brook, NY 12977  
Phone: (518) 897-1266  
[SWMFannualreportR5@dec.ny.gov](mailto:SWMFannualreportR5@dec.ny.gov)

#### REGION 6 (Herkimer, Jefferson, Lewis, Oneida, St. Lawrence)

Gary McCullouch  
317 Washington Street  
Watertown, NY 13601  
Phone: (315) 785-2513  
[SWMFannualreportR6@dec.ny.gov](mailto:SWMFannualreportR6@dec.ny.gov)

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#### REGION 9 (Allegany, Cattaraugus, Chautauqua, Erie, Niagara, Wyoming)

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November 2021

APPENDIX A – SECTION 7 COST ESTIMATES & FINANCIAL ASSURANCE DOCUMENTS





Part 361-1 Financial Assurance Estimate  
Li-Cycle Commercial Spoke 2 Facility  
Eastman Business Park, Rochester, NY, USA

SUMMARY OF COSTS FOR CESSATION OF OPERATIONS		
DISPOSAL OF LIQUIDS	\$	12,949
DISPOSAL OF SOLIDS	\$	152,865
DECONTAMINATION OF EQUIPMENT	\$	29,575
POST-DECONTAMINATION VERIFICATION SAMPLING	\$	9,500
MISCELLANEOUS CONTINGENCY @ 10%	\$	20,489
<b>GRAND TOTAL</b>	<b>\$</b>	<b>225,378</b>

Note: per 6 NYCRR 360.22(a)(1) financial assurance must be provided beginning no later than 60 days prior to the initial receipt of waste.

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October 18, 2021

DISPOSAL OF LIQUIDS			
<b>Crushing Circuit</b>			
Description	Water solution used for shredding batteries.		
Volume	gallons		7,160
Transport + Disposal	\$/ gallon		1.65
<b>Sub-total Cost</b>	<b>\$</b>		<b>11,814</b>
<b>NMP Circuit Water</b>			
Description	Spent water used in the stripping and solvent recovery section of Spoke 2-operations. This water will contain concentrated NMP (in stripping section) and trace amounts after solvent recovery.		
Volume	gallons		3606
Transport + Disposal	\$/ gallon		1.65
<b>Sub-total Cost</b>	<b>\$</b>		<b>5950</b>
<b>NMP Inventory</b>			
Description	N-methyl-pyrrolidone used in stripping process. The entire volume of NMP used in the process includes fresh NMP and recovered NMP (which may contain trace amounts of water).		
Volume	gallons		576
Transport + Disposal	\$/ gallon		1.65
<b>Sub-total Cost</b>	<b>\$</b>		<b>950</b>
<b>Dust Collector Water</b>			
Description	Water used in the wet dust collector		
Volume	gallons		180
Transport + Disposal	\$/ gallon		1.65
<b>Sub-total Cost</b>	<b>\$</b>		<b>297</b>
<b>Outbound Material #108 - Coolant</b>			
Description	Coolant is used by battery suppliers for thermal management of large lithium-ion battery packs.		
<b>Outbound Material #16 - Electrolyte</b>			
Description	Electrolyte is a concentrated solution containing ~50 wt. % electrolyte (~25% ethylene carbonate, ~25% ethyl methyl carbonate, ~50% water).		
Volume	tonnes		2
Volume	Gallons		508
Transport + Disposal	\$/ gallon		1.65
<b>Sub-total Cost</b>	<b>\$</b>		<b>838</b>
<b>Total Liquid Disposals</b>			<b>\$ 12,949</b>

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DISPOSAL OF SOLIDS		
<b>Battery Inventory</b>		
Description	On site storage in accordance with Part 361's conditions.	
Volume	tonnes	30
Disposal	\$/ tonne	1543
Number of Loads	loads	2
Transport + Loading	\$/ load	2200
<b>Sub-total Cost</b>	<b>\$</b>	<b>50,697</b>
<b>Cathode Powder Inventory</b>		
Description	On site storage in accordance with Part 361's conditions.	
Volume	tonnes	40
Disposal	\$/tonne	93
Number of Loads	loads	2
Transport + Loading	\$/ load	400
TCLP Analysis	\$	500
<b>Sub-total Cost</b>	<b>\$</b>	<b>5,026</b>
<b>Anode/Cathode Foil Inventory</b>		
Description	On site storage in accordance with Part 361's conditions.	
Volume	tonnes	40
Disposal	\$/tonne	93
Number of Loads	loads	2
Transport + Loading	\$/ load	400
TCLP Analysis	\$	500
<b>Sub-total Cost</b>	<b>\$</b>	<b>5,026</b>
<b>Lime Inventory</b>		
Palletized in 25kg bags		
<b>Spent Activated Carbon Related Waste</b>		
Spent activated carbon used in air carbon column		
<b>Spent Reverse Osmosis Related Waste</b>		
Used thin film composite (TFC) or cellulose acetate (CA) membranes used in reverse osmosis filtration		
Volume	tonnes	4
Disposal	\$/ tonne	93
Number of Loads	loads	0.2
Transport + Loading	\$/ load	80
<b>Sub-total Cost</b>	<b>\$</b>	<b>389</b>
<b>Outbound Material - materials Li-Cycle will have no cost to recycle by a 3rd party</b>		
<b>Outbound Material #54 - Copper Bus Bars</b>	Copper bus bars are generally used to electrically connect modules in a large format lithium-ion battery.	
<b>Outbound Material #65 - Steel Casings</b>	Large format lithium-ion batteries are generally encased with steel casing to protect its inner components (i.e. modules and cells).	
<b>Outbound Material #149 - Steel Nuts &amp; Bolts</b>	Steel nuts and bolts are commonly found in large format lithium-ion batteries to secure various components (i.e. modules, casing) together. Nuts and bolts are easily separable from the battery and is collected for third-party recycling.	
<b>Outbound Material #1815 - Shredded Steel, Copper, Aluminum</b>	This steel, aluminum, and copper are not separated during the disassembly phase and is captured after the modules are shredded.	
Volume	tonnes	600
Recycle	\$/ tonne	0
Number of Loads	loads	30
Transport + Loading	\$/ load	400
<b>Sub-total Cost</b>	<b>\$</b>	<b>12,000</b>
<b>Outbound Material - materials Li-Cycle will have no cost to recycle by a 3rd party</b>		
<b>Outbound Material #1714 - Mixed Cathode/Anode Material (i.e. Black Mass)</b>	Product consisting of cathode and anode material.	
Volume	tonnes	426
Disposal	\$/tonne	93
Number of Loads	loads	22
Transport + Loading	\$/ load	400
TCLP Analysis	\$	500
<b>Sub-total Cost</b>	<b>\$</b>	<b>48,979</b>
<b>Outbound Material #1 - Cardboard Packaging</b>	Cardboard packaging is generally received with small and large format lithium-ion battery shipments.	
<b>Outbound Material #2 - Wood Packaging</b>	<del>Wood packaging is generally received with large format lithium-ion battery-</del>	
<b>Outbound Material #32 - Specialized Steel Packaging</b>	Specialized steel packaging is generally received with critical lithium-ion battery shipments.	
<b>Outbound Material #43 - Vermiculite or Equivalent</b>	Vermiculite is generally received within small format lithium-ion battery containing drums.	
<b>Outbound Material #76 - Aluminum Casings</b>	Large format lithium-ion batteries may be encased with aluminum casing to protect its inner components (i.e. modules and cells).	
<b>Outbound Material #87 - Plastic Casings</b>	Small and large format lithium-ion batteries may contain plastic casing as an accessory to steel or aluminum casing.	
<b>Outbound Material #9 - Circuit Boards</b>	<del>Printed circuit boards are generally found in large format lithium-ion batteries as a battery management system.-</del>	
<b>Outbound Material #1210 - Foam Cushioning</b>	Polyurethane foam blocks and sheets are sometimes found with large lithium-ion battery shipments.	
<b>Outbound Material #1311 - Steel Drums</b>	Metal drums contain small format batteries.	
<b>Outbound Material #1412 - Plastic, Wood, or Fiber Packaging</b>	Customers may send small format batteries in plastic or fiber packaging. Large format batteries are transported mostly in wooden crates	
<b>Outbound Material #1513 - Mixed Shredded Plastics</b>	Plastics are commonly used for structural support in large format lithium-ion battery modules.	

**Outbound Material #19 – Agglomerated Polyvinylidene Fluoride (PVDF)**

Polyvinylidene fluoride is generally used as a binding agent for the cathodic and anodic materials with the cathode and anode in a lithium-ion battery.

Volume	tonnes	270
Disposal	\$/ tonne	93
Number of Loads	loads	14
Transport + Loading	\$/ load	400
<b>Sub-total Cost</b>	<b>\$</b>	<b>30,749</b>
<b>Total Solids Disposal</b>	<b>\$</b>	<b>152,865</b>

DECONTAMINATION OF EQUIPMENT		
Estimated @ 10 - 15 Days		
Decontamination Team Cost per day		\$ 3,500
<b>Tanks and storage vessels</b>		
Description	Used in the recycling process, 12 equipment pieces.	
Pieces of Equipment	-	12
Days to decontaminate per equipment piece	-	0.2
<b>Sub-total Cost</b>	<b>\$</b>	<b>8,400</b>
<b>Pumps</b>		
Description	Used in the recycling process, 12 equipment pieces.	
Pieces of Equipment	-	12
Days to decontaminate per equipment piece	-	0.1
<b>Sub-total Cost</b>	<b>\$</b>	<b>4,200</b>
<b>Conveyors</b>		
Description	Used in the recycling process, 6 equipment pieces.	
Pieces of Equipment	-	6
Days to decontaminate per equipment piece	-	0.25
<b>Sub-total Cost</b>	<b>\$</b>	<b>5,250</b>
<b>Shredder</b>		
Description	Used in the recycling process, 4 equipment pieces.	
Pieces of Equipment	-	4
Days to decontaminate per equipment piece	-	0.25
<b>Sub-total Cost</b>	<b>\$</b>	<b>3,500</b>
<b>Vermiculite Removal Screen</b>		
Description	Used in the recycling process, 1 equipment piece.	
Pieces of Equipment	-	1
Days to decontaminate per equipment piece	-	0.25
<b>Sub-total Cost</b>	<b>\$</b>	<b>875</b>
<b>Dewatering Screens</b>		
Description	Used in the recycling process, 4 equipment pieces.	
Pieces of Equipment	-	4
Days to decontaminate per equipment piece	-	0.1
<b>Sub-total Cost</b>	<b>\$</b>	<b>1,400</b>
<b>Centrifuge and Filters</b>		
Description	Used in the recycling process, 2 equipment pieces.	
Pieces of Equipment	-	2
Days to decontaminate per equipment piece	-	0.25
<b>Sub-total Cost</b>	<b>\$</b>	<b>1,750</b>
<b>Distillation Column</b>		
Description	Used in the recycling process, 1 equipment piece.	
Pieces of Equipment	-	1
Days to decontaminate per equipment piece	-	0.5
<b>Sub-total Cost</b>	<b>\$</b>	<b>1,750</b>
<b>Reverse Osmosis</b>		
Description	Used in the recycling process, 1 equipment piece.	
Pieces of Equipment	-	1
Days to decontaminate per equipment piece	-	0.25
<b>Sub-total Cost</b>	<b>\$</b>	<b>875</b>
<b>Other</b>		
Description	Used in the recycling process, 17 equipment pieces.	
Pieces of Equipment	-	17
Days to decontaminate per equipment piece	-	0.1
<b>Sub-total Cost</b>	<b>\$</b>	<b>5,950</b>
<b>Total Decontamination of Equipment</b>	<b>\$</b>	<b>29,575</b>

POST-DECONTAMINATION VERIFICATION SAMPLING		
<b>Wipe samples</b>		
Number of tanks	-	12
Number of samples per tank	-	3
Cost per sample	\$	100
<b>Sub-total for tanks</b>	<b>\$</b>	<b>3,600</b>
Number of ancillary pieces of equipment	-	59
Number of samples per equipment	-	1
Cost per sample	\$	100
<b>Sub-total for ancillary equipment</b>	<b>\$</b>	<b>5,900</b>
<b>Total Decontamination of Equipment</b>	<b>\$</b>	<b>9,500</b>

MISCELLANEOUS CONTINGENCY @ 10%		
Rental units, materials etc, 10% contingency	\$	20,489

SUMMARY OF COSTS FOR CESSATION OF OPERATIONS		
DISPOSAL OF LIQUIDS	\$	12,949
DISPOSAL OF SOLIDS	\$	152,865
DECONTAMINATION OF EQUIPMENT	\$	29,575
POST-DECONTAMINATION VERIFICATION SAMPLING	\$	9,500
MISCELLANEOUS CONTINGENCY @ 10%	\$	20,489
<b>GRAND TOTAL</b>	<b>\$</b>	<b>225,378</b>

APPENDIX B - SECTION 9 CHANGES

**Contains Confidential Commercial Information and/or Trade Secret Information**

15 December 2021

Mr. Greg MacLean, P.E.  
Regional Materials Management Engineer  
NYSDEC Region 8  
6274 East Avon-Lima Road  
Avon, NY 14414-9516

Reference: 0511027

Subject: Application Information to Update the 6 NYCRR 361-1 Recyclables Handling and Recovery Facility Registration #28R20021; Li-Cycle, Inc.; Building 350/Parcel 303, Eastman Business Park, Town of Greece, New York

Dear Mr. MacLean:

On behalf of Li-Cycle, Inc. ("Li-Cycle") ERM Consulting & Engineering, Inc. ("ERM") hereby submits the enclosed application information to update the Part 361-1 Recyclables Handling and Recovery Facility (RHRF) registration #28R20021 for Li-Cycle's facility. The updated information for this registration includes proposed modifications (shown in **bold red** text for additions and **strikethrough** for deletions) to update existing operating equipment, add new operating equipment, and add new waste streams for Li-Cycle's battery recycling operations within Eastman Business Park ("EBP") Building 350/Parcel 303, County of Monroe, Town of Greece, New York. Please note that the Safe Storage Policy does not show any change tracking since it is a total replacement (see Appendix A in the Waste Control Plan). Once NYSDEC approves the updates to Li-Cycle's RHRF registration #28R20021, a clean version of the final documents will be provided to the Department.

Li-Cycle is adding three new types of waste; lithium-metal batteries, equipment containing lithium (lithium-ion and lithium-metal) batteries, and cathode powder. The lithium-metal batteries and equipment will be recycled in the existing lithium battery size reduction process. The cathode powder will be blended with water in new operating equipment to a specified moisture content to meet the requirements of downstream black mass recyclers. Once blended it will be stored as a product destined for recycling. Li-Cycle is also adding an ancillary shredder to size reduce lithium battery anode and cathode scrap materials from battery manufacturers producing shredded metal and black mass product streams.

This submittal also includes updates to the following previous submittals: 1.) the legitimate recycling criteria demonstration; 2.) a case-specific beneficial use determination for the battery recycling process; 3.) and an applicable "C7" notification.

The following attachments are provided in support of this updated registration submittal:

Attachment A – Registration Form for a Solid Waste Management Facility;  
Attachment B – Site Plan;  
Attachment C – Waste Control Plan;  
Attachment D – Closure Cost Estimate;



Attachment E – Legitimate Recycling Criteria Demonstration;  
Attachment F – Beneficial Use Determination; and  
Attachment G – C7 Notification Regulatory Applicability Evaluation and Notifications

Li-Cycle understands that the following information must be kept onsite and available for Department review (where necessary each of these documents were updated):

- The Registration issued by NYSDEC and registration application submittal documents;
- Waste Control Plan, which includes all information required by 6 NYCRR 360.16(c)(4)(i), 6 NYCRR 360.19(c), 6 NYCRR 360.12(d)(2)(vii)(a) and 6 NYCRR 361-1.5, and all associated records required by this Plan;
- Operations & Maintenance Plan, which includes all the information required by 6 NYCRR 360.19 and 6 NYCRR 360.16(c)(4)(ii);
- Training Plan;
- Emergency Response Plan; and
- Recordkeeping and annual reporting requirements of 6 NYCRR 361-1.6.

#### **CONFIDENTIAL INFORMATION REQUEST**

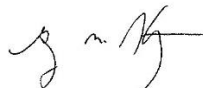
Please note that this submittal contains proprietary information regarding process technology that would put Li-Cycle at a significant disadvantage if disclosed to a competitor. Therefore, Li-Cycle is requesting that certain information contained within this submittal be protected as “confidential commercial information” and “trade secret” information pursuant to New York Public Officers Law §§ 87 and 89, and 6 NYCRR Part 616. We will provide two versions of the application; one version with no redactions in this submittal, and one with the confidential/trade secret information redacted by the end of December 2021. In the confidential version, we have marked each page stating that it “Contains Confidential Commercial Information and/or Trade Secret Information – Do Not Disclose”. This information should be provided only to involved members of the Department and its Staff, and not otherwise be disclosed or made available to any other person or entity, either through a response to a Freedom of Information Law (“FOIL”) request or otherwise. If a FOIL request is made for the confidential information, we request that both the undersigned and Li-Cycle’s Andrew Fleming, who is copied on this letter, be notified prior to the Department providing such information so that a statement of necessity for continued protection of this information can be submitted to the Department.

If you have any questions or concerns related to this submittal, please contact Li-Cycle’s Andrew Fleming ([andrew.fleming@li-cycle.com](mailto:andrew.fleming@li-cycle.com); 585-313-5111) or ERM’s Philip Shinn ([philip.shinn@erm.com](mailto:philip.shinn@erm.com); 317-942-7182).

Sincerely,



Philip L. Shinn  
Consultant Director



Gary M. Keating  
Senior Partner

cc: Kimberly Merchant, Deputy Regional Permit Administrator, NYSDEC Region 8  
Kathy Prather, Chief, Solid Waste Recovery and Medical Waste Section  
Andrew Fleming, Li-Cycle, Inc.

***Contains Confidential Commercial Information and/or Trade  
Secret Information***

Tim Johnston, Li-Cycle, Inc.  
Bryan Gallagher, Eastman Kodak Company  
Jill DiPiano, RED-Rochester, Inc.  
David Murtha, ERM

Enclosures: Updated Li-Cycle, Inc. Part 361-1 Registration - without redactions  
Updated Li-Cycle, Inc. Part 361-1 Registration - with redactions