

**Standard Operating Procedure for Registration of
Producers, Importers & Brand-Owners (PIBOs)
Under
Plastic Waste Management Rules 2016 (as amended)**



**Central Pollution Control Board
Delhi
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CENTRAL POLLUTION CONTROL BOARD

Standard Operating Procedure (SOP) for Registration of Producers, Importers & Brand Owners (PIBOs) under Plastic Waste Management (PWM) Rules, 2016, as amended

1.0 Introduction

As per the provision of PWM Rules, Extended Producers Responsibility (EPR) for management of plastic waste packaging is entrusted with the PIBOs who introduce the products in the market. They are required to establish a system for management of plastic waste generated due to their products by engaging with local bodies. Local bodies are responsible for setting up of PWM system with assistance from Producers & Brand Owners.

Further, PIBOs who are operating in more than two states, are required to obtain registration from CPCB and those operating in one or two states have to obtain registration from the concerned SPCB/PCC. EPR Action Plan for PWM has to be submitted for obtaining the registration.

CPCB prepared format for EPR Action Plan required for obtaining registration as per provision of PWM Rules (**Annexure I**) in June 2019. Based on interaction with various stakeholders during the intervening period, the procedure for grant of Registration has been reviewed and necessary updations have been worked out. This SOP delineates various alternatives for fulfilling EPR by PIBOs as well as documents the procedure for obtaining the registration so as to facilitate easy filing of application and progress reports by the PIBOs as well as to ensure effective implementation of EPR plan. Various provisions of PWM Rules taken into consideration for framing the SOP are given in **Annexure II**.

2.0 Action Plan Framework

EPR Action Plan for PWM has to be submitted by PIBOs (those operating in more than two states) for obtaining registration from CPCB. **PIBOs shall fulfill EPR in all the States/UTs in which they are introducing their products. EPR Target for a particular State/UT shall be equal to the type & quantum of plastic introduced by them in the market (post consumer waste) in the specific State /UT.**

The PIBOs have three alternatives **as per Annexure I** for implementation of EPR plan for PWM in the States/UTs in which they are introducing their products:

- a) PWM through Own Distribution Channel
- b) PWM through Direct engagement with Urban Local Body (ULB)
- c) PWM through engagement with Waste Management Agency (WMA), which in turn should engage with ULBs

PIBOs shall have the option of adopting any or all of the above options. However, it has to be ensured that the **total type & quantum of plastic waste** managed through these alternatives in a particular State/UT meets the EPR target of the concerned PIBO for the respective State/UT. **WMAs, if engaged, shall be enrolled with the concerned ULB/ any authority designated by the State/UT. Details of such WMAs shall be intimated to the respective SPCB/PCC by the ULB/ designated state authority.**

3.0 SOP for issuance of Certificate by CPCB

3.1 Submission of application

The PIBOs shall apply to CPCB for the registration online on the portal. The application format which is in accordance with Form-I of PWM Rules 2016 is enclosed at **Annexure III**. Application fee, as prescribed, shall be paid by PIBO at the time of submitting the application for Registration with CPCB.

3.2 EPR Action Plan Details

EPR Action Plan to meet the statewise EPR target (type & quantity) has to be submitted for each of the State/UT in which the PIBO is introducing the plastic in the market. The guiding principle for preparing the EPR Action Plan is discussed in this section.

3.2.1 PWM through Own Distribution Channel

In “PWM through own distribution channel” option, plastic waste shall be collected through the same channel through which it is introduced in the market.

3.2.1.1 Plastic Waste Collection: Detail of collection mechanism such as introduction of Deposit Refund Scheme, Setting up of collection centres etc. shall be submitted at the time of registration. Engagement with local bodies shall not be required for this option.

3.2.1.2 Plastic Waste Processing: PIBO has to engage with Plastic Waste Processing Facility (PWPF)- (Recycler/ Co-processor, etc.) for processing

of the plastic waste. PWPF should be registered with SPCB/PCC (Rule 13(3) of PWM Rules). The number of WMAs/PIBO to engage with PWPF shall be limited by the processing capacity of PWPF as per Registration issued by SPCB/PCC. The following details have to be provided for each of the PWPF engage with for processing of waste:

- i. Name of PWPF
- ii. Name of State /UT
- iii. Type of PWPF (Recycling, co-processing, WtE, road making, Waste to Oil etc.)
- iv. PWPF Processing Capacity (TPA)
- v. Validity date of Registration of PWPF
- vi. Qty of PW to be processed in PWPF
- vii. Type of PW to be processed (Low value (LDPE, MLP, PP); High valued (HDPE, PP, PET etc.))

Brand Owner has to sign an agreement (Format given in **Annexure IV**) with the PWPF.

3.2.2 PWM through Direct engagement with ULB

3.2.2.1 Plastic Waste Collection: PIBO may engage with the concerned ULB/ designated state authority for plastic waste management. Engagement with ULB/designated state authority can be for segregation, collection, transportation of waste, channelization of waste to PWPF, setting up/ operation & maintenance of material recovery facility (MRF)/ Refused Derived Fuel (RDF), engagement of informal sector in PWM etc. as per provision of PWM Rules. Details of such PIBOs shall be intimated to the respective SPCB/PCC by the ULB/ designated state authority.

Valid Document issued by concerned ULB / designated state authority supporting PIBO's engagement has to be submitted at the time of Registration to CPCB.

3.2.2.2 Plastic Waste Processing

Details, as per Section 3.2.1.2, have to be provided

3.2.3 PWM through engagement with Waste Management Agency (WMA), which in turn should engage with ULBs

PIBOs may also engage with WMAs for segregation, collection, transportation of waste, channelization of waste to PWPF, setting up/ operation & maintenance of material recovery facility (MRF)/ Refused Derived Fuel (RDF), engagement of informal sector in PWM etc. as per provision of PWM Rules. Such WMAs shall be enrolled with the concerned ULB/ designated state authority for implementation of provisions of PWM Rules required for registration of Producers /Brand-owners. Multiple WMAs can be engaged by Producers & Brand Owners for PWM. The following details have to be provided for each of the WMA engaged with:

- Name of the waste management agency
- Qty & type of plastic waste proposed to be managed through WMA
- Validity of agreement with WMA

Producers & Brand-Owners should have Agreement (**Annexure-V**) with WMA for PWM. Scope of Work of the WMA shall be clearly defined in the Agreement.

3.2.3.1 Plastic Waste Collection:

Engagement of WMA with ULB/ designated state authority shall be for the same activities as enumerated in 3.2.2.1 above. Valid Document issued by concerned ULB / designated state authority supporting WMA's enrolment has to be submitted at the time of Registration to CPCB. Scope of Work of the WMA should be clearly defined in the document.

3.2.3.2 Plastic Waste Processing: WMA has to engage with PWPF for processing of the plastic waste. WMA has to sign an agreement (Format given in **Annexure-IV**) with the PWPF. Other details shall be the same as Section 3.2.1.2.

3.3 Checklist of documents to be submitted for Obtaining Registration from CPCB

- (a) Proof of Selling in more than two states (GST/ tax invoice etc)
- (b) DIC Certificate, if the unit has a production facility
- (c) Valid Consents under Air & Water Act, if the unit has a production facility
- (d) Documents related to Action Plan for fulfilling EPR liability (State/UT wise)

- i. Document issued by ULB / designated state authority related to engagement of PIBO/WMA (as applicable)
- ii. Registration issued by SPCBs/PCCs to PWPF to be engaged with for PW processing
- iii. Agreement of PIBO/WMA with PWPF for PW processing (as applicable)
- iv. Agreement of PIBO with WMA (as applicable)

3.4 Processing of application

- i. The application shall be examined by CPCB and shortcomings, if any, shall be communicated to the applicant **within seven working days** of receipt of the application. Within CPCB, all concerned officials are required to respond within two working days of receipt of the required documents.
- ii. If no response is received from the applicant **within thirty days of receipt of CPCB's communication, the application shall be considered as withdrawn.**
- iii. The Registration certificate shall be deemed to be generated, if CPCB does not send any response to the applicant **within one month** of the receipt of the complete application in its office. Within CPCB, the reason for delay shall be examined and official responsible for the delay shall be required to give explanation for the same.

3.5 Responsibility of State Government/Administrator

- i. The State/UT shall nominate a State/UT level Nodal Agency/Department preferably the Department at State level which administers the affairs of Urban Local Bodies in the state/UT such as Urban development Deptt. /Local Self Government (LSG)/ Municipal Administration Deptt. Depending on the functional requirement, state may identify more than one such department as nodal department/agency. However, one of these departments shall be notified as the State Nodal Agency for the purpose of coordination to ensure that entire state including Rural Local Bodies, Town Panchayats, Cantonment Boards etc. are covered under the EPR Framework.
- ii. The State Nodal Agency (Urban Development/ LSG/ Municipal Administrative Department) shall map the existing PWM facilities (**As per Form-V of PWM Rules**) and update the details on six-monthly basis which

shall enable brandowners to tie-up with the ULBs/designated state authorities. Such details shall be shared on its website so as to be easily accessible to the PIBOs (**Annexure VI**).

- iii. State Nodal Agency shall be responsible for submission of consolidated details of EPR related activities of PIBOs & PWPFs located in their jurisdiction and other details to SPCB/PCC.

3.6 Responsibility of SPCB/PCC

- SPCBs /PCCs shall monitor implementation of EPR Action Plan of PIBOs at State / UT level to ensure its effective implementation.
- SPCB/PCC shall compile PIBO wise activities operating in the state/UT as per their EPR action plan and share it in public domain.
- SPCB shall assess the information on EPR Actiities of PIBOs/ WMA provided by the State Nodal Agency vis-à-vis their EPR Plan and communicate deficiencies, if any, to the PIBO.
- SPCB/PCC shall validate information provided by State Nodal Agency and PIBO and submit the same to CPCB.

3.7 Grant of Registration

- i. Fresh Registration valid for a period of one year in accordance with provision of PWM Rules shall be issued to the PIBOs.
- ii. Subsequent registrations shall be valid for a period of three years in accordance with provision of PWM Rules.
- iii. Registration certificate shall be issued online to PIBOs **within seven working days** of submission of complete application.
- iv. Member Secretary, CPCB shall be the approving authority for issuing of the Certificate and concerned Divisional Head, shall be the designated signatory on the Certificate.
- v. **Copy of the Registration along with the EPR Action Plan shall be shared with the concerned SPCB/PCCs and the Nodal Agency designated by the State Government/ UT Administrator. Details of EPR Action Plan of all PIBOs operational in a State/UT shall be displayed on the website of concerned SPCB/PCC/Designated Nodal Agency as per format given in Annexure VII.**

3.8 Submission of Half-Yearly Progress Reports by PIBO

- i. The PIBO shall be submitting half-yearly progress reports regarding management of plastic waste for **each State/ UT in their EPR Action Plan to concerned SPCB/PCC.**
- ii. PIBO has to demonstrate that quantity as well as type of plastic waste as per EPR target has been processed and it shall be mandatory to submit documentary evidence from respective processing facilities. The PIBO shall further submit supporting documents as evidence of Statewise collection of waste as per the EPR target.
- iii. The Half-Yearly Progress reports shall be submitted **within 15 days** of completion of the corresponding half-year term as per details given below:

1	PWM through Own Distribution Channel	
A	Details of PW Collection & Channelization	Statewise Quantity of Waste collected (TPA) along with supporting document in line with the collection mechanism
B	Details of Plastic Waste Processing	<ul style="list-style-type: none"> -Qty of Plastic waste processed -Type of Plastic Waste processed -Data to be reported for each PWPF -Report to be submitted as per Annexure VIII -Documents to be provided: <ol style="list-style-type: none"> a) Signed document issued by PWMF to the PIBO to include <ul style="list-style-type: none"> • Qty of PW processed • Type of PW processed • Date of issue & period for which waste has been processed b) Copy of valid registration issued by SPCB/PCC to PWPF c) Copy of last Annual report (Form IV of PWM Rules) filed by PWPF with concerned ULB
2	PWM through Direct engagement with ULB /designated state authority	
A	Details of PW Collection & Channelization-	<ul style="list-style-type: none"> -Valid document supporting engagement with ULB/ Designated state authority issued to PIBO - Legal undertaking by PIBO certifying that said type & quantity of plastic waste has been collected as per EPR Action plan
B	Details of Plastic Waste Processing	Same as 1B

3	PWM through engagement with Waste Management Agency (WMA), which in turn should engage with ULBs	
A	Details of PW Collection & Channelization	<ul style="list-style-type: none"> -Valid document supporting enrolment with ULB/ Designated state authority issued to WMA -Legal undertaking by WMA certifying that said type & quantity of plastic waste has been collected as per EPR Action plan of PIBOs who have engaged WMA -Document issued by WMA to PIBO indicating, type, quantity of waste managed assigned to PIBO along with the period for which it is assigned
B	Details of PW Processing	<ul style="list-style-type: none"> -Qty of Plastic waste processed -Type of Plastic Waste processed -Data to be reported for each PWPF/WMA -Report to be submitted as per Annexure VIII. <p>Documents to be submitted</p> <ul style="list-style-type: none"> (a) Signed document issued by PWPF to the WMA to include <ul style="list-style-type: none"> • Qty of PW processed • Type of PW processed • Date of issue & Period for which waste has been processed (b) Document signed by WMA indicating type & quantity of waste managed assigned to PIBO (c) Copy of valid registration issued by SPCB/PCC to PWPF (d) Copy of last Annual report (Form-IV) filed by PWPF with concerned ULB

3.9 Submission of Progress Reports by PIBOs/ SPCB/PCC

- **PIBOs** shall submit Half yearly reports to SPCB/PCC giving statement of plastic waste collection and utilization during the HY term under consideration as per **Section 3.7**.
- State Nodal Agency shall be responsible for submission of consolidated Half-yearly report including details of PWM activities carried out by PIBOs & PWM recyclers to SPCB/PCB/PCC. **The format is placed at Annexure IX.**
- **Concerned SPCB/PCC** shall validate the reports submitted by PIBOs and Nodal State Agency and submit the same to CPCB (**Annexure IX & X**). **The validation**

may be done through Form IV submitted by the recyclers/ Form-V submitted by ULBs/ field inspection etc.

- CPCB shall coordinate the activities related to EPR implementation in the country.

3.10 Renewal of Registration

- i. PIBO shall submit the application for renewal four months before the expiry of the Registration along with the necessary documents as discussed in the previous sections.
- ii. PIBO have to ensure that all due Half-Yearly reports for the preceding Registration period have been submitted prior to submitting the renewal application.
- iii. The documents submitted by the PIBO shall be assessed along with the Half-yearly reports submitted by PIBO.
- iv. Registration granted to PIBO shall be renewed for a period of three years by CPCB within 15 days of receipt of complete documents from the Producers & Brand Owner.
- v. Member Secretary, CPCB shall be the approving authority for issuing of the Certificate and the concerned Divisional Head shall be the designated signatory on the Certificate.
- vi. Documents to be submitted for renewal
 - Filled in application format
 - Copy of original Registration certificate
 - EPR Action Plan.
 - The renewal shall be based on the compliance status as received from the State Boards.

3.11 Cancellation of Registration

- i. The documents submitted by the PIBOs shall be subject to verification including third party audit by CPCB.
- ii. At any stage, if the document submitted by the PIBO is found to be false, then the Registration issued shall be liable to be cancelled.
- iii. If any PIBO is found to be violating the provision of Registration, a notice shall be issued by CPCB.

- iv. An opportunity will be given to hear the PIBO within fifteen days from the date of issuance of notice; prior to considering the case for cancellation or suspension of Registration by CPCB.
- v. The decision on cancellation or suspension of authorization will be intimated within 10 working days after hearing. Chairman CPCB will be the final authority for taking decision on cancellation or suspension.

4.0 Applicability of SOP

- (i) SOP shall be applicable to all applications received after the date of issue of the current SOP. However, the existing registrations shall be aligned with the SOP within three months of issue of SOP.
- (ii) The applications under process at CPCB for grant of Registration shall be processed as per provisions of the current SOP. Therefore, if required, additional details shall be furnished by the applicants.
- (iii) As the National Framework for EPR is under consideration at MoEF&CC, the SOP shall be applicable till the finalization of EPR Framework by MoEF&CC, following which PIBOs shall be liable to fulfill EPR liability as specified in the Framework.

PREPARATION OF ACTION PLAN FOR PRODUCERS/ IMPORTERS/ BRAND OWNERS (PIBOS) FOR PLASTIC WASTE MANAGEMENT

1.0 Background:

Plastic Waste Management(PWM) Rules 2016 provide a regulatory frame work for management of plastic waste generated in the country. The provisions of these Rules lay emphasise on plastic waste minimization, source segregation, recycling, involving waste pickers, recyclers and waste processors in collection of plastic waste fraction either from households or any other source of its generation or intermediate material recovery facility and adopt polluter's pay principle for the sustainability of the waste management system.

As per the provisions of the PWM Rules the PIBOs have to work out modalities for waste collection system based on Extended Producers Responsibility (EPR). **EPR means the responsibility of a producer (includes Brand-owners/Importers) for the environmentally sound management of the product until the end of its life.** Further the PIBOs are required to obtain Registration from CPCB/ SPCBs/PCCs (as the case may be) prior to commencement of production. The PIBOs are required to apply for Registration in Form I along with the Action Plan for plastic waste management.

This document gives the outline for framing the Action Plan for plastic waste management(PWM) by PIBOs.

2.0 Alternatives for Action Plan

The following alternatives may be considered for preparation of action plan for PWM:

- (i) **Plastic Waste management through Own Distribution channels-**
 - a. **Waste Collection:** Through own distribution channel.
 - b. **Waste Quantity:** Waste quantity should be equivalent to the estimated quantity of plastic waste generated.
 - c. **Waste Recycling:** In this case, the PIBOs Owner must have contract with the recyclers to ensure that the waste collected by them is sent to the recyclers. Alternatively, the PIBOs can send the plastic waste for co-processing in cement mills. Road making or any other waste processing facility, the documentary proof of which has to be submitted to CPCB.
 - d. **Action Plan Coverage:** To cover the area in which the products are sold to ensure collection of plastic waste preferably in the states/UT covered by their distribution channel

(ii) **Plastic Waste management through Urban Local Bodies(ULBs)**: The PIBOs can engage with the ULBs for collection, segregation and recycling of equivalent quantity of plastic waste.

a) **Waste Collection**: In partnership with ULBs.

b) **Waste Quantity**: Waste quantity should be equivalent to the estimated quantity of plastic waste generated.

c) **Waste Recycling**: In this case, the PIBOs/ULBs may have contract with the recyclers to ensure that the waste collected by them is sent to the recyclers. Alternatively, the plastic waste can be sent for coprocessing in cement mills/ Road making or any other waste processing facility, the documentary proof of which has to be submitted to CPCB.

d) **Action Plan Coverage**: To ensure Pan-India coverage, preferably one ULB from each of the five zones of India i.e North, South, Central, East and West India may be engaged by PIBOs selling their products on Pan-India basis. For those PIBOs selling their products in a limited no. of States/UTs – ULBs may be engaged so as to ensure maximum coverage of States/UTs. Also, to ensure that cities of all categories are covered preferably one ULB from Tier I, II & III be engaged.

(iii) **Through Agency**: in which the Agency must have necessary contracts with the ULBs for collection & segregation of waste and with the recyclers for reuse /recycle of waste. Other requirements of this alternative shall be same as “ii” above.

a) **Waste Collection**: In partnership with Agencies

b) **Waste Quantity**: Waste quantity should be equivalent to the estimated quantity of plastic waste generated.

c) **Waste Recycling**: In this case, the PIBOs/Agencies may have contract with the recyclers to ensure that the waste collected by them is sent to the recyclers. Alternatively, the plastic waste can be sent for co-processing in cement mills/ Road making or any other waste processing facility, the documentary proof of which has to be submitted to CPCB.

d) **Action Plan Coverage**: To ensure Pan-India coverage, preferably one Agency from each of the five zones of India i.e North, South, Central, East and West India may be engaged by PIBOs selling their products on Pan-India basis. For those PIBOs selling their products in a limited no. of States/UTs – Agencies may be engaged so as to ensure maximum coverage of States/UTs. Also, to ensure that cities of all categories are covered preferably one Agency from Tier I, II & III be engaged.

PIBOs may consider any or a combination of the above alternatives for preparation of the Action plan. In addition to the above three alternatives, PIBOs may submit

the Action Plan following any other option which is feasible and ensures management of plastic waste management in accordance with provisions of PWM Rules.

3.0 Implementation and Monitoring Plan:

- (i) PIBOs need to submit verification process in case of engagement of Agency to confirm that said quantity of waste has been managed by the Agency and there is no overlap / duplication with other PIBOs.
- (ii) The Action Plan submitted by PIBOs shall be sent to concerned SPCBs/PCCs for confirmation.
- (iii) The PIBOs to submit the details of waste collected through either of the three options in 2.0 above and submit it to CPCB/SPCB on quarterly basis. Format of submission of quarterly report is enclosed at Annexure II.
- (iv) SPCB in turn to verify the claims submitted by the PIBOs with the concerned ULBs/ recyclers and confirm the same to CPCB within 15 days of receipt of the details.

4.0 Validation of Information submitted by PIBOs

- (i) The PIBOs shall be solely responsible for the information provided to SPCB/CPCB.
- (ii) If, at any stage, information provided by the PIBOs is found to be incorrect, then the Registration granted by CPCB shall be cancelled.

Format for framing Action plan for PWM incorporating the above points is placed at Annexure 1. Format for Submitting Quarterly Reports on PWM by PIBOs to CPCB is enclosed at Annexure 2.

Format for framing Action plan for PWM

Sl.No	Item	Description
1	Name & Address of the Unit	
2	Quantity & Type of Plastic Consumed	
3	Estimated quantity of Plastic Waste to be generated	
4	Action Plan for Own Waste/ Equivalent quantity of Waste	
5	In case of Equivalent Quantity of Waste, source of waste generation to be identified	
6	Action Plan based on: a) Own Distribution Channel b) Engagement with ULBs c) Engagement of Agency d) Any Other (please provide details)	
6a	Own Distribution Channel	
i	Details of Distribution Network	
ii	Does the Network have Pan- India coverage	
iii	Estimated Qty of Waste to be Collected	
iv	Mode of Reusing/Recycling Waste (Recycler/ Road Making / Coprocessing/ Others (please specify)	
v	Details (including registration details) of Recycler / Coprocessor/ Agency engaged in Road making/ Others (please specify)	
vi	Break-up of quantity proposed to be sent to Recycler / Coprocessor/ Agencies engaged in Road making/ Others (please specify)	
6b	Engagement with ULBs	
i	List of ULBs to be engaged with for PWM	
ii	Does the above list ensure Pan India coverage	
iii	Break up of Waste to be collected in association with the ULBs	
iv	Document supporting engagement with ULBs	
v	Mode of Reusing/Recycling Waste (Recycler/ Road Making / Coprocessing),	
vi	Engagement with Recycler / Coprocessor/ Agency engaged in Road making	

vii	Details (including registration details) of Recycler / Coprocessor/ Agency engaged in Road making	
viii	Break-up of quantity proposed to be sent to Recycler / Coprocessor/ Agencies engaged in Road making	
ix	Document supporting engagement with Recycler / Coprocessor/ Agency engaged in Road making	
6c	Engagement of Agency	
i	List of Agencies to be engaged with for PWM	
ii	Does the above list ensure Pan India coverage	
iii	Document supporting engagement of the Agency by the ULBs/ Bulk Waste generators	
iv	Break up of Waste to be collected/segregated by the Agency	
v	Mode of Reusing/Recycling Waste (Recycler/ Road Making / Coprocessing)	
vi	Engagement with Recycler / Coprocessor/ Agency engaged in Road making	
vii	Details (including registration details) of Recycler / Coprocessor/ Agency engaged in Road making	
viii	Break-up of quantity proposed to be sent to Recycler / Coprocessor/ Agencies engaged in Road making	
6d	Any Other Options (Please specify and provide details on PWM as per 6 a-c above)	

(Signature),

(Name & Designation of Authorized person)

Note : The PIBOs to submit the material flow sheet for PWM incorporating the above details

ANNEXURE 2

Format for Submitting Quarterly Reports on PWM by PIBOs to CPCB

Sl.No	Item	Description
1	Name & Address of the Unit	
	Period for which Quarterly Report is submitted	
2	Quantity & Type of Plastic Consumed	
3	Quantity of Plastic Waste generated	
4	Details of Waste Collected	
a	Details of waste collected through Own Distribution Channel (Quantity along with supporting Documents)	
b	Details of Waste Collected through ULBs (Name, Quantity along with Supporting Documents)	
c	Details of Waste Collected through engaging Agency (Name, Quantity, Details of ULBs, Bulk Waste Generators along with Supporting Documents)	
d	Details of Waste Collected through Others (Please Specify)(Name, Quantity, Details of ULBs, Bulk Waste Generators along with Supporting Documents)	
5	Details of Waste Processed	
a	Details of waste sent to Recycler (Name, Quantity, Supporting Documents)	
b	Details of waste sent to Coprocessing (Name, Quantity, Supporting Documents)	
c	Details of waste sent to Road making (Name, Quantity, Supporting Documents)	
d	Details of waste sent to Others (please specify)(Name, Quantity, Supporting Documents)	

(Signature),**(Name & Designation of Authorized person)**

Annexure II

Provisions of PWM Rules 2016 related to SOP for granting registration to Producers & Brand-Owners

3(b): “brand owner” means a person or organization who sells any commodity under a registered brand label;

3(t): “producer” means persons engaged in manufacture or import of carry bags or multi-layered packaging or plastic sheets or like, and includes industries or individuals using plastic sheets or like or covers made of plastic sheets or multi-layered packaging for packaging or wrapping the commodity;

6(1): Every local body shall be responsible for development and setting up of infrastructure for segregation, collection, storage, transportation, processing and disposal of the plastic waste either on its own or by engaging agencies or Producers.

6(3): The local body for setting up of system for plastic waste management shall seek assistance of Producers and such system shall be set up within one year from the date of final publication of these rules in the Official Gazette of India

9(1): The Producers, within a period of six months from the date of publication of these rules, shall work out modalities for waste collection system based on Extended Producers Responsibility and involving State Urban Development Departments, either individually or collectively, through their own distribution channel or through the local body concerned;

9(2): Primary responsibility for collection of used multi-layered plastic sachet or pouches or packaging is of Producers, Importers and Brand Owners who introduce the products in the market. They need to establish a system for collecting back the plastic waste generated due to their products. This plan of collection to be submitted to the State Pollution Control Boards while applying for Consent to Establish or Operate or Renewal. The Brand Owners whose consent has been renewed before the notification of these rules shall submit such plan within one year from the date of notification of these rules and implement with two years thereafter;

13(1):No person shall manufacture carry bags or recycle plastic bags or multi-layered packaging unless the person has obtained a registration from the State Pollution Control Board or the Pollution Control Committee of the Union Territory concerned, as the case may be, prior to the commencement of production;

13(2): Every producer or brand-owner shall, for the purpose of registration or for renewal of registration, make an application in Form-I to

- i. “The concerned State Pollution Control Board or Pollution Control Committee of the Union territory, if operating one or two States or Union Territories”; or
- ii. “The Central Pollution Control Board, if operating in more than two States or Union Territories”.

APPLICATION FORM FOR BRAND-OWNERS

Part A. General Information		
1a	Name of the organization	
1b	Registered Address of the organization	
1c	Postal Address of the organization	
1d	Name & Designation of Authorized person	
1e	Contact no. of Authorized person	
1f	Email id of Authorized person	
1g	States/UT in which the Brand owner is operating	
1h	Proof of Selling in states /UTs in which Brand Owner is operational <i>(GST, Tax invoice etc. to be provided for each of the states & UT in which the organization is operational)</i>	GST, Tax invoice etc. to be provided for each of the states & UT in which the organization is operational
2a	Renewal application (Yes / No)	
3a	Does the units have a production facility (Y/N)	
3b	Is the production facility registered with District Industries Centre of State/UT (Y/N)	
3c	If yes, please provide copy of certificate	
4a	Total capital invested in the project (Rs. Lacs)	
4b	Year of Commencement of operations	
5a	Details (type & qty) of products produced/marketed	
5b	Total Quantity of plastic consumed (TPA)	
PART – B (PERTAINING TO LIQUID EFFLUENT AND GASEOUS EMISSIONS)		

6a	Date of validity of Consent (Water Act) (Information to be provided in this section if unit has a production facility ,If 3a is “yes”)	
6b	Date of validity of Consent (Air Act)	
6c	Provide copy of Consent (Air & Water Act)	
PART – C (PERTAINING TO WASTE)		
7a	Total Qty of PW Generated (TPA) (7a = 7b+7c)	
7b	Quantity of Pre- consumer PW generated (TPA)	
7c	Quantity of Post-consumer PW generated (TPA) (State wise Quantity / type of plastic waste (LDPE/HDPE/PP/MLP/PET etc introduced in the market (TPA)	
7d	Details of Storage of Pre-consumer PW within plant	
7e	Details of Disposal of Pre-consumer PW	
8	Details of plastic suppliers (Name, Contact details (Address & contact no.), Type of plastic Quantity (TPA)	
9	EPR Action Plan	

APPLICATION FORMAT FOR PRODUCERS

PART A: GENERAL INFORMATION		
1a	Name of the organization	
1b	Registered Address of the organization	
1c	Postal Address of the organization	
1d	Name & Designation of Authorized person	
1e	Contact no. of Authorized person	
1f	Email id of Authorized person	
1g	States/UT in which the Brand-owner is operating.	
1h	Product for which registration is required (Carry bag / petro based); Carry bags (Compostable) ; Multi-layer plastics)	
1i	Total production capacity (TPA)	
2a	Renewal application (Yes / No)	
3a	Is the production facility registered with District Industries Centre of State/UT (Y/N)	
3b	If yes, please provide copy of certificate	
4a	Total capital invested in the project (Rs. Lacs)	
4b	Year of Commencement of operations	
5a	Details (type & qty) of products produced/marketed	
5b	Total Quantity of plastic consumed (TPA)	
6	Flow diagram of manufacturing process showing input and output in terms of products and waste generated including for captive power generation and water.	
7	Status of compliance with these rules- Thickness – fifty microns (Yes/No)	
PART – B :PERTAINING TO LIQUID EFFLUENT AND GASEOUS EMISSIONS		
8a	Date of validity of Consent (Water Act)	
8b	Date of validity of Consent (Air Act)	-do-
8c	Provide copy of Consent (Air & Water Act)	
PART – C (PERTAINING TO WASTE)		
9a	Total Qty of PW Generated (TPA)	
9b	Quantity of Pre- consumer PW generated (TPA)	
9c	Quantity of Post-consumer PW generated (TPA) (State wise Quantity / type of plastic waste (LDPE/HDPE/PP/MLP/PET etc introduced in the market (TPA))	
9d	Details of Storage of Pre-consumer PW within plant	
9e	Details of Disposal of Pre-consumer PW	
10	Details of plastic suppliers: <ul style="list-style-type: none"> • Name • Contact details (Address & contact no.) • Type of plastic Quantity (TPA) 	

11	Details of Personnel or Brand Owners to whom the products will be supplied	
12	EPR Action Plan	

Format of Agreement: PIBOs/ WMA with PWPF

The Agreement between **PIBOs/ WMA** with PWPF to include the following:

1	Name & Address of PIBOs/ WMA
2	State/UT
3	Name & Address of PWPF
4	EPR Target of PIBOs
5	Copy of Registration issued to PWPF(to be enclosed)
6	Validity date of Registration issued to PWPF
7	Type of plastic waste processed at PWPF (LDPE/HDPE/PP/MLP/PET etc)
8	Processing capacity of PWPF(TPA)
9	Type of processing facility (recycling, co-processing etc,)
10	Type of plastic waste (LDPE/HDPE/PP/MLP/PET etc) to be provided by PIBOs/ WMA
11	Quantity of plastic waste (TPA) to be provided by PIBOs/ WMA
12	List of PIBOs/ WMA along with PW qty for which PWPF has signed agreement
13	Balance PWPF processing capacity (TPA)(8-12)
14	Any other condition
15	Date of signing of Agreement
16	Date of validity of Agreement
17	Agreement to be on legal stamp paper
18	Signatures of designated authorities of both parties

ANNEXURE V**Format of Agreement: PIBOs with WMA**

Agreement between PIBO and WMA to include the following:

1	Name of PIBO				
2	Name of WMA				
3	State/UT				
4	Date of signing of agreement				
5	Date of validity of agreement				
6	EPR Target of PIBO(Type & Quantity (TPA))				
7	Total type & qty (TPA) of waste to be managed through WMA				
8	Details of waste to be managed through WMA				
8a	Plastic Waste Collection & Channelization				
	WMA	Name of ULB/ Designated State Authority	Scope of Work	Type of PW to be managed (LDPE/HDPE/PP/PE T etc.)	Qty of PW to be managed (TPA)
i					
ii					
iii					
8b	Plastic Waste Processing				
	WMA	Name of PWPF	Type of PWPF(Recycling , co-processing etc)	Type of PW to be processed (LDPE/HDPE/PP/PE T etc.)	Qty of PW to be processed (TPA)
i					
ii					
iii					
8	Any other conditions				
9	Date of signing of Agreement				
10	Date of validity of Agreement				
11	Agreement to be on legal stamp paper				
12	Signed by designated authorities of both parties				

ANNEXURE VI

STATUS OF PLASTIC WASTE MANAGEMENT IN STATE/UT									
Name of State/UT									
Duration for which report filed									
STATUS OF PWM									
Sl. No	ULB/ state designated authority	Plastic Waste collected (TPA)	Plastic Waste processed (TPA)	Infrastructure for PWM (Please attach details)					
				Adequate Collection & Segregation facility (Yes/No)	Adequate transport ation facility (yes/No)	MRF		RDF	
						Capacity (TPA)	Adequate (yes /no)	Capacity (TPA)	Adequate (yes /no)

Annexure VII

EPR Action Plan of PIBOs registered in the State /UT

State/UT							
A. COLLECTION OF PLASTIC WASTE							
Sl. No	PIBO	WMA(if engaged)	ULB/Designated State Authority	Scope of Work	Qty of plastic to be channelized (TPA)	Type of plastic waste	Validity of Registration of PIBO
B. PROCESSING OF PLASTIC WASTE							
S.No	PIBO	WMA (if engaged)	Name of PWWP	Type of PWWP(Recycling, co-processing etc)	PW Quantity to be processed (TPA)	Type of PW to be processed (LDPE/HDP E/PP/PET etc.)	Validity of Registration of PIBO

ANNEXURE VIII

Half yearly Report to be submitted by PIBO

Name of PIBO	
State/UT	
Date of issue of Registration	
Fresh/ Renewal	
Period Reported for	

A. Plastic Waste Collection & Channelization

Name of ULB/ Designated State Authority	WMA (if engaged)	PW generated (MT)	Scope of Work	PW Quantity channelized (MT)	Type of plastic waste collected

B. Plastic Waste Processing

Sl. No	Name of Processing facility	WMA (if engaged)	Type of PWPF(Recycling , co-processing etc)	PWPF Capacity (TPA)	Type of PW to be processed (LDPE/HDP E/PP/PET etc.)	Qty of PW actually processed (MT)
1						
2						
3						

ANNEXURE IX

FORMAT OF HALF- YEARLY REPORT TO BE SUBMITTED BY NODAL AGENCY TO SPCB

Name of State/UT					
Duration for which report filed					
A. COLLECTION OF PLASTIC WASTE					
Sl. No	PIBO/WMA	ULB/ Designated State Authority	Scope of Work	PW Quantity channelized (MT)	Type of plastic waste collected
B. PW PROCESSING DETAILS					
Sl. No	Name of PWWF	Techno-logy	Processing Capacity (TPA)	Quantity of waste processed(MT)	Qty of waste received along with Source (MT) (multiple entries can be made)

C. In addition to above “STATUS OF PLASTIC WASTE MANAGEMENT IN STATE/UT “ as per Annexure VI has to be submitted to concerned SPCB/PCC

Annexure X

IMPLEMENTATION STATUS OF EPR ACTION PLAN OF PIBO

Name of State/UT						
Duration for which report filed						
A. COLLECTION OF PLASTIC WASTE						
Sl. No	PIBO	WMA(if engaged)	ULB/ designated state authority	Scope of Work	PW Quantity Channelized (MT)	Type of plastic waste channelized
B. PROCESSING OF PLASTIC WASTE						
S.No	PIBO	WMA(if engaged)	PWPF	Type of plastic waste	PW Quantity processed (MT)	Type of plastic waste processed