spondent has actual knowledge that the Administrator is already informed of them.

(ii) Information respecting these effects can be obtained either directly, by observation of their occurrence, or inferred from designed studies as discussed in Part VI.

The Agency considers effects for which substantial-risk information must be reported to include the following:

(a) *Human health effects*—(1) Any instance of cancer, birth defects, mutagenicity, death, or serious or prolonged incapacitation, including the loss of or inability to use a normal bodily function with a consequent relatively serious impairment of normal activities, if one (or a few) chemical(s) is strongly implicated.

(2) Any pattern of effects or evidence which reasonably supports the conclusion that the chemical substance or mixture can produce cancer, mutation, birth defects or toxic effects resulting in death, or serious or prolonged incapacitation.

(b) *Environmental effects*—(1) Widespread and previously unsuspected distribution in environmental media, as indicated in studies (excluding materials contained within appropriate disposal facilities).

(2) Pronounced bioaccumulation. Measurements and indicators of pronounced bioaccumulation heretofore unknown to the Administrator (including bioaccumulation in fish beyond 5,000 times water concentration in a 30-day exposure or having an n-octanol/water partition coefficient greater than 25,000) should be reported when coupled with potential for widespread exposure and any non-trivial adverse effect.

(3) Any non-trivial adverse effect, heretofore unknown to the Administrator, associated with a chemical known to have bioaccumulated to a pronounced degree or to be widespread in environmental media.

(4) Ecologically significant changes in species' interrelationships; that is, changes in population behavior, growth, survival, etc. that in turn affect other species' behavior, growth, or survival.

Examples include: (i) Excessive stimulation of primary producers (algae, macrophytes) in aquatic ecosystems, e.g., resulting in nutrient enrichment, or eutrophication, of aquatic ecosystems.

(ii) Interference with critical biogeochemical cycles, such as the nitrogen cycle.

(5) Facile transformation or degradation to a chemical having an unacceptable risk as defined above.

(c) *Emergency incidents of environmental contamination*—Any environmental contamination by a chemical substance or mixture to which any of the above adverse effects has been ascribed and which because of the pattern, extent, and amount of contamination (1) seriously threatens humans with cancer, birth defects, mutation, death, or serious or prolonged incapacitation, or (2) seriously threatens non-human organisms with large-scale or ecologically significant population destruction.

VI. Nature and Sources of Information Which "Reasonably Supports the Conclusion" of Substantial Risk

Information attributing any of the effects described in Part V above to a chemical substance or mixture is to be reported if it is one of the types listed below and if it is not exempt from the reporting requirement by reason of Part VII of this policy statement. A person is not to delay reporting until he obtains conclusive information that a substantial-risk exists, but is to immediately report any evidence which "reasonably supports" that conclusion. Such evidence will generally not be conclusive as to the substantiality of the risk; it should, however, reliably ascribe the effect to the chemical.

Information from the following sources concerning the effects described in Part V will often "reasonably support" a conclusion of substantial risk. Consideration of corroborative information before reporting can only occur where it is indicated below.

(1) *Designed, controlled studies.* In assessing the quality of information, the respondent is to consider whether it contains reliable evidence ascribing the effect to the chemical. Not only should final results from such studies be reported, but also preliminary results from incomplete studies where appropriate. Designed, controlled studies include:

(i) In vivo experiments and tests.

(ii) In vitro experiments and tests. Consideration may be given to the existence of corroborative information, if necessary to reasonably support the conclusion that a chemical presents a substantial risk.

(iii) Epidemiological studies.

(iv) Environmental monitoring studies.

(2) *Reports concerning and studies of undesigned, uncontrolled circumstances.* It is anticipated here that reportable effects will generally occur in a pattern, where a significant common feature is exposure to the chemical. However, a single instance of cancer, birth defects, mutation, death, or serious incapacitation in a human would be reportable if one (or a few) chemical(s) was strongly implicated. In addition, it is possible that effects less serious than those described in Part V(a) may be preliminary manifestations of the more serious effects and, together with another triggering piece of information, constitute reportable information; an example would be a group of exposed workers experiencing dizziness together with preliminary experimental results demonstrating neurological dysfunctions.

Reports and studies of undesigned circumstances include:

(i) *Medical and health surveys.*

(ii) Clinical studies.

(iii) Reports concerning and evidence of effects in consumers, workers, or the environment.

VII. Information Which Need Not Be Reported

Information need not be reported if it:

(a) Has been published by EPA in reports;

(b) Has been submitted in writing to EPA pursuant to mandatory reporting requirements under TSCA or any other authority administered by EPA (including the Federal Insecticide, Fungicide and Rodenticide Act, the Clean Air Act, the Federal Water Pollution Control Act, the Marine Protection, Research, and Sanctuaries Act, the Safe Drinking Water Act, and the Resource Conservation and Recovery Act), provided that the information: (1) Encompasses that required by Part IX (c) through (f); and (2) is from now on submitted within the time constraints set forth in Part IV and identified as a section 8(e) notice in accordance with Part IX(b);

(c) Has been published in the scientific literature and referenced by the following abstract services: (1) Agricola, (2) Biological Abstracts, (3) Chemical Abstracts, (4) Dissertation Abstracts, (5) Index Medicus, (6) National Technical Information Service.

(d) Is corroborative of well-established adverse effects already documented in the scientific literature and referenced as described in (c) above, unless such information concerns emergency incidents of environmental contamination as described in Part V(c), or

(e) Is contained in notification of spills under section 311(b)(5) of the Federal Water Pollution Control Act.

VIII. Information First Received by a Person Prior to the Effective Date of TSCA

Any substantial risk information possessed by a person prior to January 1, 1977, of which he is aware after that date shall be reported within 60 days of publication of this policy statement. The Agency considers that a person is "aware" of:

(a) Any information reviewed after January 1, 1977, including not only written reports, memoranda and other documents examined after January 1, 1977, but also information referred to in discussions and conferences in which the person participated after January 1, 1977;

(b) Any information the contents of which a person has been alerted to by date received after January 1, 1977, including any information concerning a chemical for which the person is presently assessing health and environmental effects;

(c) Any other information of which the person has actual knowledge.

IX. Reporting Requirements

Notices shall be delivered to the Document Control Officer, Chemical Information Division, Office of Toxic Substances (WH-557), Environmental Protection Agency, 401 M Street SW., Washington, D.C. 20460. (****)

A notice should:

(a) Be sent by certified mail, or in any other way permitting verification of its receipt by the Agency,

(b) State that it is being submitted in accordance with section 8(e),

(c) Contain the job title, name, address, telephone number, and signature of the person reporting and the name and address of the manufacturing, processing, or distributing establishment with which he is associated,

(d) Identify the chemical substance or mixture (including, if known, the CAS Registry Number),

(e) Summarize the adverse effects being reported, describing the nature and the extent of the risk involved, and

(f) Contain the specific source of the information together with a summary and the source of any available supporting technical data.

For emergency incidents of environmental contamination (see Part V(c)), a person shall report the incident to the Administrator by telephone as soon as he has knowledge of the incident (see below for appropriate telephone contacts). The report should contain as much of the information required by instructions (b) through (f) above as possible. A written report, in accordance with instructions (a) through (f) above, is to be submitted within 15 days. Twenty-four hour emergency telephone numbers are:

Region I (Maine, Rhode Island, Connecticut, Vermont, Massachusetts, New Hampshire), 617-223-7265.
Region II (New York, New Jersey, Puerto Rico, Virgin Islands), 201-548-8730.
Region III (Pennsylvania, West Virginia, Virginia, Maryland, Delaware, District of Columbia), 215-597-9898.
Region IV (Kentucky, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Florida), 404-881-4062.
Region V (Wisconsin, Illinois, Indiana, Michigan, Ohio, Minnesota), 312-353-2318.
Region VI (New Mexico, Texas, Oklahoma, Arkansas, Louisiana), 214-749-3840.
Region VII (Nebraska, Iowa, Missouri, Kansas), 816-374-3778.
Region VIII (Colorado, Utah, Wyoming, Montana, North Dakota, South Dakota), 303-837-3880.
Region IX (California, Nevada, Arizona, Hawaii, Guam), 415-556-6254.
Region X (Washington, Oregon, Idaho, Alaska), 206-442-1200.

X. Confidentiality Claims

(a) Any person submitting a notice to EPA under section 8(e) of TSCA may assert a business confidentiality claim covering all or part of the information contained in the notice. Any information covered by a claim will be disclosed by EPA only to the extent, and by means of the procedures, set forth in 40 CFR Part 2 (41 FR 36902, September 1, 1976).

(b) If no claim accompanies the notice at the time it is submitted to EPA, the notice will be placed in an open file to be available to the public without further notice to the submitter.

(c) To assert a claim of confidentiality for information contained in a notice, the submitter must submit two copies of the notice.

(1) One copy must be complete. In that copy the submitter must indicate what information, if any, is claimed as confidential by marking the specified information on each page with a label such as "confidential," "proprietary," or "trade secret."

(2) If some information in the notice is claimed as confidential, the submitter must submit a second copy. The second copy must be complete except that all information claimed as confidential in the first copy must be deleted.

(3) The first copy of the notice will be disclosed by EPA only to the extent, and by means of the procedures, set forth in 40 CFR Part 2. The second copy will be placed in an open file to be available to the public.

(d) Any person submitting a notice containing information for which they are asserting a confidentiality claim should send the notice in a double envelope.

(1) The outside envelope should bear the same address outlined in section IX of this policy statement.

(2) The inside envelope should be clearly marked "To be opened only by the OTS Document Control Officer."

XI. Failure To Report Information

Section 15(3) of TSCA makes it unlawful for any person to fail or refuse to submit information required under section 8(e). Section 16 provides that a violation of section 15 renders a person liable to the United States for a civil penalty and possible criminal prosecution. Pursuant to section 17, the Government may seek judicial relief to compel submittal of section 8(e) information and to otherwise restrain any violation of section 8(e).

Appendix A.—Quick Reference Summary for Emergency Incidents of Environmental Contamination

A. What Should Be Reported as an Emergency Incident

An emergency incident of environmental contamination is "any environmental contamination by a chemical substance or mixture . . . which, because of the pattern, extent and amount of contamination, (1) Seriously threatens humans with cancer, birth defects, mutation, death, or serious or prolonged incapacitation, or (2) seriously threatens non-human organisms with large scale or ecologically significant population destruction". (See Part V(c) for complete description.)

B. What Need Not Be Reported as an Emergency Incident

Information contained in notification of spills under section 311(b)(5) of the Federal Water Pollution Control Act (FWPCA). (For a complete list of exemptions to reporting, see Part VII.)

C. When and Where To Report Emergency Incidents

Emergency incidents of environmental contamination are to be reported immediately by telephone to the appropriate EPA Regional 24-hour telephone emergency line listed below.

Region I (Maine, Rhode Island, Connecticut, Vermont, Massachusetts, New Hampshire), 617-223-7265.
Region II (New York, New Jersey, Puerto Rico, Virgin Islands), 201-548-8730.
Region III (Pennsylvania, West Virginia, Virginia, Maryland, Delaware, District of Columbia), 215-597-9898.
Region IV (Kentucky, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Florida), 404-881-4062.
Region V (Wisconsin, Illinois, Indiana, Michigan, Ohio, Minnesota), 312-353-2318.
Region VI (New Mexico, Texas, Oklahoma, Arkansas, Louisiana), 214-749-3840.
Region VII (Nebraska, Iowa, Missouri, Kansas), 816-374-3778.
Region VIII (Colorado, Utah, Wyoming, Montana, North Dakota, South Dakota), 303-837-3880.
Region IX (California, Nevada, Arizona, Hawaii, Guam), 415-556-6254.
Region X (Washington, Oregon, Idaho, Alaska), 206-442-1200.

In addition, a written report, in accordance with instructions (a) through (f) of Part IX, is to be submitted within 15 days to the Document Control Officer, Chemical Information Division, Office of Toxic Substances (WH-557), 401 M Street SW., Washington, D.C. 20460.

Appendix B—Significant Comments and Responses

A. Persons Subject to These Requirements

Comment 1: Employees cannot be held subject to these requirements, since: (a) They only have a partial role in the manufacture, processing, or distribution of chemicals, (b) in other sections of TSCA, the term "person who manufactures, processes, or distributes" chemicals clearly refers to business organizations; "persons" should be consistently defined, and (c) the application of criminal penalties mandates a strict interpretation of this word.

(****) See NOTE on last page of Appendix C

Response: The Agency considers that different sections of TSCA, having different purposes, are appropriately directed to different respondents. In the case of section 8(e), officers and employees who are capable of appreciating the significance of information have a legitimate responsibility to be alert to and report substantial-risk information. The guidance has been modified so that natural persons and business entities can fulfill their section 8(e) obligations in different ways. Most officers and employees can discharge their section 8(e) obligations by submitting pertinent information to corporate superiors, provided that the company has established the risk-evaluation procedures characterized in Part II. In the case of a business organization, its president, chief executive officer, and other officials responsible and having authority for the business organization's execution of its section 8(e) obligations must ensure that the organization reports substantial-risk information to EPA.

Comment 2: Even if employees can be held subject to these requirements, they should not be. To do so would force employees and employers into conflicting positions, inviting internal corporate dissension and over- reporting. Further, individuals often do not have the overview necessary to reach considered, well-supported decisions. Corporate reporting by designated officials will provide EPA with more reliable data.

Response: The Agency considers that employees have a legitimate role in risk reporting; it is imperative that risk information *obtained by employees be appropriately* considered. Officers and employees can fulfill their role in the reporting of substantial-risk information, without the disadvantages described above, by reporting information to superiors for corporate consideration, and, having done so, will have discharged their obligation to EPA. This is contingent upon the establishment by the business organization of certain procedures for risk-evaluation, thereby assuring the appropriate consideration of such reports. Those officers responsible and having authority for the organization's execution of its section 8(e) obligations must ensure that the organization reports substantial-risk information to EPA.

Comment 3: Clarify which employees are covered, and the extent of their obligation. Are employees "capable of appreciating pertinent information" by virtue of rank, or knowledge? Are rank and file employees subject to these requirements, or just supervisory and managerial personnel, company toxicologists, etc.? Is an employee absolved of further responsibility if he reports to his supervisor?

Response: The Agency considers that the phrase "capable of appreciating the significance of pertinent information" appropriately describes those officers and employees who have a responsibility to be alert to and report substantial-risk information, including not only relatively senior corporate officers but also many corporate employees. The policy statement modifies the September 9 proposal, in response to the concerns expressed in Comments 2 and 3, to permit most officers and employees to discharge their obligation by submitting information to corporate superiors, subject to the conditions described in Part II.

Comment 4: Consultants and independent labs should not be subject to these requirements.

Response: Contractors and independent labs are not responsible for reporting information they have obtained directly to EPA; rather, their client manufacturers, processors and distributors are responsible for reporting such information.

B. THE "OBTAINING" OF INFORMATION

Comment 5: The "may suggest" criterion in Part III of the proposal serves to compel further examination of information that by itself is not subject to section 8(e) requirements. The statutory language calling for "reasonable support" does not support this. Further, risk assessment often requires anywhere from months to several years of study after preliminary results "suggest" risk, far exceeding the 15-day compliance period.

Response: The Agency does not intend to compel under section 8(e) examination of information that by itself is not subject to section 8(e) requirements and has deleted the "may suggest" provision, providing its interpretation of what constitutes evidence that "reasonably supports the conclusion" of substantial risk in a new Part VI.

Comment 6: Section 8(e) obligations are incurred upon obtaining conclusory substantial-risk information.

Response: The Agency disagrees, and considers that "reasonable support" of a conclusion of substantial risk is not identical to the conclusion itself. The former typically occurs, and must be reported, at an earlier stage.

Comment 7: The statement, in Part III of the proposal that a person has obtained information if he ". . . should know of the existence of *such information not in his possession* but which would be delivered to him on request," tends to compel an active search for substantial-risk information rather than the reporting of substantial-risk information a person "obtains." This is of particular concern to importers with limited access to information possessed by their suppliers.

Response: The Agency considers that section 8(e) applies to information which a person possesses or of which he knows. It is not intended to compel searches for information or extraordinary efforts to acquire information. The Agency further considers, however, that "known" information includes information which a prudent person similarly situated could reasonably be expected to know. Negligence or intentional avoidance of information does not absolve a person of his section 8(e) obligation. Part III has been modified to express these intentions.

Comment 8: Circumstances can exist when coming "into possession" of risk information does not correspond to an understanding of the implications of the information; "obtains" should be defined in terms of possession of information and awareness of its import.

Response: The "obtaining" of information occurs via persons who are "capable of appreciating the significance of pertinent information." There will likely be circumstances in which the evaluation of information clarifies its full import; the establishment of corporate procedures for processing risk-information prescribed in Part II will expedite this.

C. TIME ALLOWED FOR COMPLIANCE

Comment 9: Fifteen calendar days is insufficient to determine whether information which "may suggest" substantial risk should be reported; it is even insufficient to accommodate normal procedural time constraints (corporate processing, mailing, holidays, etc.).

Response: The Agency has changed the compliance period to 15 business days. It is imperative that procedures be established to expedite the reporting of substantial-risk information, not that reporting conform to *existing procedures.*

Comment 10: Allow from 30 to 90 days for the second phase of reporting; alternatively, do not prescribe a time limit for additional reporting.

Response: Having deleted the "may suggest" criterion, the Agency sees no need to provide a second phase to the reporting period. Supplemental information that is generated *after* a section 8(e) notification should, if appropriate, be immediately reported.

Comment 11: Allow from 90 to 120 days to report pre-1977 information; this period should commence: (a) upon final publication, (b) January 1, 1978, (c) following the inventory reporting period since many of the same corporate personnel will be implementing both requirements.

Response: The policy statement prescribes a 60 day reporting period, commencing immediately upon publication. Section 8(e) has been in effect since January 1, 1977; postponement in reporting substantial-risk information is not warranted.

D. EFFECTS AND INFORMATION THAT MUST BE REPORTED

Comment 12: The reporting of "any instance" of cancer, birth defects, etc., in *humans* is too broad and such information will be of little use; chemical workers, like the general population, develop cancers and other ailments of uncertain etiology.

Response: This policy statement clarifies that the reporting of single occurrences of human cancer or other serious effects will depend upon evidence strongly implicating one (or a few) chemical(s).

Comment 13: Dermal ailments and nausea are poorly chosen examples of precursor symptoms. Deleting these examples will avoid unduly emphasizing them when other symptoms may be more important, yet will not eliminate the obligation to report them if they are suspected precursors.

Response: The Agency agrees.

Comment 14: How are reportable data distinguished from routine tests including range tests such as LD_{50}'s?

Response: This policy statement directs the reporting of specified effects when unknown to the Administrator. Many routine tests are based on a knowledge of toxicity associated with a chemical; unknown effects occurring during such a range test may have to be reported if they are those of concern to the Agency and if the information meets the criteria set forth in Parts V and VI.

Comment 15: The most widespread "in vitro" test is the Ames test, which is subject to considerable debate. Clarify the circumstances under which positive results of in vitro tests must be reported.

Response: Part VI clarifies that the reporting of in vitro tests will depend upon the existence of corroborative information if necessary to reasonably support the conclusion of substantial risk.

Comment 16: The description of "extreme persistence" as a substantial risk is an example *of the need to redefine* Part V(c) ("Environmental Effects"). Persistence and bioaccumulation should be considered risks only when coupled with toxicity and significant exposure.