

Consultation Questionnaire Exemption No. 4(f) of RoHS Annex III

Current wording of the exemption:

Mercury in other discharge lamps for special purposes not specifically mentioned in this Annex

Requested validity period: Maximum (5 years and 7 years (cat. 8 and 9) respectively)

ACRONYMS AND DEFINITIONS

UV	Ultra Violet
LED	Light-Emitting-Diode
Hg	Mercury
LEU	LightingEurope



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1. INTRODUCTION

1.1. Background

Bio Innovation Service, UNITAR and Fraunhofer IZM have been appointed¹ by the European Commission through for the evaluation of applications for the review of requests for new exemptions and the renewal of exemptions currently listed in Annexes III and IV of the RoHS Directive 2011/65/EU.

VDMA and Lighting Europe submitted requests² for the renewal of the above-mentioned exemption. The request has been subject to a first completeness and plausibility check. The applicant has been re-requested to answer additional questions and to provide additional information, available on the request webpage of the stakeholder consultation³.

The stakeholder consultation is part of the review process for the request at hand. The objective of this consultation and the review process is to collect and to evaluate information and evidence according to the criteria listed in Art. 5(1)(a) of Directive 2011/65/EU.⁴

To contribute to this stakeholder consultation, please answer the below questions until the 27th of May 2021.

1.2. Summary of the Exemption Request

According to VDMA: *"The application for prolongation of the existing exemption refers to mercury-containing UV discharge lamps which are used for curing (e.g. of layers of inks and coatings, adhesives and sealants),*

¹ It is implemented through the specific contract 070201/2020/832829/ENV.B.3 under the Framework contract ENV.B.3/FRA/2019/0017

² Exemption request available at [RoHS Annex III exemption evaluation - Stakeholder consultation \(biois.eu\)](https://www.biois.eu/rohs-annex-iii-exemption-evaluation-stakeholder-consultation)

³ Clarification questionnaire available at [RoHS Annex III exemption evaluation - Stakeholder consultation \(biois.eu\)](https://www.biois.eu/rohs-annex-iii-exemption-evaluation-stakeholder-consultation)

⁴ Directive 2011/65/EU (RoHS) available at <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32011L0065:EN:NOT>

for disinfection (e.g. of water, surfaces and air) and for other industrial applications (surface modification, surface activation) The application includes the following lamp types:

- **UV medium-pressure discharge lamps (MPL) for curing, disinfection and other industrial applications** (internal operating pressure > 100 mbar). The UV medium-pressure lamps can be doped with iron, gallium or lead in addition to the mercury they contain.
- **UV low-pressure discharge lamps for special purposes in the high power range. [...]**

Typical applications to be covered by this application include curing, e.g. of inks and coatings, disinfection of water etc., and other industrial applications like surface activation and cleaning.

It is technically not possible to replace mercury in special UV lamps with other materials/chemicals in order to achieve the same widespread radiation distribution. LED-based technologies are increasingly being used, which in certain applications (e.g. curing) also offer many advantages over mercury-containing UV lamps. Nevertheless, LED technologies cannot be used as an equivalent replacement in many applications. "

According to LightingEurope, "[...] The renewal application concerns lamps and UV light sources defined as:

- High Pressure Sodium (vapour) lamps (HPS) for horticulture lighting,
- Medium and high-pressure UV lamps for curing, disinfection of water and surfaces, day simulation for zoo animals, etc...
- Short-arc Hg lamps for projection, studio, stage lighting, microlithography for semiconductor production, etc...

Replacement of mercury and mercury containing lamps is impracticable:

- The lamps covered by exemption 4(f) must remain available on the EU market:
 - o For new equipment for certain applications where no functionally suitable alternatives are available
 - o As spare parts for in-use equipment as replacing end-of-life lamps avoids having equipment become electronic waste before due time"

General Statement

Please provide as much information as possible to show that you qualify as a party of interest in regard to the exemption request for mercury-based UV lamps in industrial applications.

We are a producer of UV-Reactors based in Germany and employ 32 people.

We manufacture the following products: UV-reactors, UV-lamps

We use UV lamps for the following applications: UV-Disinfection, UV-Oxidation, Preparative Photochemistry

The percentage of UV-based products in our total production is: 100%

Our annual consumption of lamps is: > 10.000

The number and type of machines / devices with mercury-based UV technology is: about 3000

Our experiences with alternatives to UV lamps are as follows: not sufficient.....

UV lamps are still required for the following reasons: selective wavelength, economic operation



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2. QUESTIONS

1. VDMA and LightingEurope² requested the renewal of the above exemption for the maximum validity periods with the same scope and wording for all EEE of cat. 3 and 5 (VDMA) and cat. 1-10 (LEU).

- a. Please let us know whether you support or disagree with the wording, scope and requested duration of the exemption. To support your views, please provide detailed technical argumentation / evidence in line with the criteria⁴ in Art. 5(1)(a).

The wording should be retained, and an extension should be requested at least until 2026 and beyond. The reasons are: actually, no suitable replacement products.

Reference to RoHS Art. 5(1)(a): Exemptions for materials and components may be considered, if:

- "their elimination or substitution via design changes or materials and components by LED is scientifically or technically impracticable"
- "the reliability of substitutes is not possible, as LEDs are not available in the range we apply."
- "the total negative environmental, health and consumer safety impacts caused by substitution are likely to outweigh the total environmental, health and consumer safety benefits thereof"

- b. If applicable, please suggest an alternative wording and duration and explain your proposal.

From an industrial point of view, the shortening of the period of validity does not make sense, because the development of alternative solutions (e.g., based on UV LEDs) takes a lot of time. Especially, the development for new applications in the UVC area is still facing major challenges, and even in areas where LEDs might be available the overall ecological and economical balance is negative.

Furthermore, it can also be assumed that not all specific UV applications are well-known to VDMA and LightingEurope and have therefore been neglected to be investigated and considered in detail. The previous wording of the exception: "Mercury in other discharge lamps for special purposes not specifically mentioned in this Annex" should therefore be retained unchanged.

With regard to the following current and future developments/processes/products, the availability of UV lamps containing mercury is indispensable for our company:

WE are in UV-sanitation of machinery, and there a very reliable sanitation is required, which actually cannot be warranted by LED

WE use UV-Oxidation, and there is ZERO replacement possible actually. Not even 1% of replacement by any alternative light source

We are producing Ultra-pure water, here wavelength below 200 nm are required. Please explain how that should be manufactured by any light source without Mercury.

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2. Please provide information concerning possible substitutes or elimination possibilities at present or in the future so that the requested exemption could be restricted or revoked.

- a. Please explain substitution and elimination possibilities and for which part of the applications in the scope of the requested exemption they are relevant.

The periodic system of the elements offers no alternative to mercury in discharge lamps (i.e., an "alternative filling") that would be a direct 100% compatible replacement. The physical properties of mercury make this material quite unique and ideally suited for discharge lamps (high vapor pressure, low boiling point, specific spectral lines in areas that are ideal for disinfection and photochemical reactions). Scientific and industrial approaches to compatibly replace mercury with an alternative substance while maintaining the specific beneficial properties of mercury discharge lamps have been ongoing for decades and have all failed.

There are other mercury-free types of discharge lamps and other light sources like UV-LEDs available, which can, to some extent, be used for similar processes. There are, however, some very severe limitations:

- Direct replacement (exchanging only the lamp) is in most cases technologically not possible
- Replacement of existing machines/processes with alternative light sources (if available) usually requires additional steps, which may include:
 - replacement of power supplies and peripheral electrical components
 - replacement or alteration of inks and varnishes
 - use of other substrates
 - necessity for (other) pre-treatment technology
 - The specifications of replacement products will not lead to the required result of the equipment.
 - necessity for inert production environments (expensive use of nitrogen or carbon dioxide)
 - change of UV measurement equipment (different spectral sensitivity)
 - change of process speeds (usually substantial speed and productivity decrease)
 - heavy redesign of machine equipment
 - complications like cross-sensitivity to daylight and/or artificial lighting

- The use of replacement technologies usually has a heavy impact on the underlying chemistry of curable inks and varnishes, requiring high amounts of (toxic) photo initiators

- With respect to UV disinfection (water/air/surfaces), there currently is no real replacement available with a similar cost efficiency. The affected markets include general (drinking) water treatment plants, the beverage industry (bottling plants for PET bottles, glass bottles, or other containers), the food industry (sterilizing and packaging), fish farming plants, health industry, Covid-19-countermeasures, vessel ballast water treatment, and many more.



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We have tested LED since about 20 years, also some patents have been applied in the last 10 years, but all given up, as the development show clear limitation of the LED-technology for all wavelength below 330 nm. T technical breakthrough would be possible, but a price would be required which is decades out of the market's possibilities. There are regularly "publications" talking about a breakthrough, but looking behind always falls back to a marketing level without serious base. Actually there is no substantial solution available for our product segment in chemical and pharmaceutical industry. We have huge environmental savings and product improvements which all would be lost with a ban of Mercury.

- b. Please provide information as to research to find alternatives that do not rely on the exemption under review (substitution or elimination), and which may cover part or all of the applications in the scope of the exemption request.

According to our experience, replacement of existing UV lamp system with alternatives leads to a manifold of problems including quality issues, process downtime, productivity decrease, high investment costs, higher overall operational costs.

Alternatives, show a very high price, very low reliability LED-sources below 330 nm decompose the LEDs structure and lead to very low life time and generation of rubbish and CO2

- c. Please provide a roadmap of such on-going substitution/elimination and research (phases that are to be carried out), detailing the current status as well as the estimated time needed for further stages.

We don't see the existence of a roadmap for the complete substitution/elimination of mercury-based discharge lamps in most fields of application. There are other technologies available (see above point ...) which might justify investment into new machines and which might gain market share with respect to conventional UV applications over time. But for numerous existing machines/processes/applications, there is no reasonable replacement available.

3. Do you know of other manufacturers producing devices of comparable features and performance like the ones in the scope of this exemption request that do not depend on RoHS-restricted substances, or use smaller amounts of these substances compared to the applications in the scope of this exemption?

Since 100% replacement on existing installations is not possible, there is also no comparable product or device available with comparable features and performance.

If we could not provide our products any more, Chinese companies would take completely over the replacement of the spare parts and also new equipment. This is actually already happening, as the uncertainty in the marked regarding Mercury is leading to reduced investments and research within Europe.

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4. As part of the evaluation, socio-economic impacts shall also be compiled and evaluated. For this purpose, if you have information on socioeconomic aspects, please provide details in respect of the following:

a. What are the volumes of EEE in the scope of the requested exemptions which are placed on the market per year?

The market is huge. All Chemical companies like, *BASF, DOW, DuPont, all Pharmaceuticals like: Abbott, AbbVie, BioNTech, CSPC, Catalent, GSK, Merck, Lonza, Roche,*

Are using these products for production equipment and also for environmental purification (99% of API-destruction is realized by Mercury – UV-Products). All that would be sent to incineration making a huge environmental damage by CO₂-emission.

We name the following studies that give some figures: please see references and publication at one of our customers: <http://www.enviolet.com/publications.html>

For our company/our customers 10.000 – 13.000 pieces of lamps are used per year.

b. What are the volumes of additional waste to be generated should the requested exemption not be renewed or not be renewed for the requested duration?

Most existing machines on the market running with mercury discharge lamps would have to be considered as additional waste and would have to be disposed of. In many cases, it is economically and/or technologically not feasible to retrofit existing equipment with alternative light sources.

If UV lamps are no longer available, the following processes and entire machines are no longer usable: API-Destruction, Production of Dydrogesterone (Female hormone 100% Mercury base).....

This would have the following effects for our company: end of existence or relocation to China.....

Stored UV materials, replacement lamps and machinery of a total value of about 270.000.000 - 300.000.000 € would have to be scrapped.

c. What are estimated impacts on employment in total, in the EU and outside the EU, should the requested exemption not be renewed or be renewed for less than the re-quested time period? Please detail the main sectors in which possible impacts are expected – manufacturers of equipment in the scope of the exemption, suppliers, re-tail, users of MRI devices, etc.

Most employers of mercury-based UV technology would be confronted with a professional ban, leading to huge amount of unemployment and loss of products and productivity. Many companies and factories would stop existing.

We don't have exact figure and can only state to the best of our knowledge that thousands of companies exist only in the EU that employ UV technology based on mercury lamps. Some of them rely to up to 100% on the availability of mercury lamps (e.g., lamp manufacturers, power supply manufacturers, quartz suppliers, UV measuring device manufacturers, printers and coaters,).



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It would have the following the impact on our company/ on our customers: shut down of many productions or wastewater treatments plants.

The following business area would be discontinued: Manufacturing of the products; we would relocate all to our JV already existing in China. This would mean a loose of all workplaces in our two productions in Germany.

The following business area would be transferred to locations outside of the EU/EEA: Productions of the UV-equipment, production of the lamps, development, service,

- d. Please estimate additional costs associated should the requested exemption not be renewed, and how this is divided between various sectors (e.g. private, public, industry: manufacturers, suppliers, retailers).

Unemployment costs for thousands of personnel.

Heavy investment costs for companies into new machinery/equipment, at the same time costs for disposal of no longer usable machines and equipment

Loss of product diversity since no longer all products can be produced for technological and/or economic reasons, and also prices increase of replacement products as diversity always is going hand in hand with less competition. The end-user always pays that price.

We/our customers would have to perform investments in systems and machinery to a total value of about 270 - 300 mio €, for relocation outside EU.

Our business would cease to exist.

5. Any additional information which you would like to provide?

We believe that the responsible authors of the pending mercury ban dramatically underestimate the global impact of a mercury ban on industries, products, markets, and lastly employment opportunities and end consumers.

The dramatic socio-economic outcome of a mercury-ban bears no meaningful relation to the comparatively very small amount of mercury that is really brought into the market by mercury-containing discharge lamps. Used lamps can be recycled and the mercury content can be reused for new lamps. If all participants in the market actively use the recycling opportunities, the mercury content for discharge lamps can be confined to closed-loop processes without damage or impact to the environment and personal health.

We would like to strongly encourage policy makers to invest their effort into a well-organised recycling system including increasing the public awareness on the necessity of actively participating in the recycling loop. This is a win-win situation for all involved parties to the best outcome of having the best technologies available for the specific needs and without banning certain products, machines, technologies or markets for "the worse".

We would like to state that in relation to our products, a complete Mercury recovery is warranted, by a mobile recovery system - on the product side the installations we have realized within 25 years have reduced the carbon-dioxide exposure by more than 95% in about 700 installations, and manufactures in about 300 cases special products, which have no alternative route of production. The most famous



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product is Dydrogesterone (100% world coverage of the production process exclusively possible with Mercury light sources only)

Please note that answers to these questions can be published in the stakeholder consultation, which is part of the evaluation of this request. If your answers contain confidential information, please provide a version that can be made public along with a confidential version, in which proprietary information is clearly marked.

Please do not forget to provide your contact details (Name, Organisation, e-mail and phone number) so that the project team can contact you in case there are questions concerning your contribution.

The following information is to be treated confidentially and may not be published. We are sharing it with Bio Innovation Service for the sole purpose of better understanding and supporting the arguments against a mercury ban. The numbering refers to the aforementioned questions and points.

- 1. a.
- 1. b.
- 2. a.
- 2. b.
- 2. c.
- 3.
- 4. a.
- 4. b.
- 4. c.
- 4. d.
- 5.



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