EEE product

HCT-202107-02

Renewal application validity status of RoHS 2.0 exemption clauses and exemption process

11 Categories of EEE covered by EU RoHS Directive：1. Large household appliances. 2. Small household appliances. 3. IT and telecommunications equipment. 4. Consumer equipment. 5. Lighting equipment. 6. Electrical and electronic tools. 7. Toys, leisure and sports equipment. 8. Medical devices. 9. Monitoring and control instruments including industrial monitoring and control instruments. 10. Automatic dispensers. 11. Other EEE not covered by any of the categories above.

The following table is an updated summary of the status of the exemption clauses of the RoHS directive that expire in 2021 in Appendix III and Appendix IV (see yellow mark) (except for the mercury exemption for fluorescent lamps).

The RoHS exemption renewal application should be submitted within 18 months before the expiration of the exemption period. The existing exemption clauses will remain valid until the committee makes a decision.

If the application for renewal of exemption is rejected or the exemption is revoked, the exemption will expire at the earliest 12 months from the date of the decision and 18 months at the latest. There is no official announcement of the rejection of the application for renewal of exemption at this moment.

Exemption for which no application for renewal was submitted in due time will expire on the date specified in Article 5 or in the relevant annex of the Directive.

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ANNEX III

Exemption		Scope and dates of applicability	Validity status
▼M41 May 18, 2018,EU issued amendment directive (EU) 2018/739			
6(a)	Lead as an alloying element in steel for machining purposes and in galvanised steel containing up to 0,35 % lead by weight	Expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
6(a)-I	Lead as an alloying element in steel for machining purposes containing up to 0,35 % lead by weight and in batch hot dip galvanised steel components containing up to 0,2 % lead by weight	Expires on 21 July 2021 for categories 1-7 and 10.	Valid - requested for renewal
▼M42 May 18, 2018,EU issued amendment directive (EU) 2018/740			
6(b)	Lead as an alloying element in aluminium containing up to 0,4 % lead by weight	Expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitro diagnostic medical devices, — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal

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6(b)-I	Lead as an alloying element in aluminium containing up to 0,4 % lead by weight, provided it stems from lead-bearing aluminium scrap recycling	Expires on 21 July 2021 for categories 1-7 and 10.	Valid - requested for renewal
6(b)-II	Lead as an alloying element in aluminium for machining purposes with a lead content up to 0,4 % by weight	Expires on 18 May 2021 for categories 1-7 and 10.	Valid - requested for renewal
▼M43 May 18, 2018,EU issued amendment directive (EU) 2018/741			
6(c)	Copper alloy containing up to 4 % lead by weight	Expires on: — 21 July 2021 for categories 1-7 and 10, — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitro diagnostic medical devices, — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
▼M44 May 18, 2018,EU issued amendment directive (EU) 2018/742			
7(a)	Lead in high melting temperature type solders (i.e. lead-based alloys containing 85 % by weight or more lead)	Applies to categories 1-7 and 10 (except applications covered by point 24 of this Annex) and expires on 21 July 2021. For categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments expires on 21 July 2021. For category 8 in vitro diagnostic medical devices expires on 21 July 2023. For category 9 industrial monitoring and control instruments, and for category 11 expires on 21 July 2024.	Valid - requested for renewal
▼M38 May 18, 2018,EU issued amendment directive (EU) 2018/736			

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7(c)-I	Electrical and electronic components containing lead in a glass or ceramic other than dielectric ceramic in capacitors, e.g. piezoelectronic devices, or in a glass or ceramic matrix compound	Applies to categories 1-7 and 10 (except applications covered under point 34) and expires on 21 July 2021. For categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments expires on 21 July 2021. For category 8 in vitro diagnostic medical devices expires on 21 July 2023. For category 9 industrial monitoring and control instruments, and for category 11 expires on 21 July 2024.	Valid - requested for renewal
▼M45 February 5, 2019,EU issued amendment directive (EU) 2019/169			
7(c)-Ⅱ	Lead in dielectric ceramic in capacitors for a rated voltage of 125 V AC or 250 V DC or higher	Does not apply to applications covered by point 7(c)-I and 7(c)-IV of this Annex. Expires on: — 21 July 2021 for categories 1-7 and 10; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
▼M46 February 5, 2019,EU issued amendment directive (EU) 2019/170			
7(c)-IV	Lead in PZT based dielectric ceramic materials for capacitors which are part of integrated circuits or discrete semiconductors	Expires on: — 21 July 2021 for categories 1-7 and 10; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitorin	No longer valid

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		g and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	
▼M47 February 5, 2019,EU issued amendment directive (EU) 2019/171			
8(b)	Cadmium and its compounds in electrical contacts	Applies to categories 8, 9 and 11 and expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid- requested for renewal
8(b)-I	Cadmium and its compounds in electrical contacts used in: — circuit breakers, — thermal sensing controls, — thermal motor protectors (excluding hermetic thermal motor protectors), — AC switches rated at: ● 6 A and more at 250 V AC and more, or ● 12 A and more at 125 V AC and more, — DC switches rated at 20 A and more at 18 V DC and more, and — switches for use at voltage supply frequency ≥ 200 Hz.	Applies to categories 1 to 7 and 10 and expires on 21 July 2021.	Valid - requested for renewal
▼M58 March 5, 2020,EU issued amendment directive (EU) 2020/361			

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9	Hexavalent chromium as an anticorrosion agent of the carbon steel cooling system in absorption refrigerators up to 0,75 % by weight in the cooling solution	Applies to categories 8, 9 and 11 and expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitro diagnostic medical devices, — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	No longer valid
9(a)-I	Up to 0,75 % hexavalent chromium by weight, used as an anticorrosion agent in the cooling solution of carbon steel cooling systems of absorption refrigerators (including minibars) designed to operate fully or partly with electrical heater, having an average utilised power input < 75 W at constant running conditions	Applies to categories 1-7 and 10 and expires on 5 March 2021.	No longer valid
9(a)-II	Up to 0,75 % hexavalent chromium by weight, used as an anticorrosion agent in the cooling solution of carbon steel cooling systems of absorption refrigerators: — designed to operate fully or partly with electrical heater, having an average utilised power input ≥ 75 W at constant running conditions, — designed to fully operate with non-electrical heater.	Applies to categories 1-7 and 10 and expires on 21 July 2021.	Valid - requested for renewal
▼M35 June 16, 2017,EU issued amendment directive (EU) 2017/1011			

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13(a)	Lead in white glasses used for optical applications	Applies to all categories; expires on: — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments and for category 11; — 21 July 2021 for all other categories and subcategories	Valid - requested for renewal
▼M33 June 16, 2017,EU issued amendment directive (EU) 2017/1009			
13(b)	Cadmium and lead in filter glasses and glasses used for reflectance standards	Applies to categories 8, 9 and 11; expires on: — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments and for category 11; — 21 July 2021 for other subcategories of categories 8 and 9	Valid - requested for renewal
13(b)-(I)	Lead in ion coloured optical filter glass types	Applies to categories 1 to 7 and 10; expires on 21 July 2021 for categories 1 to 7 and 10	Valid - requested for renewal
13(b)-(II)	Cadmium in striking optical filter glass types; excluding applications falling under point 39 of this Annex		Valid - requested for renewal
13(b)-(III)	Cadmium and lead in glazes used for reflectance standards		Valid - requested for renewal
▼M48 February 5, 2019,EU issued amendment directive (EU) 2019/172			
15	Lead in solders to complete a viable electrical connection between semiconductor die and carrier within integrated circuit flip chip packages	Applies to categories 8, 9 and 11 and expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices;	Valid - requested for renewal

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		— 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	
15(a)	Lead in solders to complete a viable electrical connection between the semiconductor die and carrier within integrated circuit flip chip packages where at least one of the following criteria applies: — a semiconductor technology node of 90 nm or larger; — a single die of 300 mm2 or larger in any semiconductor technology node; — stacked die packages with die of 300 mm2 or larger, or silicon interposers of 300 mm2 or larger.	Applies to categories 1 to 7 and 10 and expires on 21 July 2021.	Valid - requested for renewal
▼M53 February 5, 2019,EU issued amendment directive (EU) 2019/177			
18(b)	Lead as activator in the fluorescent powder (1 % lead by weight or less) of discharge lamps when used as sun tanning lamps containing phosphors such as BSP (BaSi2O5:Pb)	Expires on: — 21 July 2021 for categories 1-7 and 10; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
18(b)-I	Lead as activator in the fluorescent powder (1 % lead by weight or less) of discharge lamps containing phosphors such as BSP (BaSi2O5:Pb) when used in medical phototherapy equipment	Applies to categories 5 and 8, excluding applications covered by entry 34 of Annex IV, and expires on 21 July 2021.	Valid - requested for renewal
▼M49 February 5, 2019,EU issued amendment directive (EU) 2019/173			

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21	Lead and cadmium in printing inks for the application of enamels on glasses, such as borosilicate and soda lime glasses	Applies to categories 8, 9 and 11 and expires on: — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	No longer valid
21(a)	Cadmium when used in colour printed glass to provide filtering functions, used as a component in lighting applications installed in displays and control panels of EEE	Applies to categories 1 to 7 and 10 except applications covered by entry 21(b) or entry 39 and expires on 21 July 2021.	No longer valid
21(b)	Cadmium in printing inks for the application of enamels on glasses, such as borosilicate and soda lime glasses	Applies to categories 1 to 7 and 10 except applications covered by entry 21(a) or 39 and expires on 21 July 2021.	No longer valid
21(c)	Lead in printing inks for the application of enamels on other than borosilicate glasses	Applies to categories 1 to 7 and 10 and expires on 21 July 2021.	No longer valid
▼M39 May 18, 2018,EU issued amendment directive (EU) 2018/737			
24	Lead in solders for the soldering to machined through hole discoidal and planar array ceramic multilayer capacitors	Expires on: — 21 July 2021 for categories 1-7 and 10, — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitro diagnostic medical devices, — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
▼M50 February 5, 2019,EU issued amendment directive (EU) 2019/174			

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29	Lead bound in crystal glass as defined in Annex I (Categories 1, 2, 3 and 4) of Council Directive 69/493/EEC	Expires on: — 21 July 2021 for categories 1-7 and 10; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and ontrol instruments; — 21 July 2023 for category 8 in vitro diagnostic medical devices; — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal (categories 1-7 and 10) No longer valid (categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and ontrol instruments)
▼M51 February 5, 2019,EU issued amendment directive (EU) 2019/175			
32	Lead oxide in seal frit used for making window assemblies for Argon and Krypton laser tubes	Expires on: — 21 July 2021 for categories 1-7 and 10, — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitro diagnostic medical devices, — 21 July 2024 for category 9 industrial monitoring and control instruments, and for category 11.	Valid - requested for renewal
▼M40 May 18, 2018,EU issued amendment directive (EU) 2018/738			
34	Lead in cermet-based trimmer potentiometer elements	Applies to all categories; expires on: — 21 July 2021 for categories 1-7 and 10, — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic medical devices and industrial monitoring and control instruments, — 21 July 2023 for category 8 in vitr	Valid - requested for renewal

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		o diagnostic medical devices, — 21 July 2024 for category 9 indus trial monitoring and control instrume nts, and for category 11.	
▼M52 February 5, 2019,EU issued amendment directive (EU) 2019/176			
37	Lead in the plating layer of high voltage diodes on the basis of a zinc borate glass body	Expires on: — 21 July 2021 for categories 1-7 a nd 10; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic me dical devices and industrial monitorin g and control instruments; — 21 July 2023 for category 8 in vit ro diagnostic medical devices; — 21 July 2024 for category 9 indus trial monitoring and control instrume nts, and for category 11.	No longer valid
▼M62 March 5, 2020,EU issued amendment directive (EU) 2020/365			
41	Lead in solders and termination finishes of electrical and electronic components and finishes of printed circuit boards used in ignition modules and other electrical and electronic engine control systems, which for technical reasons must be mounted directly on or in the crankcase or cylinder of hand-held combustion engines (classes SH:1, SH:2, SH:3 of Directive 97/68/EC of the European Parliament and of the Council	Applies to all categories and expires on: — 31 March 2022 for categories 1 t o 7, 10 and 11; — 21 July 2021 for categories 8 and 9 other than in vitro diagnostic me dical devices and industrial monitorin g and control instruments; — 21 July 2023 for category 8 in vit ro diagnostic medical devices; — 21 July 2024 for category 9 indus trial monitoring and control instrume nts.	No longer valid

ANNEX IV

Applications exempted from the restriction in Article 4(1) specific to medical devices and monitoring and control instruments

No	Exemption	Scope and dates of	

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		applicability	
▼M11 January 9, 2014,EU issued amendment directive 2014/9/EU			
12	Lead and cadmium in metallic bonds creating superconducting magnetic circuits in MRI, SQUID, NMR (Nuclear Magnetic Resonance) or FTMS (Fourier Transform Mass Spectrometer) detectors.	Expires on 30 June 2021.	Valid - requested for renewal
▼M5 January 9, 2014,EU issued amendment directive 2014/3/EU			
22	Lead acetate marker for use in stereotactic head frames for use with CT and MRI and in positioning systems for gamma beam and particle therapy equipment.	Expires on 30 June 2021.	No longer valid
▼M3 January 9, 2014,EU issued amendment directive 2014/1/EU			
23	Lead as an alloying element for bearings and wear surfaces in medical equipment exposed to ionising radiation.	Expires on 30 June 2021.	No longer valid
▼M8 January 9, 2014,EU issued amendment directive 2014/6/EU			
25	Lead in the surface coatings of pin connector systems requiring nonmagnetic connectors which are used durably at a temperature below – 20 °C under normal operating and storage conditions.	Expires on 30 June 2021.	No longer valid
▼M31 June 25, 2016,EU issued amendment directive (EU) 2016/1028			
26	Lead in the following applications that are used durably at a temperature below – 20 °C under normal operating and storage conditions: (a) solders on printed circuit boards; (b) termination coatings of electrical and electronic components and coatings of printed circuit boards; (c) solders for connecting wires and cables; (d) solders connecting transducers and sensors. Lead in solders of electrical connections to temperature measurement sensors in devices	Expires on 30 June 2021.	Valid - requested for renewal

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	which are designed to be used periodically at temperatures below – 150 °C.		
▼M12 January 9, 2014,EU issued amendment directive 2014/10/EU			
29	Lead in alloys, as a superconductor or thermal conductor, used in cryo-cooler cold heads and/or in cryo-cooled cold probes and/or in cryo-cooled equipotential bonding systems, in medical devices (category 8) and/or in industrial monitoring and control instruments.	Expires on 30 June 2021.	Valid - requested for renewal
31a	Lead, cadmium, hexavalent chromium, and polybrominated diphenyl ethers (PBDE) in spare parts recovered from and used for the repair or refurbishment of medical devices, including in vitro diagnostic medical devices, or electron microscopes and their accessories, provided that the reuse takes place in auditable closed-loop business-to-business return systems and that each reuse of parts is notified to the customer.	Expires on: (a) 21 July 2021 for the use in medical devices other than in vitro diagnostic medical devices; (b) 21 July 2023 for the use in in vitro diagnostic medical devices; (c) 21 July 2024 for the use in electron microscopes and their accessories.	Valid - requested for renewal
▼M18 January 9, 2014,EU issued amendment directive 2014/16/EU			
34	Lead as an activator in the fluorescent powder of discharge lamps when used for extracorporeal photopheresis lamps containing BSP (BaSi2O5:Pb) phosphors.	Expires on 22 July 2021.	No longer valid
▼M20 May 20, 2014,EU issued amendment directive 2014/70/EU			

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39	Lead in micro-channel plates (MCPs) used in equipment where at least one of the following properties is present: (a) a compact size of the detector for electrons or ions, where the space for the detector is limited to a maximum of 3 mm/MCP (detector thickness + space for installation of the MCP), a maximum of 6 mm in total, and an alternative design yielding more space for the detector is scientifically and technically impracticable; (b) a two-dimensional spatial resolution for detecting electrons or ions, where at least one of the following applies: (i) a response time shorter than 25 ns; (ii) a sample detection area larger than 149 mm2; (iii) a multiplication factor larger than 1,3 × 103. (c) a response time shorter than 5 ns for detecting electrons or ions; (d) a sample detection area larger than 314 mm2 for detecting electrons or ions; (e) a multiplication factor larger than 4,0 × 107.	The exemption expires on the following dates: (a) 21 July 2021 for medical devices and monitoring and control instruments; (b) 21 July 2023 for in-vitro diagnostic medical devices; (c) 21 July 2024 for industrial monitoring and control instruments.	Valid - requested for renewal

Exemptions process:

1. Exemption application: The RoHS Directive allows for exemptions from its restrictions, under certain conditions defined in article 5(1), adapting the Annexes to scientific and technical progress. Exemptions are limited in time and reassessed on a regular basis, taking into account the availability, practicability and reliability of substitutes , the environmental, health and consumer safety impacts of substitution , the socioeconomic impact of substitution , any potential adverse impacts on innovation。Industry regularly applies for the renewal of exemptions or for additional applications to be exempted from the Directive's requirements. Each request must be evaluated, and when appropriate, an exemption is granted.

2.Application time:

- A decision on a RoHS exemption currently takes 18 to 24 months from the application date. Priority is given to older applications. Existing exemptions for which a renewal

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request has been submitted remain valid until a decision is taken by the Commission. This decision either indicates a new expiry date or, in case of rejection, grants a transition period of 12 to 18 months before the exemption expires.

- Exemptions for which no application for renewal was submitted in due time will expire on the date specified in Article 5 or in the relevant annex of the Directive.
- After submitting a request for a new exemption, equipment must comply with the Directive to be placed on the Union market, until a decision granting a new exemption is adopted by the Commission.

3. The Commission evaluation procedure involves a number of steps:

3.1 The technical and scientific assessment study and stakeholder consultation typically takes around 10 months.

3.2 Once a proposal has been made, the Commission consults with Member States and the European Parliament. You can access the agendas and minutes of the Member States expert group for RoHS 2 adaptation and enforcement in the Register of Commission Expert Groups.

3.3 The draft delegated directive/decision is then published for public feedback (4 weeks) and notified to the WTO Technical Barriers to Trade Committee (60 days).

3.4 The Delegated Directive will then be adopted by the Commission. The draft Delegated directives adopted by the Commission are available before official publication. The status of the draft delegated act is available in the Inter-institutional register of delegated acts.

3.5 The two-month scrutiny period of the European Parliament and the Council commences (an extension of the scrutiny period on request is possible). After this scrutiny period, in case of no objections from the co-legislators, the Delegated Directive will be published in the Official Journal.

HCT solution:

Relevant manufacturers and traders should make preparations in advance, promptly respond to the expiration of exemptions, and implement RoHS control. Shenzhen Hongcai Testing Technology Co., Ltd. has the qualifications of Guangdong Metrology Certification CMA and China National Accreditation Service for Conformity Assessment CNAS. It can help enterprises to export safely. Please call us for details.

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