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NATIONAL INDUSTRIAL CHEMICALS NOTIFICATION AND ASSESSMENT SCHEME (NICNAS)

PUBLIC REPORT

Ester in Emgard® XFE 75W-90

This Assessment has been compiled in accordance with the provisions of the *Industrial Chemicals (Notification and Assessment) Act 1989* (the Act) and Regulations. This legislation is an Act of the Commonwealth of Australia. The National Industrial Chemicals Notification and Assessment Scheme (NICNAS) is administered by the Department of Health, and conducts the risk assessment for public health and occupational health and safety. The assessment of environmental risk is conducted by the Department of the Environment and Energy.

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SUMMARY

The following details will be published in the NICNAS Chemical Gazette:

ASSESSMENT REFERENCE	APPLICANT(S)	CHEMICAL OR TRADE NAME	HAZARDOUS CHEMICAL	INTRODUCTION VOLUME	USE
STD/1592	BASF Australia Ltd	Ester in Emgard® XFE 75W-90	ND	≤ 250 tonnes per annum	Component of synthetic automotive lubricants

^{*}ND = not determined

CONCLUSIONS AND REGULATORY OBLIGATIONS

Hazard classification

Based on the available information, the notified chemical is not recommended for hazard classification according to the Globally Harmonised System of Classification and Labelling of Chemicals (GHS), as adopted for industrial chemicals in Australia.

Human health risk assessment

Under the conditions of the occupational settings described, the notified chemical is not considered to pose an unreasonable risk to the health of workers.

When used in the proposed manner, the notified chemical is not considered to pose an unreasonable risk to public health.

Environmental risk assessment

On the basis of the low expected aquatic release and the reported use pattern, the notified chemical is not considered to pose an unreasonable risk to the environment.

Recommendations

CONTROL MEASURES

Occupational Health and Safety

- A person conducting a business or undertaking at a workplace should implement the following safe work practices to minimise occupational exposure during handling of the notified chemical during repackaging and/or end use processes:
 - Avoid contact with skin
- A person conducting a business or undertaking at a workplace should ensure that the following personal protective equipment is used by workers to minimise occupational exposure to the notified chemical during repackaging and/or end use processes where practicable:
 - Gloves
 - Coveralls

Guidance in selection of personal protective equipment can be obtained from Australian, Australian/New Zealand or other approved standards.

- A copy of the (M)SDS should be easily accessible to employees.
- If products and mixtures containing the notified chemical are classified as hazardous to health in accordance with the *Globally Harmonised System of Classification and Labelling of Chemicals (GHS)* as adopted for industrial chemicals in Australia, workplace practices and control procedures consistent with provisions of State and Territory hazardous substances legislation should be in operation.

Disposal

 Where reuse or recycling are not appropriate, dispose of the notified chemical in an environmentally sound manner in accordance with relevant Commonwealth, state, territory and local government legislation.

Emergency procedures

• Spills or accidental release of the notified chemical should be handled by physical containment, collection and subsequent safe disposal.

Regulatory Obligations

Secondary Notification

This risk assessment is based on the information available at the time of notification. The Director may call for the reassessment of the chemical under secondary notification provisions based on changes in certain circumstances. Under Section 64 of the *Industrial Chemicals (Notification and Assessment) Act (1989)* the notifier, as well as any other importer or manufacturer of the notified chemical, have post-assessment regulatory obligations to notify NICNAS when any of these circumstances change. These obligations apply even when the notified chemical is listed on the Australian Inventory of Chemical Substances (AICS).

Therefore, the Director of NICNAS must be notified in writing within 28 days by the notifier, other importer or manufacturer:

- (1) Under Section 64(1) of the Act; if
 - further information becomes available on the sensitisation potential of the notified chemical;
 - the chemical is imported and used at > 30% concentration;

or

- (2) Under Section 64(2) of the Act; if
 - the function or use of the chemical has changed from component of synthetic automotive lubricants, or is likely to change significantly;
 - the amount of chemical being introduced has increased, or is likely to increase, significantly;
 - the chemical has begun to be manufactured in Australia;
 - additional information has become available to the person as to an adverse effect of the chemical on occupational health and safety, public health, or the environment.

The Director will then decide whether a reassessment (i.e. a secondary notification and assessment) is required.

No additional secondary notification conditions are stipulated.

Safety Data Sheet

The SDS of the product containing the notified chemical provided by the notifier was reviewed by NICNAS. The accuracy of the information on the SDS remains the responsibility of the applicant.

ASSESSMENT DETAILS

1. APPLICANT AND NOTIFICATION DETAILS

APPLICANT(S)

BASF Australia Ltd (ABN: 62 008 437 867)

Level 12, 28 Freshwater Place SOUTHBANK VIC 3006

NOTIFICATION CATEGORY

Standard: Chemical other than polymer (more than 1 tonne per year).

EXEMPT INFORMATION (SECTION 75 OF THE ACT)

Data items and details claimed exempt from publication: chemical name, other names, CAS number, molecular and structural formulae, molecular weight, degree of purity, impurities, additives/adjuvants and import volume.

VARIATION OF DATA REQUIREMENTS (SECTION 24 OF THE ACT)

Variation to the schedule of data requirements is claimed as follows: hydrolysis as a function of pH, dissociation constant, induction of germ cell damage and bioaccumulation.

PREVIOUS NOTIFICATION IN AUSTRALIA BY APPLICANT(S)

None

NOTIFICATION IN OTHER COUNTRIES

USA (2010), Canada (2015), EU REACH (2015), Switzerland (2015), China (2016), Taiwan (2016)

2. IDENTITY OF CHEMICAL

MARKETING NAME(S)

Emgard® XFE 75W-90 (product containing the notified chemical)

OTHER NAME(S)

Ester in XPB 115

MOLECULAR WEIGHT

< 500 Da

ANALYTICAL DATA

Reference NMR, IR, GC, UV and GC/MS spectra were provided.

3. COMPOSITION

DEGREE OF PURITY

>95%

4. PHYSICAL AND CHEMICAL PROPERTIES

APPEARANCE AT 20 °C AND 101.3 kPa: clear yellowish liquid with faint specific odour

Property		Value	Data Source/Justification	
Melting	Point/Freezing	<-100 °C	Measured	
Point				
Boiling Poir	nt	377–388 °C at 101.3 kPa	Measured	
Density		$910 \text{ kg/m}^3 \text{ at } 20 ^{\circ}\text{C}$	Measured	
		$900 \text{ kg/m}^3 \text{ at } 40 ^{\circ}\text{C}$		
Vapour Pres	ssure	1.1×10^{-8} kPa at 20 °C	Measured	
		2.3×10^{-8} kPa at 25 °C		
		6.5×10^{-7} kPa at 50 °C		
Water Solub	oility	$< 6 \times 10^{-5}$ g/L at 20 °C	Measured	
Hydrolysis a	as a Function of	Not determined	Contains hydrolysable functionalities but no	

pН		significant hydrolysis is expected at environmental conditions
Partition Coefficient (n-octanol/water)	$\log Pow > 6.5 \text{ at } 25 ^{\circ}\text{C}$	Measured
Adsorption/Desorption	$\log \text{Koc} > 5.6 \text{ at } 25 ^{\circ}\text{C}$	Measured
Dissociation Constant	Not determined	Does not contain dissociable functionalities
Particle Size	Not determined	Liquid
Flash Point	208.5 °C (pressure unknown)	Measured
Flammability	Not considered pyrophoric	Measured
Autoignition Temperature	334 °C	Measured
Explosive Properties	Not determined	The exothermic decomposition energy, determined by DSC, is less than 500 J/g.
Oxidising Properties	Not determined	Contains no functional groups that would imply oxidising properties.

DISCUSSION OF PROPERTIES

For full details of tests on physical and chemical properties, refer to Appendix A.

Reactivity

The notified chemical is expected to be stable under normal conditions of use.

Physical hazard classification

Based on the submitted physico-chemical data depicted in the above table, the notified chemical is not recommended for hazard classification according to the *Globally Harmonised System of Classification and Labelling of Chemicals (GHS)*, as adopted for industrial chemicals in Australia.

5. INTRODUCTION AND USE INFORMATION

MODE OF INTRODUCTION OF NOTIFIED CHEMICAL (100%) OVER NEXT 5 YEARS

The notified chemical will be imported as a component of synthetic lubricant for automotive at $\leq 30\%$ concentration.

MAXIMUM INTRODUCTION VOLUME OF NOTIFIED CHEMICAL (100%) OVER NEXT 5 YEARS

Year	1	2	3	4	5
Tonnes	50-100	50-100	100-150	150-200	200-250

PORT OF ENTRY

Melbourne and Sydney

IDENTITY OF RECIPIENTS

BASF Australia Ltd

TRANSPORTATION AND PACKAGING

The notified chemical will be imported in 175 kg closed head steel drums and 1,000 L intermediate bulk containers (IBCs). The drums will be packed on pallets and the drums and IBCs will be transported in a shipping container from the wharf to contracted warehouses in Melbourne and Sydney by road.

Use

The notified chemical will be as a component of synthetic lubricants for industrial automotive use (at $\leq 30\%$ concentration).

OPERATION DESCRIPTION

The notified chemical will not be manufactured or reformulated in Australia. It will be supplied to customers for either rebranding or repacking into smaller containers (e.g. 10~L) as required. The notified chemical will be repackaged using automated processes. The product containing the notified chemical at $\leq 30\%$ concentration will be used by industry only as transmission fluids in automotive applications, such as heavy industrial trucks.

6. HUMAN HEALTH IMPLICATIONS

6.1. Exposure Assessment

6.1.1. Occupational Exposure

CATEGORY OF WORKERS

Category of Worker	Exposure Duration	Exposure Frequency
	(hours/day)	(days/year)
Transport and storage	1	30–60
Production / packaging operators	2	50-100
Quality technicians	1	50-100
End use	1–2	100-200

EXPOSURE DETAILS

Storage and transportation

Waterside workers, transport drivers and warehouse workers may come into contact with the notified chemical (at $\leq 30\%$ concentration) only in the unlikely event of an accident.

Repacking

Dermal and ocular exposure to the notified chemical at \leq 30% concentration is possible when operators are connecting and disconnecting pump lines to transfer product from imported containers (e.g. from IBC to a smaller package of 10 L). It is expected that minimal exposure will occur during the repackaging process. Dermal exposure to the notified chemical at \leq 30% concentration is possible when workers clean up spills or leaks during maintenance of the pump transfer equipment. Workers involved in the transfer process are expected to wear personal protective equipment (PPE) including impermeable gloves, goggles or face shield and protective clothing to minimise exposure.

End use

There is potential for dermal and ocular exposure to the notified chemical at $\leq 30\%$ concentration during the transfer of the lubricant into, and maintenance of, industrial vehicles. Exposure is expected to be minimised by the use of PPE such as gloves, goggles and protective clothing.

6.1.2. Public Exposure

The notified chemical will only be used by the industry and the potential for public exposure is expected to be low.

6.2. Human Health Effects Assessment

The results from toxicological investigations conducted on the notified chemical are summarised in the following table. For full details of the studies, refer to Appendix B.

Endpoint	Result and Assessment Conclusion
Rat, acute oral toxicity	LD50 > 2,000 mg/kg bw; /low toxicity
Rat, acute dermal toxicity	LD50 > 5,000 mg/kg bw; low toxicity
Rabbit, skin irritation	slightly irritating
Rabbit, eye irritation	non-irritating
Mouse, skin sensitisation – Local lymph node assay	evidence of weak sensitisation
Guinea pig, skin sensitisation – adjuvant test	no evidence of sensitisation
Rat, repeat dose oral toxicity – 90 days.	NOAEL = 209 mg/kg bw/day for males and 244
	mg/kg bw/day for females
Mutagenicity – bacterial reverse mutation	non mutagenic
Genotoxicity – in vivo micronucleus test	non genotoxic
Rat, reproductive and developmental toxicity	NOAEL = 200 mg/kg bw/day

Toxicokinetics, metabolism and distribution

Based on the low molecular weight (< 500 Da) and partition coefficient (log Pow > 6.5) of the notified chemical, passive diffusion across the gastrointestinal (GI) tract and dermal absorption may occur.

Acute toxicity

The notified chemical was found to have low acute oral and dermal toxicity in rats. No information is available on inhalation toxicity.

Irritation

Based on studies conducted in rabbits, the notified chemical was considered to be slightly irritating to the skin and non-irritating to eyes. Information on irritation to the respiratory tract is not available.

Sensitisation

The notified chemical was a skin sensitiser in a local lymph node assay (LLNA) in mice, with reported stimulation indices of 0.84, 2. 80 and 3.70 at 10, 25 and 50% concentration, respectively. An EC3 value of 39.2% was determined by the study authors. However, chemicals with skin irritating properties tested in the LLNA study using acetone/olive oil may show false positive results (Anderson *et al.* 2011 and Basketter *et al.* 2009).

The notified chemical was not a skin sensitiser in a guinea pig maximisation test using the Magnusson and Kligman method. Slight skin irritation was observed in animals during the study.

QSAR modelling (QSAR 2017) showed negative results for skin sensitisation, consistent with the observation that no structural alert related to skin sensitisation was presented in the structure of components of the notified chemical. In addition, three analogue chemicals with structures similar to the main component of the notified chemical provided by the notifier indicate negative results for skin sensitisation.

Based on the information available and using weight of evidence, the notified chemical is not classified for skin sensitisation.

Repeated dose toxicity

A 90 day repeat dose study was conducted in rats, with the notified chemical administered through the diet at dose levels of 0, 71 (male) and 85 (female), 209 (male) and 244 (female) and 875 (male) and 1,361 (female) mg/kg bw/day. The No Observed (Adverse) Effect Level (NO(A)EL) was established as 209 mg/kg bw/day for males and 244 mg/kg bw/day for females in this study, based on the test substance-related adverse signs of systemic toxicity noted at the highest dose, also considering clinical pathology and pathology parameters.

Mutagenicity/Genotoxicity

The notified chemical was not mutagenic in a bacterial reverse mutation study and was not considered to be genotoxic in an in vivo micronucleus test.

Toxicity for reproduction

A prenatal developmental toxicity study was conducted in rats, with the notified chemical administered by oral gavage at dose levels of 0, 60, 200 and 600 mg/kg bw/day. The No Observed Adverse Effect Level (NOAEL) was established as 200 mg/kg bw/day in the study, based on that no developmental toxicity was observed in the 60 and 200 mg/kg bw/day groups.

Health hazard classification

Based on the available information, the notified chemical is not recommended for hazard classification according to the *Globally Harmonised System of Classification and Labelling of Chemicals (GHS)*, as adopted for industrial chemicals in Australia.

6.3. Human Health Risk Characterisation

6.3.1. Occupational Health and Safety

Based on toxicological studies on the notified chemical it is expected that the chemical is of low toxicity, with slight skin irritation. Based on the weight of evidence, the notified chemical is not classified for skin sensitisation; however, the potential of the notified chemical to act as a weak skin sensitiser at high concentrations cannot be ruled out.

During repackaging, workers may be exposed to the notified chemical at $\leq 30\%$ concentration. During end-use professional workers may be exposed to the notified chemical at $\leq 30\%$ concentration when manually decanting

product containing the notified chemical into industrial vehicles. Appropriate PPE (coveralls, impervious gloves, eye protection) will be used to limit workers' exposure. Even if the chemical is a weak skin sensitiser (EC3 = 39.2 in the LLNA), workers will not have exposure to the chemical at > 30% concentration.

Therefore, under the occupational settings described, the risk to the health of workers from use of the notified chemical is not considered to be unreasonable.

6.3.2. Public Health

As the public is expected to have little or no exposure to the notified chemical, the risk to public health is not considered to be unreasonable.

7. ENVIRONMENTAL IMPLICATIONS

7.1. Environmental Exposure & Fate Assessment

7.1.1. Environmental Exposure

RELEASE OF CHEMICAL AT SITE

The notified chemical will be manufactured and formulated overseas. The notified chemical will be imported into Australia as a component of synthetic lubricant for industrial application in automotive transmission fluids at $\leq 30\%$ concentration. No significant release of the notified chemical is expected from transportation and storage except in the unlikely event of accidental spills or leaks. Accidental spills and leaks during packaging procedures will be contained and collected for recycling where appropriate, or disposed of in accordance with local government regulations, most likely to landfill.

RELEASE OF CHEMICAL FROM USE

The finished products containing the notified chemical will be used as a component of automotive transmission fluids in industrial settings only. No 'do-it-yourself' (DIY) applications of automotive transmission fluids containing the notified chemical are intended. Release during use may arise from spills when pouring lubricants into automotive vehicles or from vehicle leaks. It is expected that these wastes are disposed of as waste fluids according to State/Territory regulations.

RELEASE OF CHEMICAL FROM DISPOSAL

Empty import containers containing residues of the notified chemical (< 1% as indicated by the notifier) will be collected for disposal to landfill in accordance with local government regulations. The used lubricant containing the notified chemical is expected to be recycled, re-refined or used as low grade burner fuel. It is likely that the notified chemical will be degraded into simpler compounds during re-refining with any residue partitioning to the heavy fractions such as lubricating oils or asphalt.

7.1.2. Environmental Fate

Based on the results of a biodegradability study provided by the notifier, the notified chemical is expected to be readily biodegradable (90-100% CO₂/ThCO₂). Details of the environmental fate studies can be found in Appendix C. Generally, the notified chemical is expected to show low bioavailability and bioaccumulation due to its low water solubility and anticipated limited release to the aquatic environment. In landfill the notified chemicals is expected to partition to soil due to its high adsorption coefficient ($\log KOC > 5.6$) and low water solubility, and undergo biotic degradation. Most of the notified chemical will be thermally decomposed during use, recycling and refinement. The notified chemical is expected to be degraded into water and oxides of carbon by thermal decomposition in industrial facilities and via biotic and abiotic pathways in landfill.

7.1.3. Predicted Environmental Concentration (PEC)

The notified chemical is not anticipated to be released to surface waters. Therefore, the predicted environmental concentration (PEC) in aquatic environment has not been calculated.

7.2. Environmental Effects Assessment

The results from ecotoxicological investigations conducted on the notified chemical are summarised in the table below. Details of these studies can be found in Appendix C.

Endpoint	Result	Assessment Conclusion
Fish Toxicity	96 h LL50 > 100 mg/L (WAF*)	Not harmful to fish up to its water solubility limit

Daphnia Toxicity	48 h EL50 > 100 mg/L (WAF*)	Not harmful to aquatic invertebrates up to its water
		solubility limit
Algal Toxicity	72 h EC50 > 100 mg/L (WAF*)	Not harmful to algae up to its water solubility limit

^{*}Water accommodated fraction

Based on the above ecotoxicological endpoints, the notified chemical is not expected to be harmful to aquatic life up to the limit of its water solubility. Therefore, the notified chemical is not formally classified under the *Globally Harmonised System of Classification and Labelling of Chemicals (GHS)* (United Nations, 2009) for acute and chronic toxicities.

7.2.1. Predicted No-Effect Concentration

A predicted no-effect concentration (PNEC) for the aquatic compartment has not been calculated since the notified chemical is not considered to be harmful to aquatic organisms up to the limit of its solubility in water and no significant aquatic exposure is expected based on the reported use pattern.

7.3. Environmental Risk Assessment

The Risk Quotient (Q = PEC/PNEC) of the notified chemical has not been calculated as a PNEC is not available due to low water solubility and the low potential for release to the aquatic compartment based on its assessed use pattern in automotive transmission fluids. The majority of the notified chemical will be thermally decomposed during its use. Automotive transmission fluids containing the notified chemical, after their useful life, are expected to be disposed of according to State/Territory regulations. Exposure of the notified chemical to the aquatic compartment is unlikely based on the reported use pattern and low water solubility. On the basis of its limited aquatic exposure and assessed use pattern, the notified chemical is not expected to pose an unreasonable risk to the environment.

APPENDIX A: PHYSICAL AND CHEMICAL PROPERTIES

Melting Point/Freezing Point <-100 °C

Method OECD TG 102 Melting Point/Melting Range.

EC Council Regulation No 440/2008 A.1 Melting/Freezing Temperature.

Remarks Differential scanning calorimetry was used.

Test Facility Siemens AG (2013a)

Boiling Point 377–387 °C at 101.3 kPa

Method OECD TG 103 Boiling Point.

EC Council Regulation No 440/2008 A.2 Boiling Temperature.

Remarks Differential scanning calorimetry was used.

Test Facility Siemens AG (2013a)

Density $910 \pm 10 \text{ kg/m}^3 \text{ at } 20 \text{ }^{\circ}\text{C}$

 $900 \pm 10 \text{ kg/m}^3 \text{ at } 40 \text{ }^{\circ}\text{C}$

Method OECD TG 109 Density of Liquids and Solids.

EC Council Regulation No 440/2008 A.3 Relative Density.

Remarks The oscillating densitometer was used.

Test Facility Siemens AG (2013b)

Vapour Pressure 1.1×10^{-8} kPa at 20 °C

 2.3×10^{-8} kPa at 25 °C 6.5×10^{-7} kPa at 50 °C

Method OECD TG 104 Vapour Pressure.

EC Council Regulation No 440/2008 A.4 Vapour Pressure.

Remarks Vapour pressure balance and effusion method were used.

Test Facility Siemens AG (2013c)

Water Solubility $< 6 \times 10^{-5} \text{g/L at } 20 \text{ °C}$

Method OECD TG 105 Water Solubility.

EC Council Regulation No 440/2008 A.6 Water Solubility.

Remarks Flask Method

Test Facility Siemens AG (2013d)

Partition Coefficient (n- $\log Pow > 6.5$ at 25 °C

octanol/water)

Method OECD TG 117 Partition Coefficient (n-octanol/water). HPLC method.

EC Council Regulation No 440/2008 A.8 Partition Coefficient.

Remarks The log Pow of the notified chemical was above the highest log Pow value of the calibration

substance (DDT). Therefore, the log Pow was outside the calibration range and reported as

> 6.5.

Test Facility Siemens AG (2013e)

Adsorption/Desorption $\log K_{oc} > 5.6$ at 25 °C

screening test

Method OECD TG 121 Estimation of the adsorption coefficient on soil and sewage sludge using

HPLC.

Remarks The adsorption coefficient of the notified chemical was found to be above the highest log

Koc value of the calibration substance (DDT). Therefore, the log Koc was outside the

calibration range, and reported as > 5.6.

Test Facility Siemens AG (2014)

Flash Point 208.5 °C (pressure unknown)

Method EC Council Regulation No 440/2008 A.9 Flash Point.

Test Facility BASF (2013)

Flammability Not considered pyrophoric

Method EC Council Regulation No 440/2008 A.13 Pyrophoric Properties of Solids and Liquids.

Test Facility BASF (2013)

Autoignition Temperature 334 °C

Method EC Council Regulation No 440/2008 A.15 Auto-Ignition Temperature (Liquids and Gases).

Remarks The tests were performed at an atmospheric pressure of 98.9-100.3 kPa. During the

complete measurement the sample was held under nitrogen.

Test Facility BASF (2013)

Explosive Properties Not determined

Remarks The exothermic decomposition energy, determined by DSC, is less than 500 J/g. Hence EC

Council Regulation No 440/2008 A.14 Explosive Properties Test was not carried out.

Test Facility BASF (2013)

APPENDIX B: TOXICOLOGICAL INVESTIGATIONS

B.1. Acute toxicity – oral

TEST SUBSTANCE Notified chemical

METHOD OECD TG 423 Acute Oral Toxicity – Acute Toxic Class Method (2001).

Species/Strain Rat/Wistar/Crl:WI (Han)

Vehicle None

GLP Certificate. Remarks - Method No protocol deviations

RESULTS

Group	Number and Sex	Dose	Mortality
•	of Animals	mg/kg bw	·
1	3 F	2,000	0
2	3 F	2,000	0
3	1 F	5,000	0
4	2 F	5,000	0

LD50 > 2,000 mg/kg bw

Signs of Toxicity No clinical signs were noted during the study.

Effects in Organs No macroscopic pathological findings were noted in the animals sacrificed

at the end of observation period.

Remarks - Results The mean body weight increase during the study was within the normal

range.

CONCLUSION The notified chemical is of low toxicity via the oral route.

TEST FACILITY Bioassay (2013)

B.2. Acute toxicity - dermal

TEST SUBSTANCE Notified chemical

OECD TG 402 Acute Dermal Toxicity - Limit Test (1987). **METHOD**

Species/Strain Rat/Wistar Vehicle None

Semi-occlusive. Type of dressing Remarks - Method GLP Certificate. No protocol deviations

RESULTS

Group	Number and Sex	Dose	Mortality
	of Animals	mg/kg bw	
1	5 per sex	5,000	0

LD50 > 5,000 mg/kg bw

Signs of Toxicity - Local No local effects were noted.

Signs of Toxicity - Systemic No systemic clinical signs were noted during clinical examination. Effects in Organs

No macroscopic pathological abnormalities were observed in the animals

examined on the last day of observation.

Remarks - Results The mean body weight of male animals increased within the normal range.

The body weight of some female animals stagnated during the study. This effect was considered to not be test substance related as in the required age range the female animals have already reached the phase of slow growth.

CONCLUSION The notified chemical is of low toxicity via the dermal route.

TEST FACILITY Bioassay (2014a)

B.3. Irritation – skin

TEST SUBSTANCE Notified chemical

METHOD OECD TG 404 Acute Dermal Irritation/Corrosion (2002).

EC Council Regulation No 440/2008 B.4 Acute Toxicity (Skin Irritation).

Species/Strain Rabbit/New Zealand White

Number of Animals 3 F Vehicle None Observation Period 7 days

Type of Dressing Semi-occlusive
Remarks - Method GLP Certificate.
No protocol deviations

RESULTS

Lesion		ean Sco nimal N	-	Maximum Value	Maximum Duration of Any Effect	Maximum Value at End of Observation Period
	1	2	3		•	
Erythema/Eschar	0.3	2	1.7	2	< 7 d	0
Oedema	0	0.7	0	1	< 7 d	0

^{*} Calculated on the basis of the scores at 24, 48, and 72 hours for EACH animal.

cutaneous reactions were reversible in one animal within 48 hours and in

two animals within 7 days after removal of the patch.

CONCLUSION The notified chemical is slightly irritating to the skin.

TEST FACILITY Bioassay (2014b)

B.4. Irritation – eye

TEST SUBSTANCE Notified chemical

METHOD OECD TG 405 Acute Eye Irritation/Corrosion (2012).

EC Council Regulation No 440/2008 B.5 Acute Toxicity (Eye Irritation).

Species/Strain Rabbit/New Zealand White

Number of Animals 3 F Observation Period None

Remarks - Method GLP Certificate.

No protocol deviations

RESULTS

Lesion		an Sco nimal N		Maximum Value	Maximum Duration of Any Effect	Maximum Value at End of Observation Period
	1	2	3			
Conjunctiva: redness	0	0	0	1	< 24 h	0
Conjunctiva: chemosis	0	0	0	1	< 24 h	0
Conjunctiva: discharge	0	0	0	3	< 24 h	0
Corneal opacity	0	0	0	0	-	0
Iridial inflammation	0	0	0	0	-	0

^{*} Calculated on the basis of the scores at 24, 48, and 72 hours for EACH animal.

Remarks - Results A slight conjunctival redness in two animals and a slight conjunctival

chemosis in one animal were noted at 1 hour after application. A severe discharge was noted in all animals at 1 hour after application. The ocular reactions were reversible in all animals within 24 h hours after application.

CONCLUSION The notified chemical is non-irritating to the eye.

TEST FACILITY Bioassay (2014c)

B.5. Skin sensitisation – mouse local lymph node assay (LLNA)

TEST SUBSTANCE Notified chemical

METHOD OECD TG 429 Skin Sensitisation: Local Lymph Node Assay (2010)

EC Directive 2004/73/EC B.42 Skin Sensitisation (Local Lymph Node

Assav)

Species/Strain Mouse/CBA/CaOlaHsd Vehicle Acetone:olive oil (4+1, v/v)

Preliminary study Yes

Positive control Not conducted in parallel with the test substance, but had been conducted

previously in the test laboratory using α -hexyl cinnamaldehyde.

Remarks - Method GLP Certificate.

Minor deviation did not affect the validity of the study. The highest concentration tested (50%) was the highest level that could be achieved whilst avoiding systemic toxicity and excessive local skin irritation as confirmed in the pre-experiment. The periodic positive control experiment

was conducted in October 2012.

RESULTS

Concentration (% w/w)	Number and sex of animals	Proliferative response (DPM/lymph node)	Stimulation Index (Test/Control Ratio)
Test Substance			
0 (vehicle control)	5 F	358.6 ± 146.5	1.00
10	5 F	301.0 ± 96.2	0.84
25	5 F	745.2 ± 183.5	2.08
50	5 F	1327.2 ± 638.0	3.70
Positive Control			
0	not stated	303.8	1.0
5	not stated	448.6	1.5
10	not stated	585.0	1.9
25	not stated	1715.0	5.7

EC3 39.2%

Remarks - Results No deaths or no signs of systemic toxicity were noted during the study.

The body weight was within the expected range.

CONCLUSION There was evidence of induction of a lymphocyte proliferative response

indicative of skin sensitisation to the notified chemical.

TEST FACILITY Harlan (2013)

B.6. Skin sensitisation

TEST SUBSTANCE Notified chemical

METHOD OECD TG 406 Skin Sensitisation – Magnusson and Kligman

Species/Strain Guinea pig/SPF albino

PRELIMINARY STUDY Maximum Non-irritating Concentration: 100%

intradermal: 0, 2.5%, 5%

topical: 25%, 50%, 75%, 100%

MAIN STUDY

Number of Animals

Vehicle

Positive control

INDUCTION PHASE

Signs of Irritation

Study 1 & 2 Test Group: 10 F Study 1 & 2 Control Group: 5 F

Olive oil in both studies (100% or 50% with adjuvant solution)

Not conducted in parallel with the test substance, but had been conducted

previously in the test laboratory using α -hexylcinnamaldehyde.

Induction Concentration Study 1: intradermal: 5% test substance in olive oil and adjuvant solution (1:1 mixture of Freund's Complete Adjuvant and NaCl 0.9%)

topical: 100% occlusive for 48 hours

Study 1

All 15 animals showed skin reactions (erythema of grade 0-3) on injection sites. The intradermal injections with FCA-involvement caused skin irritations (grades 2 to 3) and partial necrosis or beginning necrosis in the test and control groups. The sites of injections of the test substance and vehicle showed none or a discrete or patchy erythema only. Erythema and necrosis were also noted on the cranial and caudal injection sites in both groups during the dermal induction phase. The injection sites of the animals of the control and test group without FCA-involvement had no discernible erythema during the dermal induction phase.

Study 2

All 15 animals showed skin reactions (erythema of grade 0-2) on injection sites. The intradermal injections with FCA-involvement caused skin reaction (grade 2) and partially open necrosis in the test and control groups. The sites of injections of the test substance and vehicle showed none to moderate erythema. Erythema and partially open necrosis were also observed on the cranial and caudal injections sites on both groups during the dermal; induction phase. The injection sites of the animals of the control group and test group without FCA-involvement had no discernible erythema during the dermal induction phase.

CHALLENGE PHASE

1st challenge (3 weeks after first induction)

 2^{nd} challenge (one week after first challenge)

Remarks - Method

100% test substance on posterior right flank and vehicle on posterior left flank for study 1 (3 weeks after first induction) and 75% test substance on posterior right flank and vehicle on posterior left flank for study 2

75% test substance on anterior right flank and vehicle on anterior left flank for study 1 and 50% test substance on anterior left flank and vehicle on anterior right flank for study 2

GLP Certificate.

Study 1: Due to ambiguous findings, caused by reactions of the control animals to the test substance as well as to the vehicle, the sponsor required the accomplishment of a rechallenge with a reduced test concentration of

Study 2: The sponsor required the accomplishment of a rechallenge with a reduced test concentration of 50%.

RESULTS

Cturdo 1

Animal	Challenge Concentration	Number of	Number of Animals Showing Skin Reactions* after:			
	C	1st cha	1 st challenge		2 nd challenge	
		24 h	48 h	24 h	48 h	
Test Group	100% for challenge and 75% for rechallenge	0/10	0/10	0/10	0/10	
Control Group	100% for challenge and 75% for rechallenge	0/5	0/5	0/5	0/5	

^{*}Only grade 2 (moderate and confluent erythema) and grade 3 (intense erythema and swelling) reactions are reported.

α	1	1
Stu	ıav	2

Animal	Challenge Concentration	Number of Animals Showing Skin Reactions* after:			
		1st challenge		2 nd challenge	
		24 h	48 h	24 h	48 h
Test Group	75% for challenge and 50% for rechallenge	0/10	0/10	0/10	0/10
Control Group	75% for challenge and 50% for rechallenge	0/5	0/5	0/5	0/5

*Only grade 2 (moderate and confluent erythema) and grade 3 (intense erythema and swelling) reactions are reported.

Remarks - Results Only discrete or patchy erythema was observed in some animals during

challenge phase of Study 1.

The animals showed no signs of illness and normal development of body

weight.

CONCLUSION There was no evidence of reactions indicative of skin sensitisation to the

notified chemical under the conditions of the test.

TEST FACILITY Frey-Tox (2014)

B.7. Repeat dose toxicity

TEST SUBSTANCE Notified chemical

METHOD OECD TG 408 Repeated Dose 90-Day Oral Toxicity Study in Rodents

(1998).

Species/Strain Rats/Crl:WI(Han)

Route of Administration Oral –diet

Exposure Information Total exposure days: 90 days

Dose regimen: 7 days per week

Vehicle None

Remarks - Method GLP Certificate.

Minor deviation did not affect the validity of the study.

RESULTS

Group	Number and Sex	Dose	Dose	Mortality
	of Animals	ppm	mg/kg bw/day	
control	10 per sex	0	0	0
low dose	10 per sex	1,000	71 (M), 85 (F)	0
mid dose	10 per sex	3,000	209 (M) 244 (F)	0
high dose	10 per sex	12,000 (M), 15,000 (F)	875 (M) 1,361 (F)	0

Mortality and Time to Death

No animals died prematurely in the study.

Clinical Observations

No test substance-related adverse findings were noted for clinical examinations, detailed clinical observations, food and water consumption, body weight data, functional observational battery, motor activity measurement and ophthalmological examinations.

Laboratory Findings - Clinical Chemistry, Haematology, Urinalysis

In high-dose group male animals, slight increases in alkaline phosphatase (ALP) activities were noted. In high-dose group female animals, slight increases in γ -glutamyl-transferase (GGT) activities were noted.

In high-dose group male animals urea and potassium levels were increased. In high-dose group female animals

total protein and albumin levels decreased. No treatment-related changes for haematological parameters were observed.

In high-dose group male animals higher incidences of granulated and epithelial casts were found in the urine sediment.

Effects in Organs

Target organs were the liver and the thyroid glands in pathological investigations.

The absolute and relative liver weights significantly increased in males (absolute 16% and relative 25%) and females (absolute 26% and relative 28%) in the high-dose group. These effects correlated with a minimal diffuse hepatocellular hypertrophy being observed in 6 out 10 males and in 7 out 10 females in the high-dose group. These were considered to be a correlate for a microsomal enzyme induction in the liver and they were regarded by the study authors to be treatment-related and adverse (when also considering the changes in clinical pathology parameters).

The incidence of follicular hypertrophy/hyperplasia and of altered colloid in the thyroid glands slightly increased in males of the high-dose group. These findings were regarded to be secondary to an induced UDP-glucuronyl transferase activity in hepatocellular hypertrophy. The well-known phenomenon is characteristic for rodents and leads to accelerated degradation of T4 with a compensatory increase of TSH, causing thyroid gland hypertrophy/hyperplasia of follicular cells. These findings were regarded by study authors to be treatment-related but not relevant for humans.

Remarks – Results

All other findings occurred individually or were biologically equally distributed over control and treatment groups. They were considered by study authors to be incidental or spontaneous in origin and without any relation to treatment.

CONCLUSION

The No Observed (Adverse) Effect Level (NO(A)EL) was established as 209 mg/kg bw/day for males and 244 mg/kg bw/day for females in this study, based on test substance-related adverse signs of systemic toxicity observed at the high dose.

TEST FACILITY BASF SE (2015a)

B.8. Genotoxicity – bacteria

TEST SUBSTANCE Notified chemical

METHOD OECD TG 471 Bacterial Reverse Mutation Test (1997).

Plate incorporation procedure/Pre incubation procedure

Species/Strain S. typhimurium: TA1535, TA1537, TA98, TA100

E. coli: WP2uvrA

Metabolic Activation System Liver S9 mix from induced rats

Concentration Range in With metabolic activation: 0, 33,100, 333, 1,000, 2,800 and 5,600 µg/plate

Main Test Without metabolic activation: 0, 33,100, 333, 1,000, 2,800 and 5,600

 $\mu g/plate$

Vehicle Acetone
Remarks - Method GLP Certificate.

No protocol deviations. There was no preliminary test.

RESULTS

Metabolic	Test Substance Concent	ration (µg/plate) Resultin	ng in:
Activation	Cytotoxicity in Main Test	Precipitation	Genotoxic Effect
Absent			
Test 1	> 5,600	$\geq 1,000$	Negative
Test 2	> 5,600	$\geq 1,000$	Negative
Test 3	> 5,600	$\geq 1,000$	Negative

Present

Test 1	> 5,600	$\geq 1,000$	Negative
Test 2	> 5,600	$\geq 1,000$	Negative
Test 3	> 5.600	$\geq 1,000$	Negative

Remarks - Results

An increase in mutations was not noted either in the standard plate test or in the pre incubation test in the presence or absence of metabolic activation.

The positive and negative controls produced satisfactory responses, thus confirming the activity of the S9-mix and the sensitivity of the bacterial strains

CONCLUSION

The notified chemical was not mutagenic to bacteria under the conditions of the test.

TEST FACILITY

BASF SE (2013)

B.9. Genotoxicity – in vivo

TEST SUBSTANCE Notified chemical

METHOD OECD TG 474 Mammalian Erythrocyte Micronucleus Test (1997).

Species/Strain Mice/NMRI
Route of Administration Oral – gavage
Vehicle Corn oil
Remarks - Method GLP Certificate.
No protocol deviations

Number and Sex Sacrifice Time Group Dose of Animals mg/kg bw hours 5 M I (vehicle control) 0 24 5 M 0 48 I (vehicle control) II (low dose) 5 M 500 24 III (mid dose) 5 M 1,000 24 IV (high dose) 5 M 2,000 24 IV (high dose) 2,000 48 5 M V (positive control, CP) 5 M 20 24

CP=cyclophosphamide.

RESULTS

Doses Producing Toxicity

The administration of the test substance led to weak clinical signs of toxicity at the top dose of 2,000 mg/kg body weight within the first day of exposure (piloerection).

A clear inhibition of erythropoiesis determined from the ratio of polymchromatic to normachromatic erythrocytes were detected at the highest recommended test substance dose of 2,000 mg/kg bw at the 48 hours sacrifice interval. Thus, bioavailability of the test substance in the target organ after oral administration was confirmed.

Genotoxic Effects

The number of normochromatic erythrocytes containing micronuclei did not differ to any appreciable extent in the vehicle control group or in the various dose groups at any of the sacrifice intervals. The number of normochromatic or polychromatic erythrocytes containing small micronuclei (d < D/4) or large micronuclei ($d \ge D4$) did not deviate from the vehicle control values at any of the sacrifice intervals and was within the historical vehicle control data range.

Remarks - Results

The positive and vehicle controls gave satisfactory responses confirming the validity of the test system.

CONCLUSION

The notified chemical was not clastogenic under the conditions of this in

vivo micronucleus test.

TEST FACILITY BASF SE (2014a)

B.10. Developmental toxicity

TEST SUBSTANCE Notified chemical

METHOD OECD TG 414 Prental Developmental Toxicity Study (2001).

Species/Strain Rat/Wistar Han
Route of Administration Oral – gavage

Exposure Information Exposure days: from day 6 to day 20 post-coitum, inclusive.

Post-exposure observation period: 1 day

Vehicle Corn oil

Remarks - Method Minor deviation did not affect the validity of the study.

RESULTS

Group	Number of Animals	Dose	Mortality
		mg/kg bw/day	
1	22 F	0	0
2 (low)	22 F	60	1
3 (mid)	22 F	200	0
4 (high)	22 F	600	0

Mortality and Time to Death

No mortality occurred that was considered to be related to treatment with the test substance.

Effects on Dams

No clinical signs or necropsy findings noted were considered to be related to treatment with the test substance. Mean body weights, body weight gain, weight gain corrected for uterus weight and food consumption for treated animals were similar to control animals.

Lower total protein and higher urea levels were noted in clinical biochemistry parameters in the high-dose group and these changes were statistically significant. The statistically significant lower alkaline phosphatase activity (ALP) and higher potassium value in the high-dose group were considered minor in nature by study authors.

Higher liver weights (after correction for body weight) were noted for the low- (7% increase) and high-dose (22% increase) groups and absolute liver weights were higher in the high-dose group. Spleen weights were unaffected.

There were no effects on the number of pregnant females, corpora lutea, implantation sites or pre- or post-implantation loss with the treatment. Examination of cage debris of pregnant females revealed no signs of abortion or premature birth. All females were pregnant with viable foetuses. The female that was euthanised on day 6 post coitum (due to accidental ingestion of part of the feeding tube) was also gravid.

Effects on Foetus

There were no treatment-related effects on litter size, male-female ratio, placenta weights, external foetal morphology and foetal visceral morphology.

In the high-dose group, foetal body weights (per sex, and combined for both sexes) were slightly lower than the control group. There were also treatment related effects on foetal skeletal variations. There were no test substance related effects on foetal skeletal malformation.

Total skeletal variations were observed in 35.2%, 51.4%, 46.9% and 81.7% of foetuses per litter in the control, low-, mid- and high-dose groups respectively. There was a statistically significant increase in total skeletal variations observed in the low- and high-dose groups.

An increased incidence of various skeletal variations was noted in the high-dose group, in particular, an increase in unossified metacarpal(s) and/or metatarsal(s) was reordered (45.5% at highest dose versus 3.37% in the control group). Other skeletal variations were seen at a higher incidence (statistically significant) in the high-dose group compared with controls, but to a lesser degree, than observed for the unossified metacarpal(s) and or metatarsal(s) included 14th rudimentary rib(s), 14th full rib(s), pelvic girdle-caudal shift, 7th cervical rudimentary rib(s) and reduced ossification of the skull.

Remaining skeletal variations seen in treated groups, including the increased incidence of total skeletal variations in the low-dose group, were not considered treatment related as they occurred infrequently, occurred in the absence of a dose-related incidence trend, and/or were observed at same frequencies as in the concurrent control group and historical controls.

CONCLUSION

The No Observed Adverse Effect Level (NOAEL) was established as 200 mg/kg bw/day in this study, based on that no developmental toxicity was observed in the 60 and 200 mg/kg bw/day groups.

TEST FACILITY

WIL Research (2015)

APPENDIX C: ENVIRONMENTAL FATE AND ECOTOXICOLOGICAL INVESTIGATIONS

C.1. Environmental Fate

C.1.1. Ready biodegradability

TEST SUBSTANCE Notified chemical

METHOD OECD TG 301B Ready Biodegradability: CO₂ Evolution Test.

Inoculum Activated sewage sludge

Exposure Period 28 days Auxiliary Solvent None

Analytical Monitoring The percentage degradation was calculated based on the production of

CO₂ normalised by maximal theoretical CO₂ production (ThCO₂).

ultrasound for 10 min before further dilution. The notified chemical was

tested in duplicate at average concentration of 15.0 mg/L.

RESULTS

Test	Test substance		Sodium Benzoate		
Day	% Degradation	Day	% Degradation		
6	5.5	6	23		
12	34.5	12	41		
22	97.5	22	70		
28	101.5	28	90		

Remarks - Results All validity criteria were satisfied. The degradation in the control

containing the notified polymer and reference substance (sodium benzoate) achieved 49% by day 28. Therefore, the notified polymer is not considered to be toxic to the micro-organisms. The degree of degradation of the test substance after 28 days was 102%. As the 10 day window was achieved, the test substance is considered to be readily biodegradable according to the

OECD (301 B) guideline.

CONCLUSION The notified chemical is readily biodegradable.

TEST FACILITY Bioassay and safety assessment lab, APM (2015)

C.1.2. Ready biodegradability (2nd test)

TEST SUBSTANCE Notified chemical

METHOD OECD TG 301 B Ready Biodegradability: CO₂ Evolution Test.

Inoculum Activated sewage sludge

Exposure Period 28 days Auxiliary Solvent None

Analytical Monitoring TIC and DOC analyses were detected using a TOC analyser. The

percentage degradation was calculated based on the production of CO₂

normalised by maximal theoretical CO₂ production.

guidelines occurred during the course of the test.

RESULTS

Test	substance		Aniline
Day	% Degradation	Day	% Degradation
6	44.5	6	61

14	85.0	14	84
22	96.0	22	89
28	98.5	28	92

Remarks - Results No toxic effects to microorganisms were observed in an inhibition control

test assay. The required pass level for ready biodegradability within a ten days window was reached, and the degree of biodegradability was 90-

100% after an exposure period of 28 days.

CONCLUSION The notified chemical is readily biodegradable.

TEST FACILITY BASF SE (2014b)

C.2. Ecotoxicological Investigations

C.2.1. Acute toxicity to fish

TEST SUBSTANCE Notified chemical

METHOD OECD TG 203 Fish, Acute Toxicity Test -96 hours- semi-static.

EC Council Regulation No 440/2008 C.1 Acute Toxicity for Fish.

Species Zebra fish (Danio rerio)

Exposure Period 96 h Auxiliary Solvent None

Water Hardness 100 mg CaCO₃/L

Analytical Monitoring The analytical method was not sufficiently sensitive for determining

concentrations of the notified chemical in test media up to its saturation

limit.

Remarks – Method The fish ecotoxicity test was conducted in a water accommodated fraction

(WAF) of the notified chemical. A WAF of the nominal loading rate of 100 mg/L was prepared by stirring the notified chemical for approximately one day. The required volume of the saturated solution was siphoned from

the bottom of the bottle.

RESULTS

Concentra	tion mg/L	Number of Fish		Mort	tality (%)	
Nominal	Actual		24 h	48 h	72 h	96 h
Control (0)	Control	7	0	0	0	0
100	Unknown	7	0	0	0	0

LL50 > 100 mg/L at 96 h (WAF) NOEL 100 mg/L at 96 h (WAF)

Remarks - Results Validity criteria were met. The 96 h LL50 was reported as > 100 mg/L

based on the nominal concentration of the test substance in the media.

CONCLUSION The notified chemical is not considered to be harmful to fish up to the

limit of its solubility in water.

TEST FACILITY BASF SE (2015b)

C.2.2. Acute toxicity to aquatic invertebrates

TEST SUBSTANCE Notified chemical

METHOD OECD TG 202 Daphnia sp. Acute Immobilisation Test and Reproduction

Test - static-renewal.

EC Council Regulation No 440/2008 C.2 Acute Toxicity for Daphnia.

Species Daphnia magna Straus

Exposure Period 48 hours
Auxiliary Solvent None
Water Hardness Not reported

concentrations of the notified chemical in test media up to its saturation

limit.

Remarks - Method The test was conducted in a water accommodated fraction (WAF) of the

notified chemical. A WAF of the nominal loading rate of 100 mg/L was prepared by stirring the notified chemical for approximately one day. The required volume of the saturated solution was siphoned from the bottom of

the bottle.

RESULTS

Concentration mg/L		Number of D. magna	Cumulative Immobilised (%)	
Nominal	Actual		24 h	48 h
Control	Control	20	0	0
100	Unknown	20	0	0
EL50 NOEL		> 100 mg/L at 48 h 100 mg/L at 48 h		
Remarks - Results		The test was fully compliant with all the validity criteria required by the corresponding test guidelines. The 48 h EL50 was reported as > 100 mg/L based on the nominal concentration of the notified chemical.		

CONCLUSION The notified chemical is not considered to be harmful to aquatic

invertebrates up to the limit of its solubility in water.

TEST FACILITY BASF SE (2015c)

C.2.3. Algal growth inhibition test

TEST SUBSTANCE Notified chemical

METHOD OECD TG 201 Alga, Growth Inhibition Test.

EC Council Regulation No 440/2008 C.3 Algal Inhibition Test.

Species Pseudokirchneriella subcapitata (Raphidocelis subcapitata

KORSHIKOV).

Exposure Period 72 hours

Concentration Range Nominal: 100 mg/L
Actual: unknown mg/L

Auxiliary Solvent None

Water Hardness Not reported

Analytical Monitoring The analytical method was not sufficiently sensitive for determining

concentrations of the notified chemical in test media up to its saturation

limit.

Remarks - Method The test was conducted in a water accommodated fraction (WAF) of the

notified chemical. A WAF of the nominal loading rate of 100 mg/L was prepared by stirring the notified chemical for approximately one day. The required volume of the saturated solution was siphoned from the bottom of

the bottle.

RESULTS

Biomass	S	Growth		
EL50	NOEL	EL50	NOEL	
mg/L at 0-72 h	mg/L	mg/L at 72 h	mg/L	

> 100	100	>100	100
REMARKS – RESULTS		study were consistent with al ere reported as > 100 mg/I	
Conclusion		e notified chemical. ical is not considered to be hey in water.	armful to algae up to the
TEST FACILITY	BASF SE (2015d)		

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