Notification document for transboundary movements / shipments of waste

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. **Exporter - notifier** Registration No: «Exporter[RegistrationNumber]»   Name: «Exporter[Name]» | | | | | | **3. Notification No:**  **Notification concerning:** | | | | | **«General[Number]»** | |
|  | |
| Address:  «Exporter[Address]»  Contact person: «Exporter[ContactPerson]» | | | | | | 1. (i) Individual shipment: «General[IsIndividualShipment]» (ii) Multiple shipments: «General[IsNotIndividualShipment]» 2. (i) Disposal *(1):* «General[IsDisposal]» (ii) Recovery: «General[IsRecovery]»   C. Pre-consented recovery facility *(2;3):* Yes: «General[IsPreconsented]» No: «General[IsNotPreconsented]» | | | | | | |
| Tel: «Exporter[Telephone]» Fax: «Exporter[Fax]» | | | | | | **4. Total intended number of shipments**: | | | | | | |
| E-mail: «Exporter[Email]» | | | | | | **5. Total intended quantity** *(4):* | | | | | | |
| **2. Importer- consignee** Registration No:  Name:  Address: | | | | | | Tonnes (Mg):  m3: | | | | | | |
| Contact person:  Tel: Fax: | | | | | | **6. Intended period of time for shipment(s)** *(4):*  First departure: Last departure: | | | | | | |
| **7. Packaging type(s)** *(5):*  **Special handling requirements** *(6):*Yes: ☐ No: ☐ | | | | | | |
| E-mail: | | | | | | **11. Disposal /recovery operation(s)** *(2):* | | | | | | |
| **8. Intended carrier(s)** Registration No:  Name *(7):*  Address:  Contact person: | | | | | | D-code / R-code *(5):*  Technology employed *(6):*  Reason for export *(1;6):* | | | | | | |
| Tel: Fax:  E-mail:  Means of transport *(5):* | | | | | | **12. Designation and composition of the waste** *(6):* | | | | | | |
| **9. Waste generator(s) – producer(s)** *(1; 7; 8)* Registration No: «Producer[RegistrationNumber]»  Name: «Producer[Name]»  Address:  «Producer[Address]»    Contact person: «Producer[ContactPerson]»  Tel: «Producer[Telephone]» Fax: «Producer[Fax]»  E-mail: «Producer[Email]»  Site and process of generation *(6):* «Producer[SiteOfGeneration]» | | | | | |
| **13. Physical characteristics** *(5):* | | | | | | |
| **14.** **Waste identification** (fill in relevant codes)   1. Basel Annex VIII (or IX if applicable): 2. OECD code (if different from (i)): 3. EC list of wastes: 4. National code in country of export: 5. National code in country of import: 6. Other (specify): 7. Y-code: 8. H-code *(5):* 9. UN class *(5):* 10. UN Number: 11. UN Shipping name: 12. Customs code(s) (HS): | | | | | | |
| **10.** **Disposal facility** *(2)*: «General[IsDisposal]» **or recovery facility** *(2):* «General[IsRecovery]»  Registration No:  Name:  Address:  Contact person:  Tel: Fax:  E-mail:  Actual site of disposal/recovery: | | | | | |
|
|
| **15. (a) Countries/States concerned** (**b**) Code no. of competent authorities where applicable (**c**) Specific points of exit or entry (border crossing or port) | | | | | | | | | | | | |
| State of export - dispatch | State(s) of transit (entry and exit) | | | | | | | | | State of import – destination | | |
| (a) |  | | |  | | |  | | |  | | |
| (b) |  | | |  | | |  | | |  | | |
| (c) |  |  | |  |  | |  | |  |  | | |
| **16. Customs offices of entry and/or exit and/or export (European Community):** | | | | | | | | | | | | |
| Entry: | | | Exit: | | | | | Export: | | | | |
| **17. Exporter’s – notifier’s / generator’s – producer’s** *(1)* **declaration:**  I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.  Exporter’s- notifier’s name: Signature: Date:  Generator’s- producer’s name: Signature: Date: | | | | | | | | | | | |  |
| **18. Number of annexes attached** |
| **FOR USE BY COMPETENT AUTHORITIES** | | | | | | | | | | | | |
| **19. Acknowledgement from the relevant competent authority of countries of import – destination / transit** *(1)* **/ export – dispatch** *(9):*  Country:  Notification received on:  Acknowledgement sent on:  Name of competent authority:  Stamp and/or signature: | | | | | | **20. Written consent** *(1;8)* **to the movement provided by the competent authority of** (country):  Consent given on:  Consent valid from: until:  Specific conditions: No: ☐ if Yes, see block 21 *(6):* ☐  Name of competent authority:  Stamp and/or signature: | | | | | | |
| **21. Specific conditions on consenting to the movement document or reasons for objecting** | | | | | | | | | | | | |
| (1) Required by the Basel Convention  (2) In the case of an R12/R13 or D13-D15 operation, also attach corresponding information on any subsequent  R12/R13 or D13-15 facilities and on the subsequent R1-R11 or D1-D12 facilit(y)ies when required  (3) To be completed for movements within the OECD area an only if B (ii) applies  (4) Attach detailed list if multiple shipments | | | | | | | | | (5) See list of abbreviations and codes on the next page  (6) Attach details if necessary  (7) Attach list if more than one  (8) If required by national legislation  (9) If applicable under the OECD Decision | | | |

**List of abbreviations and codes used in the notification document**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **DISPOSAL OPERATIONS (block 11)** | | | | |
| D1  D2  D3  D4  D5  D6  D7  D8  D9  D10  D11  D12  D13  D14  D15 | Deposit into or onto land (e.g., landfill, etc.)  Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)  Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)  Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)  Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)  Release into water body except seas / oceans  Release into seas/oceans including sea-bed insertion  Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list  Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g., evaporation, drying, calcination, etc.,)  Incineration on land  Incineration at sea  Permanent storage (e.g., emplacement of containers in a mine, etc.)  Blending or mixing prior to submission to any of the operations in this list  Repackaging prior to submission to any of the operations in this list  Storage pending any of the operations numbered in this list. | | | |
| **RECOVERY OPERATIONS (block 11)** | | | | |
| R1 Use as a fuel (other than in a direct incineration) or other means to generate energy (Basel/OECD) – Use principally as a fuel or other  means to generate energy (EU) | | | | |
| R2  R3  R4  R5  R6  R7  R8  R9  R10  R11  R12  R13 | Solvent reclamation/regeneration  Recycling/reclamation of organic substances which are not used as solvents  Recycling/reclamation of metals and metal compounds  Recycling/reclamation of other inorganic materials  Regeneration of acids or bases  Recovery of components used for pollution abatement  Recovery of components from catalysts  Used oil re-refining or other reuses of previously used oil  Land treatment resulting in benefit to agriculture or ecological improvement  Uses of residual materials obtained from any of the operations numbered R1-R10  Exchange of wastes for submission to any of the operations numbered R1-R11  Accumulation of material intended for any operation in this list | | | |
| **PACKAGING TYPES (block 7)** | | **H-CODE AND UN CLASS (block 14)** | | |
| 1.  2.  3.  4.  5.  6.  7.  8.  9. | Drum  Wooden barrel  Jerrican  Box  Bag  Composite packaging  Pressure receptacle  Bulk  Other (specify) | UN Class  1  3  4.1  4.2  4.3  5.1  5.2  6.1  6.2  8  9  9  9 | H-code  H1  H3  H4.1  H4.2  H4.3  H5.1  H5.2  H6.1  H6.2  H8  H10  H11  H12 | Characteristics  Explosive  Flammable liquids  Flammable solids  Substances or wastes liable to spontaneous combustion  Substances or wastes which, in contact with water, emit flammable gases  Oxidizing  Organic peroxides  Poisonous (acute)  Infectious substances  Corrosives  Liberation of toxic gases in contact with air or water  Toxic (delayed or chronic)  Ecotoxic |
|  | |
| **MEANS OF TRANSPORT (block 8)** | |
| R =  T =  S =  A =  W = | Road  Train/rail  Sea  Air  Inland waterways |
| **PHYSICAL CHARACTERISTICS (block 13)**  1. Powdery/powder  2. Solid  3. Viscous/paste  4. Sludgy  5. Liquid  6. Gaseous  7. Other (specify) | | 9 | H13 | Capable, by any means, after disposal of yielding another material, e.g., leachate, which possesses any of the characteristics listed above |
| Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention. | | | | |

**Movement document for transboundary movements / shipments of waste**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Corresponding to notification No:** | **«General[Number]»** | | | **2. Shipment No. / Total number of shipments: /** | | | | |
| **3. Exporter - notifier** Registration No.:  Name: | | | | **4. Importer - consignee** Registration No:  Name: | | | | |
| Address:  Contact person: | | | | Address:  Contact person: | | | | |
| Tel: Fax: | | | | Tel: Fax: | | | | |
| E-mail: | | | | E-mail: | | | | |
| **5. Actual quantity:** Tonnes (Mg): | m3: | | | **6. Actual date of shipment:** | | | | |
| **7. Packaging** Type(s) *(1):* Number of packages:  **Special handling requirements:** *(2)*Yes: ☐ No: ☐ | | | | | | | | |
| **8. (a) 1st Carrier** *(3):*  Registration No:  Name:  Address:  Tel:  Fax:  E-mail: | | **8. (b) 2nd**  **Carrier:**  Registration No:  Name:  Address:  Tel:  Fax:  E-mail: | | | | **8. (c) Last Carrier:**  Registration No:  Name:  Address:  Tel:  Fax:  E-mail: | | |
| ------*-* ***To be completed by carrier’s representative***--------  *More than 3 carriers (2):* ☐ | | | | | | | | |
| Means of transport *(1):*  Date of transfer:  Signature: | | Means of transport *(1):*  Date of transfer:  Signature: | | | | Means of transport *(1):*  Date of transfer:  Signature: | | |
| **9. Waste generator(s) – producer(s)** *(4; 5; 6):*  Registration No:  Name:  Address:    Contact person: | | | | **12. Designation and composition of the waste** *(2):* | | | | |
| Tel: Fax: | | | | **13. Physical characteristics** *(1):* | | | | |
| E-mail:  Site of generation *(2):* | | | | **14.** **Waste identification** (fill in relevant codes)   1. Basel Annex VIII (or IX if applicable): 2. OECD code (if different from (i)): 3. EC list of wastes: 4. National code in country of export: 5. National code in country of import: 6. Other (specify): 7. Y-code: 8. H-code *(1):* 9. UN class *(1):* 10. UN Number: 11. UN Shipping name: 12. Customs code(s) (HS): | | | | |
| **10.** **Disposal facility** «General[IsDisposal]» **or recovery facility** «General[IsRecovery]»  Registration No:  Name:  Address:  Contact person:  Tel: Fax:  E-mail:  Actual site of disposal/recovery *(2):* | | | |
|
|
| **11. Disposal /recovery operation(s)**  D-code / R-code *(1):* | | | |
|
| **15. Exporter’s – notifier’s / generator’s – producer’s** *(4)* **declaration:**  I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been  entered into, that any applicable insurance or other financial guarantee is in force covering the transboundary movement and that all necessary consents have been received from the competent authorities of the countries concerned. | | | | | | | | |
| Name: Date: | | | | Signature: | | | | |
| **16. For use by any person involved in the transboundary movement in case additional information is required** | | | | | | | | |
| **17. Shipment received by importer – consignee (if not facility):** | | | Date: | | Name: | | | Signature: |
| TO BE COMPLETED BY DISPOSAL / RECOVERY FACILITY | | | | | | | | |
| **18. Shipment received at disposal facility** ☐ **or recovery facility** ☐Date of reception: Accepted: ☐ Rejected\* ☐  Quantity received: Tonnes (Mg): m3:  Approximate date of disposal/recovery: *\* immediately contact*  Disposal/recovery operation *(1):* *competent authorities*  Name: Date: Signature: | | | | | | | **19. I certify that the disposal/recovery of the waste described above has been completed.**  Name:  Date:  Signature and stamp: | |
| 1. See list of abbreviations and codes on the next page 2. Attach details if necessary 3. If more than 3 carriers, attach information as required in blocks 8 (a,b,c). | | | | | | 1. Required by the Basel Convention 2. Attach list if more than one 3. If required by national legislation | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **FOR USE BY CUSTOMS OFFICES (if required by national legislation)** | | | |
| **20. Country of export – dispatch or customs office of exit**  The waste described in this movement document left the  country on:  Signature:  Stamp: | | **20. Country of import – destination or customs office of entry**  The waste described in this movement document entered the  country on:  Signature:  Stamp: | |
| **22. Stamps of customs offices of transit countries** | | | |
| Name of country: | | Name of country: | |
| Entry: | Exit: | Entry: | Exit: |
| Name of country: | | Name of country: | |
| Entry: | Exit: | Entry: | Exit: |

**List of Abbreviations and Codes Used in the Movement Document**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **DISPOSAL OPERATIONS (block 11)** | | | | | **RECOVERY OPERATIONS (block 11)** | |
| D1  D2  D3  D4  D5  D6  D7  D8  D9  D10  D11  D12  D13  D14  D15 | Deposit into or onto land (e.g., landfill, etc.)  Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)  Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)  Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)  Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment), etc.  Release into a water body except seas / oceans  Release into seas/oceans including sea-bed insertion  Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list  Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of  any of the operations in this list (e.g., evaporation, drying, calcination, etc.,)  Incineration on land  Incineration at sea  Permanent storage (e.g., emplacement of containers in a mine, etc.)  Blending or mixing prior to submission to any of the operations in this list  Repackaging prior to submission to any of the operations in this list  Storage pending any of the operations in this list. | | | | R1  R2  R3  R4  R5  R6  R7  R8  R9  R10  R11  R12  R13 | Use as a fuel (other than in a direct incineration) or other means to generate energy (Basel/OECD) – Use principally as a fuel or other means to generate energy (EU)  Solvent reclamation/regeneration  Recycling /reclamation of organic substances which are not used as solvents  Recycling/reclamation of metals and metal compounds  Recycling/reclamation of other inorganic materials  Regeneration of acids or bases  Recovery of components used for pollution abatement  Recovery of components from catalysts  Used oil re-refining or other reuses of previously used oil  Land treatment resulting in benefit to agriculture or ecological improvement  Uses of residual materials obtained from any of the operations numbered R1-R10  Exchange of wastes for submission to any of the operations numbered R1-R11  Accumulation of material intended for any operation in this list |
| **PACKAGING TYPES (block 7)** | | | **H-CODE AND UN CLASS (block 14)** | | | |
| 1.  2.  3.  4.  5.  6.  7.  8.  9. | Drum  Wooden barrel  Jerrican  Box  Bag  Composite packaging  Pressure receptacle  Bulk  Other (specify) | | UN Class  1  3  4.1  4.2  4.3  5.1  5.2  6.1  6.2  8  9  9  9 | H-code  H1  H3  H4.1  H4.2  H4.3  H5.1  H5.2  H6.1  H6.2  H8  H10  H11  H12 | Characteristics  Explosive  Flammable liquids  Flammable solids  Substances or wastes liable to spontaneous combustion  Substances or wastes which, in contact with water, emit flammable gases  Oxidizing  Organic peroxides  Poisonous (acute)  Infectious substances  Corrosives  Liberation of toxic gases in contact with air or water  Toxic (delayed or chronic)  Ecotoxic | |
| **MEANS OF TRANSPORT (block 8)** | | |
| R =  T =  S =  A =  W = | Road  Train/rail  Sea  Air  Inland waterways | |
| **PHYSICAL CHARACTERISTICS (block 13)** | | | 9 | H13 | Capable, by any means, after disposal of yielding another material, e.g., leachate, which possesses any of the characteristics listed above | |
| 1. Powdery/powder  2. Solid  3. Viscous/paste  4. Sludgy | | 5. Liquid  6. Gaseous  7. Other (specify) |  | | | |
| Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention. | | | | | | |

**Exporting Waste from England and Wales**

As requested, I enclose Notification and Movement document. Please note, the Notification and Movement document are uniquely referenced documents that must only be submitted once and the formatting must remain the same.

In the first instance, the completed original documents must only be submitted for assessment to the International Waste Shipments Team, Environment Agency, Richard Fairclough House, Knutsford Road, Latchford, Warrington, Cheshire, WA4 1HT.

We have produced some useful guidance on how to complete the Notification documents and provided details of our charges at [www.gov.uk/importing-and-exporting-waste](http://www.gov.uk/importing-and-exporting-waste). You will also need to complete and submit an 'Application for approval of the financial guarantee or equivalent insurance’ which can be downloaded from the web-link above.

* From **1st July 2014** your notification and fee must be received together. We will not commence assessment until your notification is complete and we have evidence of payment.
  + Details of the available payment methods can be found from web-link provided above.
  + If you submit fees separately or pay by BACS you must provide clear evidence of the payment with your notification, such as a BACS payment reference and date of payment.
* From **1st October 2014** we will no longer make any changes to notification or movement documents on your behalf. We will return them to you by recorded post explaining the information we require.

If you are planning to submit a notification to export or import Refuse Derived Fuel(RDF) then please be advised that we make data about RDF notifications publically available. This can be viewed at <http://www.geostore.com/environment-agency/WebStore?xml=environment-agency/xml/ogcDataDownload.xml>

**Contents of Annexes to Notification Documents**

Annex 1 – List of Waste Carriers

Route

Annex 2 – Site & Process of Generation (Block 9)

Annex 3 – Technology Employed \*

Annex 4 – Waste Composition

Annex 4a - Proforma (RDF/ Wood waste only)\*

Annex 5 – Additional Information for Block 14\*

Annex 6 – Genuine Recovery Information

Annex 7 – Relevant Additional Information for Destination Authority

Annex 8 – Proof of Payment

\* If applicable

**Please note that the destination authority may ask for further**

**Information/fees**

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 1**

**Block 8**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Registration Number | Company Name | Address | Contact Person | Tel No  Fax No | Email |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

Notification Number «General[Number]»

**Annex «Annex[Producer[AnnexNumber]]»**

**Block 9**

1. **Site of Export** (Storage Facility/ Transfer Station)

This is the initial point of dispatch of the shipment and the movement document (Annex 1B) should be used from this point.

Company Registration Number: «Annex[SiteOfExport[RegistrationNumber]]»

Company: «Annex[SiteOfExport[Name]]»

Address: «Annex[SiteOfExport[Address]]»

Contact Name: «Annex[SiteOfExport[ContactPerson]]»

Tel No: «Annex[SiteOfExport[Telephone]]»

Fax No: «Annex[SiteOfExport[Fax]]»

Email: «Annex[SiteOfExport[Email]]»

1. **Site and Overall Description of Process of Generation**
2. **Waste Producer(s)/Generator(s)** (continue on 2nd page if required)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Registration Number** | **Company Name** | **Address** | **Contact** | **Telephone / Fax** | **Email** |
| «Annex[Producer[RegistrationNumber]]» | «Annex[Producer[Name]]» | «Annex[Producer[Address]]» | «Annex[Producer[ContactPerson]]» | «Annex[Producer[Telephone]]» «Annex[Producer[Fax]]» | «Annex[Producer[Email]]» |

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 3**

**Non Interim Notifications**

**Block 11**

**Technology Employed / Process of Recovery**

(Please provide full description / flow chart of process of recovery)

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 4**

**Block 12**

**Composition of Waste (If RDF/Wood waste please see annex 4a)**

(Please provide a full composition of the waste which equals 100%)

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 4a**

**Block 12**

**Proforma – RDF/ Wood Only**

**All waste shipped under this notification must meet the specification as detailed below and comply with the acceptance criteria of the recovery facility referred to in block 10.**

|  |  |  |
| --- | --- | --- |
| Parameter | Maximum % | Minimum % |
| \*\* Net Calorific Value MJ/kg |  |  |
| \*\* Moisture Content wt/wt % |  |  |
| \*\* Ash Content wt/wt %[[1]](#footnote-1) |  |  |
| Heavy Metals mg/kg |  |  |
| Chlorine wt/wt% |  |  |

|  |  |  |
| --- | --- | --- |
| Range of Constituents | Maximum % | Minimum % |
| Paper wt/wt % |  |  |
| Plastics wt/wt % |  |  |
| Food wt/wt % |  |  |
| Wood wt/wt % |  |  |
| Textile wt/wt % |  |  |
| Metals wt/wt % |  |  |
| Other[[2]](#footnote-2) wt/wt % |  |  |

\*\* applicable for both wood and RDF

|  |
| --- |
| Any other relevant information. |

|  |  |
| --- | --- |
| The energy efficiency  (Ep - (Ef + Ei))/(0,97 × (Ew + Ef))  for facilities dedicated to the incineration of municipal solid waste. |  |

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 5**

**Additional Information for Block 14**

(i.e. List of EWC codes/H codes/UN Class if not enough space in block 14)

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 6**

**Genuine Recovery Information**

a) the amount of the recovered material in relation to the non-recoverable waste;

Recovered material/(Recovered material + non-recovered material)

Recovered material/ (Recovered material + non-recovered material)

b) the planned method of disposal for the non-recoverable fraction after recovery;

Incineration/Landfill/ Chemical or Biological Treatment

c) the estimated value of the recovered material (or value of the non-waste it replaces);

£ (€) / tonne

d) the cost of the recovery process

£ (€) / tonne

e) the cost of disposal of the non recovered fraction

£ (€) / tonne

Notification Number \_\_\_\_\_\_\_\_\_\_\_\_

**Annex 7**

**Other relevant Information**

1. Ash, Chlorine, Heavy Metals usually expressed on a dry weight basis. [↑](#footnote-ref-1)
2. List other significant components [↑](#footnote-ref-2)