

## Notification document for transboundary movements/shipments of waste

|  |   |
|--|---|
| <p><b>1. Exporter - notifier</b> Registration No:</p> <p>Name:</p> <p>Address:</p> <p>Contact person:</p> <p>Tel: Fax:</p> <p>E-mail:</p>  | <p><b>3. Notification</b></p> <p>No:</p> <p><b>Notification concerning</b></p> <p>A.(i) Individual shipment: <input type="checkbox"/> (ii) Multiple shipments: <input type="checkbox"/></p> <p>B.(i) Disposal (1): <input type="checkbox"/> (ii) Recovery: <input type="checkbox"/></p> <p>C. Pre-consented recovery facility (2;3) Yes <input type="checkbox"/> No <input type="checkbox"/></p>  |
| <p><b>2. Importer - consignee</b></p> <p>Registration No:</p> <p>Name:</p> <p>Address:</p> <p>Contact person:</p> <p>Tel: Fax:</p> <p>E-mail:</p>  | <p><b>4. Total intended number of shipments:</b></p> <p><b>5. Total intended quantity (4):</b></p> <p>Tonnes (Mg):</p> <p>m<sup>3</sup>:</p>  |
| <p><b>8. Intended carrier(s)</b></p> <p>Registration No:</p> <p>Name(7):</p> <p>Address:</p> <p>Contact person:</p> <p>Tel: Fax:</p> <p>E-mail:</p> <p>Means of transport (5):</p>   | <p><b>6. Intended period of time for shipment(s) (4):</b></p> <p>First departure: Last departure:</p> <p><b>7. Packaging type(s) (5):</b></p> <p><b>Special handling requirements (6):</b> Yes: <input type="checkbox"/> No: <input type="checkbox"/></p>   |
| <p><b>9. Waste generator(s) - producer(s) (1;7;8)</b></p> <p>Registration No:</p> <p>Name:</p> <p>Address:</p> <p>Contact person:</p> <p>Tel: Fax:</p> <p>E-mail:</p> <p>Site and process of generation (6)</p>  | <p><b>11. Disposal / recovery operation(s) (2)</b></p> <p>D-code / R-code (5):</p> <p>Technology employed (6):</p> <p>Reason for export (1;6):</p>  |
| <p><b>10. Disposal facility (2):</b> <input type="checkbox"/> <b>or recovery facility (2):</b> <input type="checkbox"/></p> <p>Registration No:</p> <p>Name:</p> <p>Address:</p> <p>Contact person:</p> <p>Tel: Fax:</p> <p>E-mail:</p> <p>Actual site of disposal/recovery:</p> | <p><b>12. Designation and composition of the waste (6):</b></p> <p><b>13. Physical characteristics (5):</b></p> <p><b>14. Waste identification (fill in relevant codes)</b></p> <p>(i) Basel Annex VIII (or IX if applicable):</p> <p>(ii) OECD code (if different from (i)):</p> <p>(iii) EC list of wastes:</p> <p>(iv) National code in country of export:</p> <p>(v) National code in country of import:</p> <p>(vi) Other (specify):</p> <p>(vii) Y-code:</p> <p>(viii) H-code (5):</p> <p>(ix) UN class (5):</p> <p>(x) UN Number:</p> <p>(xi) UN Shipping name:</p> <p>(xii) Customs code(s) (HS):</p> |

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:

Date:

Signature:

Generator's - producer's name:

Date:

Signature:

**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

until:

from:

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-D15 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 and 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

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

|   |   |     |  |
|---|---|-----|--|
| <b>PHYSICAL CHARACTERISTICS<br/>(block 13)</b><br><br>1. Powdery/powder<br>2. Solid<br>3. Viscous/paste<br>4. Sludgy<br>5. Liquid<br>6. Gaseous<br>7. Other (specify) | 9 | H12 | Ecotoxic   |
|   | 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

|   |  |  |  |
|---|--|--|--|
| <b>1. Corresponding to notification No:</b>   |  | <b>2. Serial/total number of shipments:</b> /  |  |
| <b>3. Exporter - notifier</b> Registration No:<br>Name:<br><br>Address:<br><br>Contact person:<br><br>Tel: Fax:<br>E-mail:  |  | <b>4. Importer - consignee</b> Registration No:<br>Name:<br><br>Address:<br><br>Contact person:<br><br>Tel: Fax:<br>E-mail:  |  |
| <b>5. Actual quantity:</b> Tonnes (Mg): m <sup>3</sup> :  |  | <b>6. Actual date of shipment:</b>   |  |
| <b>7. Packaging</b> Type(s) (1): Number of packages:<br><b>Special handling requirements:</b> (2) Yes: <input type="checkbox"/> No: <input type="checkbox"/>  |  |  |  |
| <b>8.(a) 1<sup>st</sup> Carrier (3):</b><br>Registration No:<br>Name:<br>Address:<br><br>Tel:<br>Fax:<br>E-mail:  | <b>8.(b) 2<sup>nd</sup> Carrier:</b><br>Registration No:<br>Name:<br>Address:<br><br>Tel:<br>Fax:<br>E-mail: | <b>8.(c) Last Carrier:</b><br>Registration No:<br>Name:<br>Address:<br><br>Tel:<br>Fax:<br>E-mail:   |  |
| ----- <i>To be completed by carrier's representative</i> ----- <span style="float: right;">More than 3 carriers (2) <input type="checkbox"/></span>   |  |  |  |
| Means of transport (1):<br>Date of transfer:<br>Signature:  | Means of transport (1):<br>Date of transfer:<br>Signature:   | Means of transport (1):<br>Date of transfer:<br>Signature:   |  |
| <b>9. Waste generator(s) - producer(s)</b> (4;5;6):<br>Registration No:<br>Name:<br>Address:<br><br>Contact person:<br>Tel: Fax:<br>E-mail:<br>Site of generation (2):  |  | <b>12. Designation and composition of the waste</b> (2):   |  |
| <b>10. Disposal facility</b> <input type="checkbox"/> <b>or recovery facility</b> <input type="checkbox"/><br>Registration No:<br>Name:<br>Address:<br><br>Contact person:<br>Tel: Fax:<br>E-mail:<br><br>Actual site of disposal/recovery (2)  |  | <b>13. Physical characteristics</b> (1):   |  |
| <b>11. Disposal/recovery operation(s)</b><br>D-code / R-code (1):   |  | <b>14. Waste identification</b> (fill in relevant codes)<br>(i) Basel Annex VIII (or IX if applicable):<br>(ii) OECD code (if different from (i)):<br>(iii) EC list of wastes:<br>(iv) National code in country of export:<br>(v) National code in country of import:<br>(vi) Other (specify):<br>(vii) Y-code:<br>(viii) H-code (1):<br>(ix) UN class (1):<br>(x) UN Number:<br>(xi) UN Shipping name:<br>(xii) Customs code(s) (HS): |  |
| <b>15. Exporter's - notifier's / generator's - producer's (4) declaration:</b><br>I certify that the above 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.<br><br>Name: Date: Signature: |  |  |  |
| <b>16. For use by any person involved in the transboundary movement in case additional information is required</b>  |  |  |  |

17. Shipment received by importer - consignee (if not facility): Date: Name: Signature:

**TO BE COMPLETED BY DISPOSAL / RECOVERY FACILITY**

|   |  |
|---|--|
| <p>18. Shipment received at disposal facility or recovery facility</p> <p>Date of reception: <input type="checkbox"/> Accepted: <input type="checkbox"/> Rejected*: <input type="checkbox"/></p> <p>Quantity received: Tonnes m<sup>3</sup>: *immediately contact competent authorities</p> <p>Approximate date of disposal/recovery:</p> <p>Disposal/recovery operation (1):</p> <p>Name:</p> <p>Date:</p> <p>Signature:</p> | <p>19. I certify that the disposal/recovery of the waste described above has been completed.</p> <p>Name:</p> <p>Date:</p> <p>Signature and stamp:</p> |
|---|--|

- (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).

- (4) Required by the Basel Convention
- (5) Attach list if more than one
- (6) If required by national legislation

**FOR USE BY CUSTOMS OFFICES (if required by national legislation)**

|  |  |   |  |
|--|--|---|--|
| <b>20. Country of export - dispatch or customs office of exit</b>                              |  | <b>21. Country of import - destination or customs office of entry</b>                             |  |
| The waste described in this movement document left the country on:<br>Signature<br>:<br>Stamp: |  | The waste described in this movement document entered the country on:<br>Signature<br>:<br>Stamp: |  |
| <b>22. Stamps of customs offices of transit countries</b>                                      |  |   |  |
| Name of country:<br>Entry:   |  | Name of country:<br>Entry:  |  |
| Exit:  |  | Exit:   |  |
| Name of country:<br>Entry:   |  | Name of country:<br>Entry:  |  |
| Exit:  |  | Exit:   |  |

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

|  |  |   |  |
|--|--|---|--|
| <b>DISPOSAL OPERATIONS (block 11)</b>  |  | <b>RECOVERY OPERATIONS (block 11)</b>   |  |
| <p>D1 Deposit into or onto land, (e.g., landfill, etc.)</p> <p>D2 Land treatment, (e.g. biodegradation of liquid or sludgy discards in soils, etc.)</p> <p>D3 Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)</p> <p>D4 Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)</p> <p>D5 Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment), etc.</p> <p>D6 Release into a water body except seas/oceans</p> <p>D7 Release into seas/oceans including sea-bed insertion</p> <p>D8 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</p> <p>D9 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.)</p> <p>D10 Incineration on land</p> <p>D11 Incineration at sea</p> <p>D12 Permanent storage, (e.g., emplacement of containers in a mine, etc.)</p> <p>D13 Blending or mixing prior to submission to any of the operations in this list</p> <p>D14 Repackaging prior to submission to any of the operations in this list</p> <p>D15 Storage pending any of the operations in this list</p> |  | <p>R1 Use as a fuel (other than in direct incineration) or other means to generate energy (Basel/OECD) - Use principally as a fuel or other means to generate energy (EU)</p> <p>R2 Solvent reclamation/regeneration</p> <p>R3 Recycling/reclamation of organic substances which are not used as solvents</p> <p>R4 Recycling/reclamation of metals and metal compounds</p> <p>R5 Recycling/reclamation of other inorganic materials</p> <p>R6 Regeneration of acids or bases</p> <p>R7 Recovery of components used for pollution abatement</p> <p>R8 Recovery of components from catalysts</p> <p>R9 Used oil re-refining or other reuses of previously used oil</p> <p>R10 Land treatment resulting in benefit to agriculture or ecological improvement</p> <p>R11 Uses of residual materials obtained from any of the operations numbered R1-R10</p> <p>R12 Exchange of wastes for submission to any of the operations numbered R1-R11</p> <p>R13 Accumulation of material intended for any operation in this list</p> |  |
| <b>PACKAGING TYPES (block 7)</b>   |  | <b>H-CODE AND UN CLASS (block 14)</b>   |  |
| <p>1. Drum</p> <p>2. Wooden barrel</p> <p>3. Jerrican</p> <p>4. Box</p> <p>5. Bag</p> <p>6. Composite packaging</p> <p>7. Pressure receptacle</p> <p>8. Bulk</p> <p>9. Other (specify)</p>   |  | <p>UN class H-code Characteristics</p> <p>1 H1 Explosive</p> <p>3 H3 Flammable liquids</p> <p>4.1 H4.1 Flammable solids</p> <p>4.2 H4.2 Substances or wastes liable to spontaneous combustion</p> <p>4.3 H4.3 Substances or wastes which, in contact with water, emit flammable gases</p> <p>5.1 H5.1 Oxidizing</p>   |  |

|   |     |      |  |
|---|-----|------|--|
| <b>MEANS OF TRANSPORT (block 8)</b><br>R = Road                      A = Air<br>T = Train/rail                W = Inland waterways<br>S = Sea   | 5.2 | H5.2 | Organic peroxides  |
|   | 6.1 | H6.1 | Poisonous (acute)  |
|   | 6.2 | H6.2 | Infectious substances  |
|   | 8   | H8   | Corrosives   |
|   | 9   | H10  | Liberation of toxic gases in contact with air or water   |
|   | 9   | H11  | Toxic (delayed or chronic)   |
|   | 9   | H12  | Ecotoxic   |
|   | 9   | H13  | Capable, by any means, after disposal of yielding another material, e. g., leachate, which possesses any of the characteristics listed above |
| <b>PHYSICAL CHARACTERISTICS (block 13)</b><br>1. Powdery / powder      5. Liquid<br>2. Solid                      6. Gaseous<br>3. Viscous / paste        7. Other (specify)<br>4. Sludgy |     |      |  |

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.