



## **National TFS Office, Dublin City Council [NTFSO] Guidance for Completing Notification Document (Annex 1A) & Movement Document (Annex 1B)**

### **Introduction**

A planned shipment subject to the procedure of prior written notification and consent may take place only after the notification and movement documents have been completed pursuant to **Regulation (EC) No 1013/2006 of the European Parliament of the Council of 14 June 2006 on Shipments of Waste**, and during the period of validity of the written or tacit consents of all the competent authorities concerned.

The National TFS Office, Dublin City Council [NTFSO], the National Competent Authority of Despatch for Ireland, is responsible for providing and issuing the notification and movement documents (in both paper and electronic versions). The competent authorities use a notification numbering system prefixed with the country code of the country of dispatch, which allows a particular consignment of waste to be tracked and traced. The NTFSO issues a notification using the prefix IE 31 (the country code in ROI) to identify the notification, which is followed by a four digit number.

The notification document (Annex 1A) is intended to provide the competent authorities concerned with the information they need i) to assess the acceptability of proposed waste shipments; ii) to acknowledge receipt of the notification; and iii) to consent in writing to a proposed shipment. The movement document (Annex 1B) is intended to travel with a consignment of waste at all times from the moment it leaves the waste producer to its arrival at a disposal or recovery facility in another country. Each person who takes charge of a shipment must sign the movement document either upon delivery or receipt of the wastes in question. The movement document records the passage of the consignment through the customs offices of all countries concerned, and is used by the relevant disposal or recovery facility to certify that the waste has been received and that the recovery or disposal operation has been completed.

At the time of notification, the notifier is required to complete blocks 1–18 on the notification document and complete blocks 3, 4 and 9–14 on the movement document. When the notifier is not as the original producer, this producer or one of the persons indicated in point 15(a)(ii) or (iii) of Article 2 of Regulation 1013/2006 is, where practicable, also to sign in block 17 on the notification document. Where it is necessary to add annexes to the documents, each annex should include the notification reference number and cite the block to which it relates.

**Please note that the required information must be provided in the notification documents. If any question is not applicable in a particular case, please insert N/A, as appropriate. For example, in Block 14, if any requested code does not apply to the waste, please insert N/A.**

After receipt of the consents from the competent authorities of dispatch, destination and transit (or tacit consent), and before the actual start of the shipment, the notifier is required to complete on the movement document the remaining blocks 2, 5–8 (except the means of transport, the date of transfer and the signature), 15 and, if appropriate, 16. Prior to the actual start of shipment the notifier is

required to send a copy of the completed and signed movement document to i) the NTFSO, ii) the other competent authorities concerned, and iii) the consignee, at least 3 working days before the shipment commences. At the time of taking possession of the consignment, the carrier or its representative is to complete on the movement document the means of transport, the date of transfer and the signature, which appear in blocks 8(a) to 8(c) and, if appropriate, 16. The shipment shall be accompanied by the movement document and copies of the notification document containing the written consent, including any conditions, of the competent authorities concerned.

### **Guidance for completing the Notification Document (Annex 1A)**

**Block 1: Exporter/Notifier** - Provide the required information on the exporter/notifier: registration number; exporter/notifier name & address including the name of the country; contact person who is responsible for the shipment; telephone number, fax number & email.

**Block 2: Importer/Consignee** - Provide the required information on the importer/consignee. Normally, the consignee would be the disposal or recovery facility given in block 10. In some cases, however, the consignee may be another person, for example a dealer, a broker or a corporate body, such as the headquarters or mailing address of the receiving disposal or recovery facility in block 10. In order to act as a consignee, a dealer, broker or corporate body must be under the jurisdiction of the country of destination and possess or have some other form of legal control over the waste at the moment the shipment arrives in the country of destination.

**Block 3: Notification Number** - When issuing a notification document, the NTFSO provides an identification number which will be printed in this block. Under A, "individual shipment" refers to a single notification and "multiple shipments" to

a general notification. Under B, give the type of operation the waste being shipped is destined for. Under C, pre-consent refers to Article 14 of Regulation 1013/2006.

**Block 4: Number of Shipments** - Give the intended number of shipments.

**Block 5: Quantity** - Give the estimated minimum and maximum weight in tonnes (1 tonne equals 1 megagram (Mg) or 1 000 kg) of the waste. The total quantity shipped must not exceed the maximum quantity declared in Block 5.

**Block 6: Period for shipment** - Give the intended date of a single shipment or, for multiple shipments, the dates of the first and last shipments. The intended period of time for shipments may not exceed one year, with the exception of multiple shipments to pre-consented recovery facilities, for which the intended period of time may not exceed three years. All shipments must take place within the validity period of the written or tacit consents of all competent authorities concerned issued by the competent authorities. Where a competent authority issues a written consent to the shipment and the validity period of that consent in block 20 differs from the period indicated in block 6, the decision of the competent authority overrides the information in block 6.

**Block 7: Packaging** - Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the notification document. If special handling precautions are required, such as those required by producers' handling instructions for employees, health and safety information, including information on dealing with spillage, and instructions in writing for the transport of dangerous goods, tick the appropriate box and attach the information in an annex.

**Block 8: Carriers** - Provide the required information on the intended carriers of the waste: registration number; name & address including the name of the country; contact person responsible for the shipment; telephone number, fax number & email. If more than one carrier is involved, the

required information for each carrier should be listed in an annex. Where the transport is organised by a forwarding agent, the agent's details and the respective information on actual carriers should be provided in an annex. Provide evidence of waste collection permits issued to the carrier(s) regarding the waste transports in an annex. Means of transport should be indicated using the abbreviations provided in the list of abbreviations and codes attached to the notification document.

**Block 9: Generator/Producer** - Provide the required information on the generator/producer of the waste: registration number. If the notifier is the producer of the waste then write "Same as block 1". If the waste has been produced by more than one producer, write "See attached list" and append a list providing the requested information for each producer. Where the producer is not known, give the name of the person in possession or control of such waste (holder). Also provide information on the process by which the waste was produced and the site of production.

**Block 10: Destination Facility** - Provide the required information: destination of the shipment by ticking either disposal or recovery facility; registration number; actual site of disposal or recovery if it is different from the address of the facility. If the disposer or recoverer is also the consignee, state here "Same as block 2". If the disposal or recovery operation is a D13–D15 or R12 or R13 operation, the facility performing the operation should be mentioned in block 10, as well as the location where the operation will be performed. In such a case, corresponding information on the subsequent facility or facilities, where any subsequent R12/R13 or D13–D15 operation and the D1–D12 or R1–R11 operation or operations takes or take place or may take place should be provided in an annex (see R-codes or D-codes of Annexes IIA or IIB of Directive 2006/12/EC on waste (see also the list of abbreviations and codes attached to the notification document)).

**Block 11: Disposal/Recovery operation** - Indicate the type of recovery or disposal operation. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation, corresponding information on the subsequent operations (any R12/R13 or D13–D15 as well as D1–D12 or R1–R11) should be provided in an annex. Also indicate the technology to be employed. If the waste is destined for recovery, provide the planned method of disposal for the non-recoverable fraction after recovery, the amount of recovered material in relation to non-recoverable waste, the estimated value of the recovered material, and the cost of recovery and the cost of disposal of the non-recoverable fraction in an annex. *List of recovery and disposal codes is available on the reverse side of the notification document.*

**Block 12: Waste Description** - Provide designation and composition of the waste. Give the name or names by which the material is commonly known or the commercial name and the names of its major constituents (in terms of quantity and/or hazard) and their relative concentrations (expressed as a percentage). In the case of a mixture of wastes, provide the same information for the different fractions and indicate which fractions are destined for recovery. A chemical analysis of the composition of the waste may be requested. Attach further information in an annex if necessary.

**Block 13: Physical Characteristics** - Indicate physical characteristics of the waste (eg solid, liquid) at normal temperatures and pressures. *List of physical characteristics is available on the reverse side of the notification document.*

**Block 14: Waste Identification** - State the code that identifies the waste according to Annexes III, IIIA, IIIB, IV or IVA of Regulation 1013/2006. Give the code according to the system adopted under the Basel Convention (under subheading (i) in block 14) and, where applicable, the systems adopted in the OECD Decision (under subheading (ii)) and other accepted classification systems (under subheadings (iii) to (xii)). Give only one waste code (from Annexes III, IIIA, IIIB, IV or IVA of Regulation 1013/2006) with the following two exceptions: In the case of wastes not classified under one single entry in either Annex III, IIIB, IV or IVA, give only one type of waste. In the case of mixtures of wastes not classified under one single entry in either Annex III, IIIB, IV or IVA, unless listed in

Annex IIIA, provide the code of each fraction of the waste in order of importance (in an annex if necessary).

**(i):** Basel Convention Annex VIII codes should be used for wastes that are subject to the procedure of prior written notification and consent (see Part I of Annex IV of Regulation 1013/2006). Basel Annex IX codes should be used for wastes that are not usually subject to the procedure of prior written notification and consent but which, for a specific reason such as contamination by hazardous substances or national regulations, are subject to the procedure of prior written notification and consent. Basel Annexes VIII and IX can be found in Annex V of Regulation 1013/2006. If a waste is not listed in Annexes VIII or IX of the Basel Convention, insert “not listed”.

**(ii):** OECD member countries should use OECD codes for wastes listed in Part II of Annexes III and IV of Regulation 1013/2006, i.e. wastes that have no equivalent listing in the Annexes of the Basel Convention or that have a different level of control under this Regulation from the one required by the Basel Convention. If a waste is not listed in Part II of Annexes III and IV of Regulation 1013/2006, insert “not listed”.

**(iii):** European Union Member States should use the codes included in the European Community list of wastes (see Commission Decision 2000/532/EC as amended).

**(iv) and (v):** Where applicable, national identification codes other than the EC list of wastes used in the country of dispatch and, if known, in the country of destination should be used. Such codes may be included in Annexes IIIA, IIIB or IVA of this Regulation.

**(vi):** If useful or required by the relevant competent authorities, add here any other code or additional information that would facilitate the identification of the waste.

**(vii):** State the appropriate Y-code or Y-codes according to the “Categories of wastes to be controlled” (see Annex I of the Basel Convention and Appendix 1 of the OECD Decision), or according to the “Categories of wastes requiring special consideration” given in Annex II of the Basel Convention (see Annex IV Part I of Regulation 1013/2006 or Appendix 2 of the Basel Instruction Manual), if it or they exist(s). Y-codes are not required by Regulation 1013/2006 and the OECD Decision except where the waste shipment falls under one of the two “Categories requiring special consideration” under the Basel Convention (Y46 and Y47 or Annex II wastes), in which case the Basel Y-code should be indicated. Nevertheless, indicate the Y-code or Y-codes for wastes defined as hazardous according to Article 1(1)(a) of the Basel Convention in order to fulfil the reporting requirements under the Basel Convention.

**(viii):** If applicable, state here the appropriate H-code or H-codes, i.e. the codes indicating the hazardous characteristics exhibited by the waste (see the list of abbreviations and codes attached to the notification document). If there is no hazardous characteristics covered by the Basel Convention, but the waste is hazardous according to Annex III of Directive 91/689/EEC on hazardous waste, state the H-code or H-codes according to this Annex III and insert “EC” after the H code (e.g. H14 EC). *List of H codes is available on the reverse side of the notification document.*

**(ix):** If applicable, state here the United Nations class or classes which indicate the hazardous characteristics of the waste according to the United Nations classification (see the list of abbreviations and codes attached to the notification document) and are required to comply with international rules for the transport of dangerous goods (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition). *List of H codes is available on the reverse side of the notification document.*

**(x and xi):** If applicable, state here the appropriate United Nations number or numbers and United Nations shipping name or names. These are used to identify the waste according to the United Nations classification system and are required to comply with international rules for transport of

dangerous goods (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition).

**(xii):** If applicable, state here customs code or codes, which allow identification of the waste by customs offices (see the list of codes and commodities in the “Harmonised commodity description and coding system” produced by the World Customs Organisation).

**Block 15: Countries/CA Codes/Exit/Entry** - On line (a) of block 15, provide the name of the countries of dispatch, transit and destination. On line (b), provide, where applicable, the code number of the respective competent authority for each country and on line (c) insert the name of the border crossing or port and, where applicable, the customs office code number as the point of entry to or exit from a particular country. For transit countries give the information in line (c) for points of entry and exit. If more than three transit countries are involved in a particular shipment, attach the appropriate information in an annex. Provide the intended route between points of exit and entry, including possible alternatives, also in cases of unforeseen circumstances, in an annex.

**Block 16: Customs** - In cases where shipments enter, pass through or leave the European Union, provide the required information

**Block 17: Declaration** - Each copy of the notification document is to be signed and dated (six-digit format) by the notifier before being forwarded to the competent authorities of the countries concerned. When the notifier is not the same person as the original producer, this producer, the new producer or the collector is, where practicable, also to sign and date; it is noted that this may not be practicable in cases where there are several producers.

**Block 18: Annexes** - Indicate the number of annexes containing any additional information supplied with the notification document. Each annex must include a reference to the notification number to which it relates.

**Block 19: Acknowledgement/Waste recd** - For use by competent authority or authorities of the country or countries of destination (where applicable) and transit when issuing a signed, dated and stamped acknowledgement for the receipt of the waste.

**Block 20: Consent** - For use by competent authorities of any country concerned when providing a signed, dated and stamped written consent (a competent authority of transit may provide a tacit consent) to the waste shipment.

**Block 21: Consent/Objection** - If the shipment is subject to specific conditions, the competent authority in question should tick the appropriate box and specify the conditions in block 21 or in an annex to the notification document. If a competent authority wishes to object to the shipment it should do so by writing “OBJECTION” in block 20. Block 21, or a separate letter, may then be used to explain the reasons for the objection.

### **Guidance for completing the Movement Document (Annex 1B)**

**Block 1: Notification Number** - The notification number entered is the number in Block 3 in the notification document.

**Block 2: Serial/Total No. Shipments** - For a general notification for multiple shipments, enter the serial number of the shipment and the total intended number of shipments indicated in block 4 in the notification document (for example, enter “4/11” for the fourth shipment out of eleven intended shipments under the general notification in question). In the case of a single notification, enter “1/1”.

**Block 3: Exporter/Notifier** - Reproduce the same information on the notifier as given in block 1 in the notification document.

**Block 4: Importer/Consignee** - Reproduce the same information on the consignee as given in block 2 in the notification document.

**Block 5: Quantity** - Give the actual weight in tonnes (1 tonne equals 1 megagram (Mg) or 1000 kg of the waste.

**Block 6: Date of shipment** - Enter the date when the shipment actually starts.

**Block 7: Packaging** - Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the movement document. If special handling precautions are required, such as those prescribed by producers' handling instructions for employees, health and safety information, including information on dealing with spillage, and transport emergency cards, tick the appropriate box and attach the information in an annex. Also enter the number of packages making up the consignment.

**Blocks 8 (a), (b) and (c): Carriers** - Provide the required information on the carriers: registration number; name & address including the name of the country; telephone number; fax number; email. When more than three carriers are involved, appropriate information on each carrier should be attached to the movement document. The means of transport, the date of transfer and a signature should be provided by the carrier or carrier's representative taking possession of the consignment. A copy of the signed movement document is to be retained by the notifier. Upon each successive transfer of the consignment, the new carrier or carrier's representative taking possession of the consignment will have to comply with the same request and also sign the document. A copy of the signed document is to be retained by the previous carrier.

**Block 9: Generator/Producer** - Reproduce the information given in block 9 of the notification document.

**Block 10: Destination Facility** - Reproduce the information given in blocks 10 in the notification document. If the disposer or recoverer is also the consignee, write "Same as block 4".

**Block 11: Disposal/Recovery operation** - Reproduce the information given in block 11 in the notification document. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation, the information on the facility performing the operation provided in block 10 is sufficient. No further information on any subsequent facilities performing R12/R13 or D13–D15 operations and the subsequent facility(ies) performing the D1–D12 or R1–R11 operation(s) needs to be included in the movement document.

**Block 12: Waste Description** - Reproduce the information given in block 12 in the notification document.

**Block 13: Physical Characteristics** - Reproduce the information given in block 13 in the notification document.

**Block 14: Waste Identification** - Reproduce the information given in block 14 in the notification document.

**Block 15: Declaration** - At the time of shipment, the notifier shall sign and date the movement document. The shipment shall be accompanied by the movement document and copies of the notification document containing the written consent, including any conditions, of the competent authorities concerned.

**Block 16: Additional requirement in certain cases** - This block can be used by any person involved in a shipment in specific cases where more detailed information is required by national legislation concerning a particular item (for example, information on the port where a transfer to another transport mode occurs, the number of containers and their identification number, or additional proof or stamps indicating that the shipment has been consented by the competent authorities). Give the routing (point of exit from and entry into each country concerned, including customs offices of entry into and/or exit from and/or export from the Community) and route (route between points of exit and entry), including possible alternatives, also in case of unforeseen circumstances, either in block 16 or attach it in an annex.

**Block 17: Shipment not first recd by facility** - This block is to be completed by the consignee in the event that it is not the disposer or recoverer and in case the consignee takes charge of the waste after the shipment arrives in the country of destination.

**Block 18: Shipment recd by facility** - This block is to be completed by the authorised representative of the disposal or recovery facility upon receipt of the waste consignment. Tick the box of the appropriate type of facility. With regard to the quantity received, give the actual weight in tonnes (1 tonne equals 1 megagram (Mg) or 1000 kg of the waste. A signed copy of the movement document is given to the last carrier. If the shipment is rejected for any reason, the representative of the disposal or recovery facility must immediately contact his or her competent authority. Signed copies of the movement document must be sent within three days to the notifier and the competent authorities in the countries concerned. The original movement document shall be retained by the disposal or recovery facility. Receipt of the waste consignment must be certified by any facility performing any disposal or recovery operation, including any D13–D15 or R12 or R13 operation. Indicate also the type of disposal or recovery operation by using R-codes or D codes and the approximate date by which the disposal or recovery of waste will be completed.

**Block 19: Certification of Completion** - This block is to be completed by the disposer or recoverer to certify the completion of the disposal or recovery of the waste. Signed copies of the movement document with block 19 completed should be sent to the notifier and competent authorities of dispatch, transit and destination as soon as possible, but no later than 30 days after the completion of the recovery or disposal and no later than one calendar year following the receipt of the waste. The disposal or recovery of waste must be certified by any facility performing any disposal or recovery operation, including a D13–D15 or R12 or R13 operation.

**Block 20, Block 21 and Block 22: Customs** - The blocks must be used for control by customs offices at the borders of the Community.

*This document is based on the provisions of Annex 1C and Annex II of Regulation (EC) No 1013/2006 of the European Parliament of the Council of 14 June 2006 on Shipments of Waste, and is intended as a guide only and does not purport to provide, and should not be relied upon as, a legal interpretation of the Regulations.*