



# Guideline for Submitting a Notification

Regulation (EC) No. 1013/2006





**GUIDELINE FOR SUBMITTING A NOTIFICATION**

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## Guideline for Submitting a Notification

This 'Guideline for Submitting a Notification' is intended to indicate the criteria that a notification needs to meet to reduce questions asked to a minimum and to allow the procedure to move forward without delay. A notification is first assessed to determine whether it is 'properly carried out' and 'properly completed'. This entails determining whether it fulfils the requirements of Annex II of EU Regulation (EC) No. 1013/2006. If the notification meets the requirements, the notification file is sent to the authority of destination and, if necessary, the authority or authorities of transit.

The content of the file is then assessed. If information is missing, unclear or incorrect, the notifier is asked to clarify it or to provide new information. Once all information has been received, the notification is assessed again for compliance with the National Waste Management Plan, the Regulation, case law, and other regulations and legislation.

This guideline has three parts. Part I describes how to fill in the notification document. Part II looks at how to fill in the movement document. Part III relates to the information that can or must be provided in an annex.

Terms used: the Regulation distinguishes between:

- shipment: the transport of waste between EU member states;
- import: this is the transport of waste from countries outside the EU into the EU;
- export: this is the transport of waste from the EU to countries outside the EU.

Be aware that this guideline specifies the requirements for a notification that need to be met by the Human Environment and Transport Inspectorate. Other authorities may apply a different procedure and may require additional documentation.

The guideline has a version number and specifies the month of publication. If the guideline is changed, a new version is brought out. It is therefore necessary to check regularly whether you are using the latest version. In the table, all recent changes have been placed.

Where:	date of change:	Subject:
Version 6	March 2013	Document

## Part I Notification document

### Block 1

<b>1. Exporter - notifier</b>	Registration No:
Name:	
Address:	
Contact person:	
Tel.:	Fax:
E-mail:	

Enter a registration number. This should preferably be a Chamber of Commerce number, but it can be an alternative, such as the Dutch registration number for transporter, collector, trader, broker / intermediary (VIHB). You should always state the source of the number.

Always enter the name in the same way. That means that there must be no difference between the name on the notification document, on the contract and on the bank guarantee, if they are all the same natural or legal person.

Address details comprise number and name of street, postcode, town or city, country, contact person, telephone number, fax number and, if applicable, e-mail address. You are not permitted to use a P.O. Box number. It is compulsory to enter a telephone and fax number. An e-mail address is optional. You are not permitted to enter more than one address in block 1.

Article 2, point 15, of Regulation (EC) No. 1013/2006 specifies who can be entered in block 1 as the notifier:

*15. 'notifier' means:*

- (a) in the case of a shipment originating from a Member State, any natural or legal person under the jurisdiction of that Member State who intends to carry out a shipment of waste or intends to have a shipment of waste carried out and to whom the duty to notify is assigned. The notifier is one of the persons or bodies listed below, selected in accordance with the ranking established in this listing:
- (i) the original producer, or
  - (ii) the licensed new producer who carries out operations prior to shipment, or
  - (iii) a licensed collector who, from various small quantities of the same type of waste collected from a variety of sources, has assembled the shipment which is to start from a single notified location, or
  - (iv) a registered dealer who has been authorised in writing by the original producer, new producer or licensed collector specified in (i), (ii) and (iii) to act on his/her behalf as notifier, (v) a registered broker who has been authorised in writing by the original producer, new producer or licensed collector specified in (i), (ii) and (iii) to act on his/her behalf as notifier,
  - (vi) where all of the persons specified in (i), (ii), (iii),
  - (iv) and (v) if applicable, are unknown or insolvent, the holder.

You can also find this information (in Dutch only) in the FAQs on the Human Environment and Transport Inspectorate site ([www.ilent.nl/evoa](http://www.ilent.nl/evoa)). There you will also find a link to a model authorisation (under 7), in case the producer is not the notifier (this is also only available in Dutch).

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Block 2

<b>2. Importer - consignee</b>	
Registration No:	
Name:	
Address:	
Contact person:	
Tel.:	Fax:
E-mail:	

The same rules apply for filling in block 2 as for block 1.

Block 3

<b>3. Notification:</b>	
<b>Notification concerning</b>	
A. (i) Individual shipment:	<input type="checkbox"/>
(ii) Multiple shipments:	<input type="checkbox"/>
B. (i) Disposal (*):	<input type="checkbox"/>
(ii) Recovery:	<input type="checkbox"/>
C. Pre-consented recovery facility ( <sup>2-3</sup> )	Yes <input type="checkbox"/> No <input type="checkbox"/>

In block 3 mark the boxes as applicable under A and B.

Only mark C if the shipment relates to recovery. Before marking 'Yes' under C, it is advisable to make sure the facility is pre-consented. Also make sure that the approval relates to the waste that you want to transport, and that it is valid at the intended period of time for the shipment, which you have entered in block 6.

See the summary of pre-consented facilities at <http://ec.europa.eu/environment/waste/shipments/recovery.htm> (this site will take you to the OECD site).

If the facility is not listed on this site, you have to show in another way, for example with a declaration from a competent authority in the country of destination, that the facility is pre-consented and stating conclusively the nature of the waste to be transported and the duration of the approval.

This declaration must be submitted as an annex with the notification.

Block 4

<b>4. Total intended number of shipments:</b>
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In block 4 you should enter the number of shipments than can be made in the period stated in block 6. Note that if you make the shipments to a pre-consented facility and you choose a longer shipment period, the number of shipments will be adjusted accordingly.

It is also advisable not to estimate the number of shipments too low, as increasing them requires the permission of all the authorities involved. (NB: other countries may impose duties on the number or quantity of shipments.)

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***Block 5***

<b>5. Total intended quantity (4):</b> Tonnes (M <sup>3</sup> ): m <sup>3</sup> :
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The total intended quantity of waste must be entered in tonnes.  
Use a dot, rather than a comma, to indicate thousands.

For a 'pre-consented facility' the total intended quantity of waste to be transported must be entered for the entire period indicated in block 6.

Cubic metres can only be entered in the case of import from or export to third countries, if they require it.

***Block 6***

<b>6. Intended period of time for shipment(s) (4):</b> First departure: Last departure:
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The maximum shipment period is one year. If the waste is to be transported to a pre-consented facility, the maximum period you can apply for is three years. In that case, you have to fill in the number of shipments in block 4 and the total quantity for the whole period in block 5.

***Block 7***

<b>7. Packaging type(s) (5):</b>
<b>Special handling requirements (6):</b> Yes <input type="checkbox"/> No <input type="checkbox"/>

Enter here the packaging type, using the codes on the back of the notification document. If you have marked special handling requirements, specify them in an annex.

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**Block 8**

<b>8. Intended carrier(s)</b>	
Registration No:	
Name (?):	
Address:	
Contact person:	
Tel.:	Fax:
E-mail:	
Means of transport (?):	

Enter here the details of the intended carrier. The same rules apply for filling in block 2 as for block 1.

Use the codes on the back of the notification document to enter the 'Means of transport'.

If you wish to enter more than one carrier, list them in an annex. If you list the carriers in an annex enter 'See annex' in block 8.

If you list the carriers in an annex, you must specify the following details for each of them:

- registration number
- full name
- street name and number, postcode, town or city, country
- telephone and fax number (including the country code)
- name of the contact person

Of all intended carriers should be a certificate of registration and evidence that the carrier is properly insured available attached to the notification. For more information, check annex 3 of this guideline.

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Block 9

<b>9. Waste generator(s)/producer(s) <sup>(1, 7, 8)</sup></b>	
Registration No:	
Name:	
Address:	
Contact person:	
Tel.:	Fax:
E-mail:	
Site and process of generation <sup>(6)</sup> :	

In block 9 you have to enter the producer of the waste. Article 2, paragraph 9, of the Regulation defines 'producer' as: 'anyone whose activities produce waste ('original producer') and/or anyone who carries out pre processing, mixing or other operations resulting in a change in the nature or composition of this waste (new producer) (as defined in Article 1 (1)(b) of Directive 2006/12/EC)'.

In this block you therefore enter the producer of the waste that is being transported through, imported into or exported to, the European Union.

See the instructions to block 1 for how to enter the details.

If the waste is collected from different producers and the notifier (the collector of the waste) in block 1 is also entered in block 9, you should indicate on an annex the names of the producers (at sector level) from which the waste is collected.

If only one producer is specified for the waste to be transported, this producer must also be entered as the notifier in block 1 unless a different natural or legal person acts as notifier, as provided for in Article 2, point 15, of the Regulation. In that case the producer must also sign the notification document (block 17).

For more information, check annex 4 of this guideline.



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**Block 10**

10. Disposal facility <sup>(2)</sup> :	<input type="checkbox"/>	or recovery facility <sup>(2)</sup> :	<input type="checkbox"/>
Registration No:			
Name:			
Address:			
Contact person:			
Tel.:		Fax:	
E-mail:			
Actual site of disposal/recovery:			

See the instructions to block 1 for how to enter the details. If the facility is the same as the consignee/importer entered in block 2, you can enter here: see block 2.

Indicate whether the waste is going to a facility for disposal or recovery by marking the appropriate box.

In the event of interim disposal or interim recovery the actual site of disposal or recovery must be entered in the bottom line.

If, in the case of interim disposal or recovery, further processing is to be carried out by more than one company, you should specify in an annex which parts of the waste are to be processed in what way at which companies. You can find more information on this in Part III, Annex 5.

NB: If the interim disposal or interim recovery generates green-listed waste, it is only necessary to specify at sector level where the waste will ultimately be processed.

**Integrated Pollution Prevention and Control (IPPC)**

If the waste is processed in a facility referred to in Annex 1, category 5, of Directive 2008/1/EC, you must provide evidence/a declaration that the facility has a valid licence that complies with the IPPC. In part III of Annex 6, you can find more information on this subject.

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**Block 11**

<p><b>11. Disposal/recovery operation(s) <sup>(2)</sup></b></p> <p>D code/R code <sup>(3)</sup>:</p> <p>Technology employed <sup>(6)</sup>:</p>  <p>Reason for export <sup>(7, 8)</sup>:</p>
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In block 11 you should indicate how the waste is to be processed by:

- specifying the R or D code (these are shown on the back of the notification document)
- describing the technology employed
- giving the reason for export

If the operation is an operation as referred to in D13, D14, D15 of R12 or R13, provide supplementary information on the subsequent operations in an annex. See Part III, Annex 5, for more information.

The 'reason for export' comprises a prior request to the country of dispatch, giving reasons, in accordance with Article 41, paragraph 4, of Regulation (EC) No. 1013/2006, to import the waste into the Community.

The reason for export does not have to be specified for shipments within or out of the EU. It is only necessary to state the reason for export in block 11 in the case of waste being imported into the Netherlands from a country outside the European Union. You can also refer to an annex.

Describe in an annex the processing that the waste will undergo, and the technology employed.

In the case of recovery, the following information relating to processing must be specified in an annex:

- a) the planned method of disposal for the non-recoverable waste;
- b) the amount of recovered material in relation to non-recoverable waste;
- c) the estimated value of the recovered material (expressed in currency);
- d1) the cost of recovery (expressed in currency);
- d2) the cost of disposal of the non-recoverable waste (expressed in currency).

See Part III, Annex 4, for more information on this summary.

Block 12

**12. Designation and composition of the waste <sup>(6)</sup>:**

Specify the name of the waste, or the trade name and the names of the most important (in terms of quantity and/or risk) components and their concentrations. You should specify in an annex:

- the origin of the waste, i.e. the production process in which it originated; if the waste comes from different sources or has been collected together, indicate (at sector level) where it was collected;
- 100% composition of the waste;
- if applicable, the designations and quantities/concentrations of the most important components of the waste, in terms of quantity or risk properties;
- if applicable, the concentrations of the most important components of the waste;
- for mixed waste: the parts intended for recovery;
- if applicable, a clear chemical analysis, no older than one year; if the analysis is older, but still adequately describes the waste to be transported, you should indicate it. A chemical analysis must be annexed if it is necessary for an adequate assessment and categorisation of the waste. For more information, check part III of annex 4 of this guideline.

Block 13

**13. Physical characteristics <sup>(6)</sup>:**

Specify the physical characteristics of the waste at normal temperature and pressure, using the abbreviations listed on the back of the notification document.

Block 14 – Waste identification

<p><b>14. Waste identification</b> (fill in relevant codes)</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 <sup>(5)</sup>:</p> <p>(ix) UN class <sup>(6)</sup>:</p> <p>(x) UN number:</p> <p>(xi) UN shipping name:</p> <p>(xii) Customs code(s) (HS):</p>
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Under i) and ii), you can only specify one code from Annexes III, IIIA, IIIB, IV or IVA. If there is no code for the waste, enter 'not classified'.

The codes under i), ii) and iii) can be found in Annexes III, IV and V of the Regulation.

If more than one EC code is applicable under iii), you should enter the code that covers most of the waste. If the other codes do not fit on the document, list them in an annex.

Codes iv) and v) must be used if they are applicable to the waste in the country of dispatch or destination.

Under the Regulation and the OECD Decision, code vii) is not required unless the shipment of waste falls into one of the two categories of waste that require special attention under the Basel Convention (Y46 and Y47). If these codes are applicable, they should be entered in block 14, under i).

Codes viii) and ix) to be used are listed on the back of the notification and movement document.

Codes x) and xi) must be filled in if a UN class is indicated under ix). In addition the codes and descriptions of the ADR must be used.

If waste is to be imported into or exported out of the Community, the customs code or codes that enable the customs to identify the waste have to be filled in. You should use the list of codes and goods in the Harmonized Commodity Description and Coding System, published by the World Customs Organisation (see [www.wcoomd.org](http://www.wcoomd.org) and <http://www.foreign-trade.com/reference/hscodet.htm> for an explanation and the lists).

If there are no codes for lines iv) to xii), you can leave it blank or enter 'not applicable'.

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**Block 15**

15. Countries/States concerned (a), code No of competent authorities where applicable (b), specific points of exit or entry (c)			
State of export/dispatch	State(s) of transit (entry and exit)		State of import/destination
(a)			
(b)			
(c)			

In line a) enter the full name of the country concerned or the ISO standard 3166 country abbreviation.

In line b) enter the code number of the authority, if known. A list of authorities and their codes can be found at <http://www.ilent.nl/tfs>.

In line c) enter the frontier crossing point at which the waste enters or exits the country. For road transport, you should also state the number of the road. A list of Dutch frontier crossing points can be found at [www.ilent.nl/tfs](http://www.ilent.nl/tfs), at the guidelines and downloads, section 'Grensovergangen' (border crossing).

This applies to the countries of export, import and transit.

If the shipment passes through more than three transit countries, you should give the information on transit countries (information entered in block 15) in an annex.

You should also provide information on the route in an annex to the notification document. See Part III, Annex 3, for more information.

**Block 16**

16. Customs offices of entry and/or exit and/or export		(European Community):
Entry:	Exit:	Export:

For import into the EU you should enter the customs office where the entry of the waste is declared under 'Entry'.

For export from the EU you should enter the customs office where the waste leaves the Community under 'Exit' and the customs office where the exit of the waste is declared under 'Export'.

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**Block 17**

<b>17. Exporter's/notifier's - generator's/producer's (!) declaration:</b>		
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

Fill in the name of the authorised representative who signs the form, together with the date and signature. You are not permitted to enter only a company name under 'Exporter's/notifier's name' or 'Producer's name'.

If the notifier and the producer are the same person, the notifier should sign the notification document.

If not, both should sign the document. If the document is signed by an authorised representative of the notifier or producer, an authorisation must be added as an annex, describing the activities for which the representative is authorised. The authorisation must be signed by the notifier or producer, as applicable. It should also state the name of the notifier/producer in capitals and the date.

You can find model authorisations at [www.ilent.nl/tfs](http://www.ilent.nl/tfs), at guidelines and downloads (in Dutch only).

## Part II Movement document

### Blocks 3, 4, 9, 10, 11, 12, 13 and 14

Enter in these blocks the information entered in the corresponding blocks of the notification document.

Block 3 movement document, see block 1 notification document

Block 4 movement document, see block 2 notification document

Block 9 movement document, see block 9 notification document

Block 10 movement document, see block 10 notification document

Block 11 movement document, see block 11 notification document

Block 12 movement document, see block 12 notification document

Block 13 movement document, see block 13 notification document

Block 14 movement document, see block 14 notification document

See also the instructions accompanying the relevant block in the notification document.

*The blocks specified above are the only blocks that have to be filled in when submitting a notification!*

### Blocks 2, 5, 6 and 15

Blocks 2, 5, 6 and 15 may only be filled in when the shipment begins.

#### Block 2

**2. Serial/total number of shipments:**

This block shows the serial number of the registered shipment in relation to the total number of requested shipments. Enter the serial number and the number of shipments, separated by a forward slash ('/').

E.g.: 1/10; 4/250

#### Block 5

<b>5. Actual quantity:</b>	tonnes (Mg)	m <sup>3</sup>
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This block shows the quantity of waste transported during this specific shipment. This quantity can be estimated by dividing the total quantity of waste to be transported by the total number of planned shipments. That will show the average quantity per shipment.

If you are able to enter the actual quantity exactly, that is obviously preferable. Don't forget to use a dot, rather than a comma, to indicate thousands.

#### Block 6

**6. Actual date of shipment:**

The shipment date should be submitted to the competent authorities at least three working days before the actual date of shipment. Block 6 shows the date on which the shipment actually starts.

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Block 7

7. Packaging	type(s) (1):	Number of packages:
Special handling requirements: (2)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Block 7 can be filled in when a notification is submitted or when a shipment is registered.

Enter here the packaging type, using the codes on the back of the movement document. If there are special handling requirements, you should specify them in an annex.

Block 8

<b>8 (a) 1st carrier (3):</b> Registration No: Name: Address:  Tel.: Fax: E-mail:	<b>8 b) 2nd carrier:</b> Registration No: Name: Address:  Tel.: Fax: E-mail:	<b>8 c) Last carrier:</b> Registration No: Name: Address:  Tel.: Fax: E-mail:
----- <i>To be completed by carrier's representative</i> -----		More than three carriers (2) <input type="checkbox"/>
Means of transport (1): Date of transfer: Signature:	Means of transport (1): Date of transfer: Signature:	Means of transport (1): Date of transfer: Signature:

Block 8 can be filled in when a notification is submitted or when a shipment is registered.

You can specify carriers when you submit the notification, but you must never sign this block yourself.

Block 8a), the means of transport and the shipment date must be filled in before the actual shipment begins. The carrier should then sign the 'Means of transport' block to show that he has taken over the waste for shipment.



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**Block 15**

**15. Exporter's - notifier's/generator's/producer's (4) declaration:**

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.

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Fill in this block, with name, date and signature, and submit it at least three days before the actual shipment takes place.

**Block 17**

<b>17. Shipment received at disposal facility</b>	<input type="checkbox"/>	<b>or recovery facility</b>	<input type="checkbox"/>	
Date of reception:	Accepted:	<input type="checkbox"/>	Rejected*:	<input type="checkbox"/>
Quantity received:	kg:	litre:	* <i>immediately contact competent authorities</i>	
Approximate date of disposal/recovery:				
Disposal/recovery operation (1):				
Date:				
Name:				
Signature:				

This block must be filled in once the shipment has arrived at the consignee (if it is not a facility).

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**Block 18**

<p><b>18. I certify that the disposal/recovery of the waste described above has been completed.</b></p> <p>Date:</p> <p>Name:</p> <p>Signature and stamp:</p>
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The holder of the processing facility must fill in this block immediately on receipt of the shipment.

When entering the quantity of waste, use a dot, rather than a comma, to indicate thousands.

**Block 19**

<p><b>19. COUNTRY OF EXPORT - DISPATCH OR CUSTOMS OFFICE OF EXIT</b></p> <p>The waste described in this movement document left</p> <p>the country on:</p> <p>Signature:</p> <p>Stamp:</p>
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The processor of the waste must fill in this block as soon as the waste has been processed and send it to the competent authorities no later than 30 days after processing the waste and no more than 360 days after receiving it.

### **Part III Annexes**

Annex II of Regulation (EC) No. 1013/2006, parts 1, 2, and 3 prescribes what information must be included on the notification and movement documents or in annexes. The information often does not fit on the document and can therefore be provided in an annex. You can also provide information yourself in the form of an annex.

This part of the guideline comprises the following five annexes:

- Annex 1 Financial guarantee
- Annex 2 Contract
- Annex 3 Transport of the waste
- Annex 4 Origin and content of the waste
- Annex 4 Processing of the waste
- Annex 5 IPPC

Each annex discusses a number of components that may be of importance in the shipment of waste.

*NB. If you add an annex to a notification document, you should specify the number of the notification indicated in block 3 on the annex.*

## Annex 1 Financial guarantee

### Statutory framework

Annex II, part 1, under 24, and part 3, under 10, of Regulation (EC) No. 1031/2006 specifies that there must be evidence of a financial guarantee or equivalent insurance (or a declaration certifying its existence if the competent authority so allows) that has been established and is effective at the time of the notification at the latest when the shipment starts, as required in the second subparagraph, point 5 of Article 4 and in Article 6.

The way in which a financial guarantee can be provided is defined in the 'Regeling EG-verordening overbrenging van afvalstoffen' (in Dutch only), see [www.ilent.nl/evoa](http://www.ilent.nl/evoa) under Downloads.

### Financial security

- the starting point is the amount of €450 per tonne for each tonne of waste shipped (Article 3, paragraph 1, of the 'Regeling EG-verordening overbrenging van afvalstoffen'; for some kinds of waste, a fixed amount has been established (Annex I of the 'Regeling EG-verordening overbrenging van afvalstoffen');
- it is possible to request a lower amount (Article 3, paragraph 3, of the 'Regeling EG-verordening overbrenging van afvalstoffen'), except for waste a fixed amount has been established;
- there is a fixed amount for calculating the costs of storage and transport; for storage a distinction is made between solid and liquid waste; for transport a distinction is made between transport by sea and over land.

A financial guarantee can also be provided by arranging 'equivalent insurance'. The explanatory note to the 'Regeling EG-verordening overbrenging van afvalstoffen' states that an insurance must cover the risks of the State in the same way as a financial guarantee. Furthermore the insurance must pay out directly if the Ministry of Infrastructure and the Environment (I&M) submits a claim.

You can find a [standard bank guarantee](#) at on the website.

For more information you can also look in the FAQs (in Dutch only) at [www.ilent.nl/evoa](http://www.ilent.nl/evoa), at section faq's (vragen en antwoord) 'Financiële zekerheid'.

## Annex 2 Contracts

Annex II, part 1, points 22 and 23, and part 3, point 12, of Regulation (EC) No. 1013/2006 state that a contract must be supplied that meets the requirements of the Regulation. There are four model contracts (in Dutch, German and English) available on the website [www.ilent.nl/tfs](http://www.ilent.nl/tfs) at the section guidelines and downloads:

- Contract for the shipment of waste between EU member states and import in an EU member state;
- Contract pertaining to export of waste (from Annex IV and IVA), destined for (interim) recovery from the EU (to OECD countries and non-OECD countries);
- Contract pertaining to Export of waste, destined for (interim) disposal to EVA countries (Norway, Liechtenstein, Iceland and Switzerland);
- Contract pertaining to the shipment of Green List Waste.

If you use these model contracts you can in any case be certain that you have fulfilled the provisions of the Regulation.

NB: You have to link the contract to the notification document by entering the notification number in block 3 in the contract. The name of the authorised representative who signs the contract must be filled in, together with the date and signature. You are not permitted to fill in only a company name.

Terms used: the Regulation distinguishes between:

- shipments: these are movements of waste between EU member states;
- import: this entails the movement of waste from countries outside the EU into the EU;
- export: this entails the movement of waste from the EU to countries outside the EU.

## Annex 3 Transport

1. Indicate the route from the company of the producer (or new producer or collector) to the location of processing the waste. Specify all frontier crossing points, including the border crossing points for all countries of transit. If a frontier crossing point has several roads through it, state also the road number of the frontier crossing point used.
2. Specify the distance between the departure site and the facility of destination.
3. If the shipment/export passes through more than three transit countries, specify the following details for each country of transit in an annex:
  - a. code numbers of the competent authorities;
  - b. place of entry and exit;
  - c. for export from the EU, the customs office of exit.
4. If you have specified in block 7 of the notification and movement documents that the waste requires 'special handling' during transport, the necessary measures must be described in an annex.

### *Registration of carrier*

Every carrier who transports waste in the Netherlands must provide evidence of a Dutch carriers' registration number (VIHB). This can be a declaration that the company is VIHB registered. The declaration must specify the carrier's VIHB registration number. For more information, see: [www.niwo.nl](http://www.niwo.nl), section 'VIHB-lijst Afval', English information.  
NB: carriers registered abroad who transport waste in the Netherlands also have to register on the VIHB list at the NIWO.

VIHB registration is also required to transport on inland waterways and by rail.

If waste is transported by sea, evidence of registration at the International Maritime Organisation (IMO) is required. This can be a declaration that the vessel is IMO registered. The declaration must specify the IMO number, the ship identification number (the letters IMO followed by a 7-figure number) issued by Lloyd's Register-Fairplay when a ship was built.

### *Forwarding agent*

If the transport is arranged by a forwarding agent which makes use of several carriers, the VIHB registrations of the intended carriers must be provided. If the VIHB registrations cannot be provided in advance, a declaration by the forwarding agent or by the notifier that only VIHB registered carriers will be used for transport in the Netherlands is sufficient.

If waste is to be transported by sea, it is sufficient to specify the IMO number when registering the transport.

### *Carrier's insurance*

For every carrier transporting waste, evidence of insurance against claims for damages to third parties must be provided. The insurance must be at least valid at the start of the shipment period. A declaration that the carrier will be insured when the shipment starts is sufficient.

There is no fixed format for declarations. You can draft them as you like, as long as you provide the details required, including carriers' registration numbers (for the Netherlands: VIHB) and/or insurance policy numbers, their addresses and contact

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details, the notification number, the date and your signature. You do not need a date and signature if you refer to the declaration in block 8.

#### *Transport outside the EU*

In the case of export outside the European Community, it is not necessary to provide declarations of registration or insurance for carriers which will be responsible for shipments outside the Community.

*NB: It is stated above that it is not necessary to provide a copy of VIHB registration or an insurance policy. If, however, the notifier is aware that the authority of destination requires evidence of registration, an insurance policy or other documents, it is advisable to take that into account and enclose these documents with the notification document. That will reduce the risk that the authority of destination asks for them after assessing whether the notification is 'properly complete'.*

#### **Additional information**

##### *Block 7 of the notifications and movement document*

If there are special handling requirements to transport the waste, this must be specified in an annex.

##### *Block 8 Notification document*

If you list the carriers in an annex, you must specify the following details for each of them:

- registration number
- full name
- street name and number, postcode, town or city, country
- telephone and fax number (including the country code)
- name of the contact person

##### *Block 15 Notification document*

*If there are more than 3 transit countries on a notification, enter the information on these transit countries in an annex:*

- *enter the name of the country*
- *enter the code of the country (see for a list on [www.ilent.nl/tfs](http://www.ilent.nl/tfs) at the guidelines and downloads)*
- *enter the border crossing point of entry and exit of each country of transit*
- *for export out of the European Union, specify the office of Customs*

## Annex 4 Origin and content of the waste

1. According to the regulation, in an annex, description of the production process of the waste must be described. If the waste originates from different sources or from collection, there must be added a description of the branch where the waste is collected.
2. According to the regulation, in an annex a chemical analysis of the composition of the waste must be supplied.
  - The description of the waste should:
    - o be as accurate as possible,
    - o contain the narrowest possible range of various characteristics, and
    - o cover 100% of the waste.
    - o The description of the composition or the analysis of the waste should cover 100%
  - in case of mixtures of waste, the fractions that will be recovered should be given;
  - If a proper judgement of the waste demands a chemical analysis, this should be available and should not be older than one year. If the analysis is older than one year, but still appropriate to the waste, this can be stated.,



## Annex 5 Processing of the waste

1. The way in which the waste is to be processed at the facility of destination must be described in an annex.

2. If the waste is destined for recovery (R1 to R13):

On the basis of Annex II, part 1, point 20, of the Regulation, the following must be specified in an annex:

- a) the planned method of disposal for the non-recoverable waste;
- b) the amount of recovered material in relation to non-recoverable waste;
- c) the estimated value of the recovered material (expressed in currency);
- d1) the cost of recovery (expressed in currency);
- d2) the cost of disposal of the non-recoverable waste (expressed in currency).

Points 20c and 20d2 of Annex II relate to the estimated value of recovered material and the costs of disposing of non-recoverable waste. If a processor does not wish to provide this information because of business interests, the notifier can request the consignee/processor to send the required processing information directly to the competent authorities.

3. If the waste is destined for interim recovery or interim disposal:

If the waste is destined for interim recovery or interim disposal at the facility of destination, you should specify where the waste will finally be processed. You should specify in an annex:

- name, address, country, telephone, fax, registration number, contact person and, if available, an e-mail address for all facilities;
- the technology employed at all facilities;
- in the case of green-listed waste (Annex III of Regulation (EC) No. 1013/2006), it is only necessary to specify at sector level where the waste will ultimately be processed.

## Annex 5 IPPC

The following waste-processing facilities fall under the Directive 2008/1/EC concerning integrated pollution prevention and control (IPPC), Annex I category 5.1:

- installations for the disposal of hazardous waste with a capacity of more than 10 tonnes per day;
- installations for the recovery of hazardous waste, for operations R1, R5, R6, R8 or R9 and have a capacity exceeding 10 tonnes per day;
- installations for the disposal of waste oil with a capacity exceeding 10 tonnes per day;
- installations for the incineration of urban waste with a capacity exceeding 3 tonnes per hour;
- installations for the disposal of non-hazardous waste, which perform D8 or D9 activities and have a capacity exceeding 50 tonnes per day;
- disposal sites receiving more than 10 tonnes per day or with a total capacity exceeding 25 000 tonnes, excluding landfills of inert waste.

Annex II, part 1, point 5, of Regulation (EC) No. 1013/2006 refers to 'evidence (e.g. a declaration certifying its existence)'.  
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The notifier must provide evidence that the processor's licence complies with the IPPC. That can be a copy of the facility's licence, showing that the facility complies with IPPC, or an alternative, e.g. a declaration from the authority of destination. The notifier can also draft a declaration. In that case, it is up to the notifier to ensure that the declaration is correct. He can, for example, check with the consignee, who can provide evidence by showing the facility's licence. Or the consignee can contact the competent authority under which the facility falls. You can use a model declaration for this (see [www.ilent.nl/evoa](http://www.ilent.nl/evoa), under Downloads, section 'Verklaring IPPC in de milieuvergunning', available in Dutch, English, German).

It is also sufficient to provide a copy of the licence showing that the facility complies with the IPPC requirements.

A declaration can be provided separately or be part of the offer letter in the notification file or the contract between the notifier and the consignee. A model declaration one can find on [www.ilent.nl/tfs](http://www.ilent.nl/tfs) at the guidelines and downloads.

In the case of the interim disposal of hazardous waste (D13/D14/D15) the facility specified in block 10 will be assessed for IPPC compliance.

For the import of waste, the notifier must comply with the requirements of the authority of dispatch. If the authority forwards the notification to The Human Environment and Transport Inspectorate and there is insufficient information on IPPC compliance, The Human Environment and Transport Inspectorate will not contact the authority or the notifier, but will verify itself if the notification complies with the IPPC.

NB: For export, a declaration is sufficient for The Human Environment and Transport Inspectorate, but the authority of destination may apply a different procedure and may require that other documentation (for example a copy of the licence of the processing facility).