

# The Transfrontier Shipment of Waste

A guide to the international shipment of waste



**ENVIRONMENT  
AGENCY**





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The Environment Agency is the leading public body protecting and improving the environment in England and Wales.

It's our job to make sure that air, land and water are looked after by everyone in today's society, so that tomorrow's generations inherit a cleaner, healthier world.

Our work includes tackling flooding and pollution incidents, reducing industry's impacts on the environment, cleaning up rivers, coastal waters and contaminated land, and improving wildlife habitats.

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# Introduction

This booklet provides guidance for those who intend to transport waste into, out of or through England and Wales. The transfrontier shipment of waste, often abbreviated to TFS, is governed by multilateral environmental agreements that take effect through EU and national legislation. This legislative framework provides a system of control that requires those wishing to ship hazardous wastes to use a consignment note so the countries concerned can provide prior informed consent to the movement. These systems are effected in national states by bodies nominated as competent authorities. The Environment Agency acts as competent authority for England and Wales.

## 1.1 Scope

This booklet provides detailed instructions on how a notifier may apply to ship hazardous wastes across national boundaries. Brief details of the procedures and legislation governing the transboundary movement of non hazardous wastes are provided on page 10.

The arrangements for making transfrontier shipments of hazardous wastes are complex using many unfamiliar terms and abbreviations; these terms [seen in bold when first used] are defined in a glossary on page 34. A list of further relevant guidance documents, legislation and useful websites is on page 30.

This guidance document has been produced for information purposes only. It is not a comprehensive or definitive guide to the law or to Environment Agency policy on the transfrontier shipment of wastes. Any enquiries should be directed to the Agency's Transfrontier Shipment National Service on +44 (0)1925 653 999

## 1.2 The Environment Agency

The Agency is the leading public organisation for protecting and enhancing the environment in England and Wales. We regulate industry and inspect industrial sites to protect the environment and people from pollution and environmental risks to health. We also educate and encourage ever more effective environmental stewardship by industry and all other sectors.

Amongst our other responsibilities as a regulator of waste the Agency is designated as competent authority for England and Wales for the transfrontier shipment of wastes.

The Basel Convention requires all parties to designate a body as a competent authority for the transfrontier shipment of waste. This body is responsible for the operation and enforcement of transfrontier shipment of waste legislation in their state or area of operation. A full list of competent authority contacts can be obtained from the Basel Convention website. Lists of all competent authorities designated by EU member states can be found at the EU website (see page 31 for details).

The United Kingdom (UK) government has designated responsibility for the operation and enforcement of transfrontier shipment of wastes in the UK in the following way:

The Environment Agency is the competent authority (CAs) of dispatch (for exports) and destination (for imports) in England and Wales and is the competent authority of transit for the United Kingdom.

The Scottish Environment Protection Agency (SEPA) is the CA of dispatch (for exports) and destination (for imports) in Scotland.

The 26 Northern Ireland District Councils are the competent authorities of dispatch (for exports) and destination (for imports) in their respective district areas.

# Legislation

## 2.1 Background

During the 1980s, the cost of hazardous waste disposal rose as there was a tightening of environmental regulation in the more industrialised countries. This created an incentive for those trading in waste to seek cheaper ways of disposing of it. One way this was achieved was by shipping the waste to developing countries.

During the 1970s and 1980s there were a number of high-profile cases of uncontrolled dumping of waste exported from developed countries to developing countries, particularly those in Africa, Asia, Latin America and Eastern Europe. As this kind of activity was increasingly revealed, international concern created pressure for global action. The need for controls over the international waste trade was clear.

It is widely recognised that where movements are not properly monitored and controlled the transfrontier movement of hazardous waste can pose a serious threat to both human health and the environment. A number of multilateral environmental agreements (MEAs) that relate to transfrontier shipment of waste are now in place.

The first MEA concerning international waste movements was the Basel Convention of 1989, which established the framework control system. The OECD Decision of 1992 sets out the control system for international movements of waste for recovery between the most economically developed countries of the world. The obligations of European Union Member States under these MEAs have primarily been implemented by the Waste Shipments Regulation, which constitutes the formal control framework for waste movements between, into and out of Member States. The Transfrontier Shipment of Waste Regulations 1994 gives full effect to the Waste Shipments Regulation in the United Kingdom. In addition, the UK Plan sets out the Government's policies on exports from and imports into the UK of wastes for both disposal and recovery.

In general, the controls on transfrontier shipments of waste aim to ensure a high level of protection of the

environment and human health. They also aim to prevent the unauthorised disposal of international waste shipments and the unregulated recovery of hazardous waste shipments, without hindering the legitimate trade in waste.

## 2.2 Basel Convention

The Basel Convention was the first MEA to set out controls on the transboundary movement of hazardous wastes. It came into force in May 1992 when it had been ratified by 20 states. Although the title of the Convention refers only to disposal, its controls apply to movements of waste for both disposal and recovery. The Convention has now been ratified by more than 140 parties (see page 32 and 33 for details).

The three main objectives of the Convention are:

- to reduce transboundary movements of hazardous wastes and other wastes to a minimum consistent with their environmentally sound management;
- to treat and dispose of hazardous wastes and other wastes as close as possible to their source of generation in an environmentally sound way;
- to minimise the generation of hazardous wastes and other wastes (in terms of quantity and potential hazard).

The Convention established a system of controls for the transfrontier shipment of waste based on 'prior informed consent'. This requires a notification document, which sets out the details of a proposed movement, to be completed and sent to the competent authorities in the countries of export, import and transit for their assessment and authorisation.

In 1995 a key amendment to the Convention was negotiated. This prohibits the export of hazardous wastes for either disposal or recovery from countries listed in a proposed new annex to the Convention

(Annex VIII - Parties that are members of the EU, OECD, Liechtenstein) to all other parties to the Convention. The EU has, already implemented the export ban through an amendment to the Waste Shipments Regulation.

Article 11 of the Convention allows parties to enter into other agreements concerning transfrontier movements as long as they do not deviate from the environmentally sound management of wastes required by the Convention. The OECD Decision is such an agreement.

### 2.3 The OECD decision

The OECD Decision effectively creates a streamlined system for regulating movements of hazardous waste for recovery between OECD countries in accordance with the framework established by the Basel Convention.

The Organisation for Economic Co-operation and Development (OECD) is made up of the world's most economically developed countries (see appendix for details). It provides governments with a forum to discuss and develop economic and social policy. The OECD Decision was adopted as a multilateral agreement under Article 11 of the Basel Convention. It created an international mechanism to control transfrontier movements of wastes destined for recovery operations between OECD countries. It does not control movements of waste for disposal and only applies to OECD member countries.

The OECD Decision classifies wastes to be recovered into one of three categories according to their hazard, **the green list, amber list and red list**. A green list waste is considered non-hazardous and is not controlled by the OECD Decision, when moving between OECD countries. Green listed wastes are only subject to existing controls for commercial transactions. If a waste is listed on the amber or red list, it is considered hazardous and is subject to the OECD Decision.

In accordance with the OECD Decision, details relating to the planned transfrontier movement must be given to the appropriate competent authorities using the OECD notification form for their assessment and consent.

As the OECD Decision is an international agreement, it requires transposition into national laws for formal implementation. In the EU, it is given legal effect by the Waste Shipments Regulation and, for some provisions, the enactment of national laws. The

OECD decision was revised in 2001 although this is yet to have been implemented in the EU.

### 2.4 Waste Shipments Regulation

The Waste Shipments Regulation (WSR) gives effect in the EU to a number of important international agreements and conventions; including the Basel Convention and OECD Decision. It sets out the controls that apply to waste movements within, into and out of the EU.

The WSR covers transfrontier shipments of waste within, into and out of the European Union, although certain waste movements are excluded from its provisions. These exclusions are listed in Article 1(2) and include civil aviation waste, radioactive waste and certain other wastes "where they are already covered by other relevant legislation". Apart from these exclusions, all transfrontier shipments of waste for disposal are covered by the WSR. Waste destined for recovery operations and listed in Annex II (the green list) is also generally excluded from the provisions of the WSR. It should be noted, however, that movements of green list waste for recovery between Member States must be accompanied by the information required under Article 11.

The transfrontier shipment control system is based on 'prior informed consent'. It requires notification, where appropriate, to the competent authorities of dispatch, destination and transit, using a consignment note containing prescribed information. The regulation also requires shipments of hazardous waste to be covered by a financial guarantee.

The WSR was amended by Council Regulation (EC) 120/97 implementing what is referred to as the Basel export ban. This amendment prohibits the export of hazardous wastes listed in Annex V to the WSR to countries that are not parties to the OECD Decision.

The WSR is directly applicable – that is, most of its provisions do not require transposition into national legislation. Some matters, however, require national legislation to give full effect to the provisions. In the UK, this is contained in a Statutory Instrument, The Transfrontier Shipment of Waste Regulations 1994.

## 2.5 The transfrontier shipment of waste regulations 1994

The Transfrontier Shipment of Waste Regulations 1994 is a Statutory Instrument that gives full effect to the provisions of the Waste Shipments Regulation. It identifies matters such as offences and penalties, and designates the competent authorities responsible for enforcing the Waste Shipments Regulation.

The main provisions of these UK regulations are:

- identification of the UK correspondent and competent authorities for the transfrontier shipment of waste in England and Wales, Scotland, Northern Ireland and for waste transiting the UK;
- the requirement that no waste be shipped into or out of the UK unless the competent authority has issued a certificate stating that it is satisfied that a financial guarantee or equivalent insurance is in place, or will be in place at the time of shipment;
- competent authorities are given the power to serve notices to ensure the return of waste where it is required under Article 25 or 26 of the Waste Shipments Regulation;
- HM Customs & Excise are given the power to detain a waste shipment for up to three working days following a request from a competent authority;
- the provision for the preparation of a waste management plan in accordance with the Waste Framework Directive;
- specification of offences, defences and penalties.

## 2.6 The United Kingdom management plan for exports and imports of waste

In addition to the Waste Shipments Regulation and the Transfrontier Shipment of Waste Regulations 1994, the UK has a statutory policy document, the United Kingdom Management Plan for Exports and Imports of Waste (the Plan). The Plan sets out the Government's policies on exports out of and imports into the UK of waste for disposal and recovery.

The Plan came into operation on 1 June 1996. It takes account of the UK's international obligations, in particular the Basel Convention, as well as those that arise from implementing the Waste Framework Directive and the Waste Shipments Regulation. Specifically, it fulfils a requirement of the Transfrontier Shipment of Waste Regulations 1994 for the Secretary of State to prepare a waste

management plan in accordance with the **Waste Framework Directive**. The Plan applies to shipments of waste covered by the Waste Shipments Regulation. There are a number of key objectives that underpin the approach taken in the Plan. They are to:

- ensure a high level of protection of the environment and human health
- minimise transfrontier movements of waste for disposal
- implement the principles of priority for recovery, national self-sufficiency and proximity in waste disposal
- ensure the environmentally sound management of transboundary movements of waste involving the UK
- promote the movement of waste up the waste hierarchy and, ultimately, a reduction in waste generation.

The Plan contains a number of policies aimed at achieving the above objective together with detailed guidance to enforcement authorities and those involved in the international waste trade.

## 2.7 Circular 13/94

Circular 13/94 reproduces the full text of the Waste Shipments Regulation and gives guidance on its implementation in the UK.

The Department of the Environment's guidance in the Circular is advisory, with one exception: the requirement for UK competent authorities to provide certain information, relating to notifications processed, to the Secretary of State. As the circular is otherwise advisory, it cannot be regarded as a complete guide to the law. Ultimately, the European Court of Justice is the body responsible for the legal interpretation of WSR.

# Shipments of waste for Disposal

Disposal operations are waste management operations where the principal objective is the disposal of waste arisings. Waste management operations that are considered to be disposal operations are defined in Annex I(e) of EC Directive No. 91/156/EEC (the **Waste Framework Directive**). The disposal operations permitted in the UK are listed in a table on page 14.

## 3.1 Imports of waste for disposal

In accordance with the principles of priority for recovery, self sufficiency and proximity, the general policy is that wastes should not be imported for disposal in the UK.

This policy is based upon the Basel Convention principle that any state has the sovereign right to ban the entry or disposal of foreign wastes in its territory. There are a number of exceptions to this ban, although imports for certain disposal operations are banned without exception.

The UK may accept imports for disposal from:

- **countries outside the EU** that do not have, and cannot reasonably acquire, the technical capacity and necessary facilities to dispose of the waste in question in an environmentally sound manner. Governments of states that are parties to the Basel Convention must seek the agreement of the UK competent authorities to dispose of wastes in the UK by making a **Duly Motivated Request (DMR)**. Governments of states that are not parties to the Basel Convention must seek the agreement of the UK correspondent to dispose of wastes in the UK by concluding a **Bilateral agreement**. Imports of waste into the UK from outside the EU are made under the system of prior informed consent prescribed by Articles 19 and 20 of the Waste Shipments Regulation.
- **countries within the EU** that produce hazardous wastes in such small quantities that the provision of

new specialised disposal facilities within that state would be uneconomical. Currently Ireland and Portugal are permitted to export hazardous waste to the UK for high temperature incineration (D10). Imports of waste into the UK from inside the EU are made under the system of prior informed consent prescribed by Articles 3, 4 and 5 of the Waste Shipments Regulation. All Members States are permitted to export halon wastes to the UK for Specialists disposal.

## 3.2 Exports of waste for disposal

All exports of wastes from the EU for disposal are prohibited. It is the Government's policy that no waste should be exported from the UK for disposal. This policy is in accordance with the principle of self-sufficiency in waste disposal. It recognises the fact that the UK is a developed country and has the technical capacity and extensive disposal facilities to deal with its own waste.

## 3.3 Duly motivated requests

The Environment Agency is charged with the assessment of DMRs made in respect of certain imports for disposal to England and Wales. The key part of this assessment considers whether the state of export has or can reasonably acquire the necessary technology to dispose of the waste itself. Further information on the assessment of DMRs is available in our document Determination of Duly Motivated Requests (see page 30). Details of all current DMRs can be obtained from the TFS National Service (Tel: +44 (0)1925 653 999).

## Shipment of waste for recovery

Recovery operations are waste management operations where the principal objective is to recover all or part of a waste arising. Waste management operations that are considered to be recovery operations are defined in Annex I(f) of the Waste Framework Directive. The recovery operations permitted in the UK are listed in a table on page 15.

Within the EU shipments of waste destined for recovery operations are regulated under the provisions of the Waste Shipments Regulation that enact the system prescribed by the OECD Decision.

The OECD system classifies waste into three categories according to their hazard:

- **green list wastes** (see Annex II of the Waste Shipments Regulation) are considered to be non-hazardous;
- **amber list wastes** (see Annex III of the Waste Shipments Regulation) are considered to be hazardous ;
- **red list wastes** (see Annex IV to the Waste Shipments Regulation) are considered to be the most hazardous.

Wastes that do not appear in the green, amber or red list are regarded as unassigned. Shipments of unassigned wastes may only be shipped under the system of prior informed consent prescribed for red list wastes.

### 4.1 Shipments of green list waste

Shipments of green list waste between countries covered by the OECD Decision

Green list waste movements between countries covered by the OECD Decision are not subject to

control, as the OECD system establishes procedures only for transfrontier shipments of hazardous wastes. It should be noted that movements of green list waste for recovery between EU Member States must be accompanied by information which is specified in Article 11 of the Waste Shipments Regulation. Green list waste may be exported from any country to another country that is party to the OECD Decision.

Exports of green list waste to countries not covered by the OECD Decision

The European Commission has contacted all countries not covered by the OECD Decision , in accordance with Article 17(1) of the WSR, asking if they will accept green list wastes and if so , which control system should be applied to those movements. Council Regulation (EC) No. 1420/1999 (as amended) and Commission Regulation (EC) No. 1547/1999 (as amended) detail the controls associated with those responses.

### 4.2 Shipments of amber list and red list waste

The system of regulatory control for shipments of hazardous wastes to recovery operations is prescribed by the procedures for amber and red listed wastes. Both the amber and red list procedures require the provision of a completed notification form, movement tracking form and supplementary information to the competent authorities concerned,

for their assessment and authorisation. The difference between the two procedures is the way in which a competent authority may indicate its consent or authorisation.

Shipments of amber list wastes are subject to a streamlined procedure, where shipments may proceed in the absence of objections from the competent authorities concerned within a statutory assessment period. This is known as tacit consent. The procedures used for shipments of amber list wastes are prescribed in Articles 6, 7 and 8 of the Waste Shipments Regulation.

Shipments of red list and unassigned wastes require the written consent of all the competent authorities concerned prior to the shipment of the waste. This written consent must be given by the competent authorities within a statutory assessment period. The procedures used for shipments of red list and unassigned wastes are prescribed in Article 10 of the Waste Shipments Regulation.

### 4.3 Imports into the UK

Imports of all wastes for recovery are permitted from countries that are parties to the OECD Decision and/or the Basel Convention. Countries that are not parties to the Basel Convention, but who wish to ship waste for recovery in the UK, must conclude a bilateral agreement with the UK correspondent or the EU.

### 4.4 Exports from the UK

Exports of amber list, red list and unassigned wastes are permitted to countries that are parties to the OECD Decision. The export of hazardous wastes, as listed in Annex V to the Waste Shipments Regulation (see page 30) to non-OECD countries is prohibited.

### 4.5 Pre-authorised sites

Consistent with the OECD Decision, the Waste Shipments Regulation allows importing countries to give "pre-authorised" status to designated recovery facilities for the movement of certain wastes. The competent authority that has given "pre-consent" cannot object to movements of identified types of waste to that facility.

Shipments of waste to pre-authorised sites in the EU are made under the procedures prescribed by Article 9 of the Waste Shipments Regulation. A Notification form must be sent to all competent authorities concerned. The Agency acting as the competent

authority of destination stamps block 24 of the Notification form to indicate that we have been supplied with the Notification form. The authorities of dispatch and transit may consent or raise objections to the shipment in the normal way.

Countries that have given pre-consent to particular facilities must advise the OECD Secretariat and the European Commission providing the relevant details. Facilities that have been granted pre-consent status are listed in Annex F to the OECD Decision. Alternatively, the TFS National Service can provide details of pre authorisations issued.

## The Forms

Within the EU the control system provided by the Waste Shipments Regulation requires the notifier to inform the relevant competent authorities of the details of the proposed shipment by completing a Notification form and Movement tracking form.

These forms are completed by the notifier who sends the completed forms together with certain supplementary information for assessment by the relevant competent authorities. This section shows how the forms should be completed.

### 5.1 How to obtain the forms?

In most cases, the TFS Notification and Movement tracking forms are provided by the competent authority in the state of dispatch. Notifiers wishing to export waste from England and Wales should obtain a "GB" prefixed Notification and Movement tracking form from the Environment Agency. Notifiers wishing to export waste from Scotland or Northern Ireland should contact the relevant for those states (see page 4). Notifiers wishing to import waste into the UK should obtain a Notification and Movement tracking form from the competent authority in the state of dispatch. A full list of competent authorities can be obtained from the Basel Convention website ([www.basel.int](http://www.basel.int)).

If you intend to export waste from England and Wales, the TFS National Service will provide the necessary forms. To contact the TFS National Service call +44 (0)1925 653 999.

### 5.2 Charges

Most competent authorities will apply charges for assessing TFS Notification packages for proposed shipments of hazardous waste. The notifier should contact the relevant competent authorities to obtain details of their charging scheme. The Agency's charges for the assessment and monitoring of TFS

shipments are as follows (correct as of 1 January 2004):

Assessment to ship waste for a disposal operation: £878 per notification.

Assessment to ship waste for a recovery operation: £323 per notification.

Shipment monitoring charge: £25 per shipment.

The Agency expects payment to be received with the notification package. If payment is not received with the notification package an invoice will be issued. Details of how these charges can be paid should be obtained from the TFS National Service (Tel: +44 (0)1925 653 999).

### 5.3 General points on the completion of the forms

The notification must be completed in a language acceptable to the competent authorities concerned. The Agency will only accept Notification Packages completed in English or accompanied by a translation. All competent authorities accept notification packages completed in English; Annex F to the OECD Decision provides the details of other languages accepted by competent authorities.

Typescript or block capitals in permanent ink should be used. Signatures should always be made in permanent ink.

All blocks of the notification form should be completed by the Notifier/exporter. N/A should be inserted if a block cannot be completed, because the required information is not applicable.

An annex should be used when there is insufficient space on the form for all the necessary information.

### Notification form

Completion of blocks 1 to 10 prior to submission of the Notification Package, see pages 14 & 15

Completion of blocks 11 to 19 prior to submission of the Notification Package, see pages 16 & 17

Completion of blocks 20 to 25 prior to submission of the Notification Package, see pages 18 & 19

EUROPEAN COMMUNITY (a) TRANSFRONTIER MOVEMENT OF WASTE Notification Form

COPY FOR: The authority issuing the authorisation	1. Notifier/reporter (name, address) and registration No. (where applicable): To: _____ Contact person: _____		3. Notification concerning (1): A (1) Single movement (1) (Disposal use only) <input type="checkbox"/> (2) Multiple movements (1) (Recovery operation) <input type="checkbox"/> C* Pre-authorized recovery <input type="checkbox"/> Legality <input type="checkbox"/> * Only to be completed if B still applies	
	2. Consignee (name, address) and registration No. where applicable: To: _____ Contact person: _____		4. Total included number of shipments: _____	
	7. Intended carrier(s)* (name, address) and registration No. (where applicable): To: _____ Contact person: _____		5. Total intended quantity (kg): _____	
	10. Waste generator/producer (name and address): To: _____ Contact person: _____		6. First shipment: _____ Date of departure of last shipment: _____ Date of arrival: _____	
	11. Process and location of generation: * (attach details if necessary)		8. Disposal/recovery facility (name, location, address): To: _____ Facility: _____ * (attach details if more applicable): Contact person: _____	
	13. Name and chemical composition of the waste:		9. Code No. of disposal/recovery operation (2): and technology employed: * (attach details if necessary)	
	15. Waste identification code: - in country of export/dispatch: - in country of import/destination: International Waste Identification Code (IWIC): European Waste Catalogue (EWC): Other (specify):		14. Physical characteristics (2):	
	16. OECD classification: Number: _____ and number: _____ other: _____ * (attach details)		17. Y number: _____	
	19. UN identification number: and proper shipping name:		18. H number (2): _____	
	20. Concerned countries (2), code numbers of competent authorities (where applicable), and specific points of entry and exit: Country of export/dispatch: _____ Country of import/destination: _____		21. Customs office of entry and/or departure: Entry: _____ Departure: _____ 22. Number of annexes attached: _____ Name: _____ Date: _____	
23. TO BE COMPLETED BY COMPETENT AUTHORITY OF IMPORT/EXPORT COUNTRY: Notification received: _____ Acknowledgement sent on: _____ Name of competent authority, stamp and/or signature: _____		24. TO BE COMPLETED BY COMPETENT AUTHORITY OF DESTINATION COUNTRY: Notification received: _____ Acknowledgement sent on: _____ Name of competent authority, stamp and/or signature: _____  Consent expires on: _____ Specific conditions: _____ * Not required for amber list wastes under OECD decision		

(1) Enter X in the appropriate boxes. See codes on the reverse.  
(2) Forms also used by OECD.  
(b) Indicate one of the two. Competent authorities are allowed to ask for the quantity in kg only.

FED 1014 (1/95) (50)

### Movement tracking form

EUROPEAN COMMUNITY (a) TRANSFRONTIER MOVEMENT OF WASTE Movement/Tracking Form

COPY FOR:	1. Notifier/reporter (name, address) and registration No. (where applicable): To: _____ Contact person: _____		7. Corresponding No. XXXXXX	
	2. Consignee (name, address) and registration No. where applicable: To: _____ Contact person: _____		8. Disposal/recovery facility (name, location, address): To: _____ Facility: _____ * (attach details if more applicable): Contact person: _____	
	5. 1st Carrier (name, address): Registration No. (where applicable): To: _____ Contact person: _____		6. 2nd Carrier (3) (name, address): Registration No. (where applicable): To: _____ Contact person: _____	
	10. Identity of means of transport: Date of transfer: Signature of Carrier's Representative:		11. Identity of means of transport: Date of transfer: Signature of Carrier's Representative:	
	13. Name and chemical composition of the waste:		14. Physical characteristics (2)	
	15. Waste identification code: - in country of export/dispatch: - in country of import/destination: International Waste Identification Code (IWIC): European Waste Catalogue (EWC): Other (specify):		17. Actual quantity (kg): _____	
	16. OECD classification: (1): _____ and number: _____ other: _____ * (attach details)		19. UN identification number: and proper shipping name:	
	20. Special handling instructions: 22. Notifier/reporter's declaration: I certify that the information in blocks 1 to 20 is correct and to the best of my knowledge. I also certify that legally-enforceable measures have been entered into, that any applicable insurance or other financial guarantees have been entered into, and that: (i) all necessary consents have been received; or (ii) the shipment is directed at a recovery facility within the OECD area; or (iii) the shipment is directed from any of the concerned countries within the 30 day period; or (iv) the shipment is directed at a facility pre-authorized for that type of waste and such an authorisation has not been revoked, and no objection has been received from the concerned countries.		21. Actual date of shipment: Name: _____ Date: _____ * (delete sentence not applicable)	
	23. Shipment received by consignee on: (if not disposal/recovery facility) Quantity received (b): _____ Kg Date: _____ Name: _____ Signature: _____		25. I certify that the disposal/recovery of the waste described above has been completed: Date: _____ Name: _____ Signature: _____	
	24. Shipment received at disposal/recovery facility on: Quantity received (b): _____ Kg Date: _____ Name: _____ Signature: _____		Disposal/recovery to be completed by: Method of disposal/recovery: * (immediately contact competent authorities)	

(1) Enter X in the appropriate boxes. See codes on the reverse.  
(2) Forms also used by OECD.  
(b) Indicate one of the two. Competent authorities are allowed to ask for the quantity in kg only.

FED 1015 (1/95) (50) BOE 5000

Completion of blocks prior to submission of the Notification package, see page 20

Completion of blocks during a shipment of waste, see page 28

Completion of blocks prior to pre-notification of a shipment of the waste, see pages 26

Completion of blocks following receipt of a shipment of waste, see page 29

# Notification form

## How to complete blocks 1 to 10.

**Block 1:** provide the company name, address, telephone number, fax number and the contact name of the notifier. Where the notifier is a waste broker, provide their **Waste Broker's Registration Number**. The Agency issue Waste Broker Registration Certificates

**Block 3(A):** insert a cross (x) to indicate whether the notification is intended to cover (i) a **Single movement** of waste or (ii) a **General notification** of waste.

**Block 2:** provide the company name, address, telephone number, fax number, contact name and licence or authorisation number of the **consignee**.

**Block 7:** provide the company name, address, telephone number, fax number and contact name of all the carriers. Where the use of a number of carriers is necessary, provide their details in an annex. All carriers who intend to carry waste by road or rail in the United Kingdom must register as a Waste Carrier. The Agency registers waste carriers in England and Wales. Provide the **Waste Carrier Registration** number in this block.

**Block 10:** provide the company name, address, telephone number, fax number and contact name of the **waste producer(s)**. Where there are a number of waste producers, provide these details in an annex

EUROPEAN COMMUNITY (a)	
The Authority issuing the acknowledgement	1. Notifier/exporter (name, address) and registration No. where applicable <input type="checkbox"/>
	Tel: Contact person:
	2. Consignee (name, address) and registration No. where applicable
	Tel: Contact person:
	7. Intended carrier(s)* (name, address) and registration No. where applicable
COP/EXPORT	10. Waste generator/producer (name and address):
	Tel: Contact person: Process and location of generation: * * (attach details if necessary)

**Block 9:** provide an appropriate "R" or "S" code to be employed. Please refer to the list of codes

**Disposal codes for the completion of block 9.**

DISPOSAL (NO RECOVERY).

- D1 Deposit into or onto land.
- D2 Land treatment.
- D3 Deep injection.
- D4 Surface impoundment.
- D5 Specially engineered landfill.
- D8 Biological treatment not specified elsewhere in the list which results in final compounds or mixtures which are discarded by means of any of the operations numbered D1 to D12.
- D9 Physio-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 numbered D1 to D12.
- D10 Incineration on land.
- D13 Blending or mixing prior to submission to any of the operations numbered D1 to D12.
- D14 Repackaging prior to submission to any of the operations numbered D1 to D12.
- D15 Storage pending any of the operations numbered D1 to D12.

Note: Operations coded D6, D7, D11 & D12 are prohibited by the UK Plan.



**Block 3(B):** insert a cross (x) to indicate whether the proposed operation involves either (i) a Disposal operation or (ii) a Recovery operation.

**Block 3(C):** (Only relevant to shipments of waste for recovery operations) insert a cross (x) to indicate whether the recovery facility (as stated in block 8) is **pre-authorized** in accordance with Article 9 of Council Regulation (EEC) No. 259/93.

**Block 4:** provide the number of shipments that will be made. The entry in this block should be consistent with the entry in block 3(A).

**Block 5:** provide the total quantity of the proposed shipment(s) by weight in Kilograms (Kg) or by volume in litres (l).

**Block 6:** provide the first intended date of shipment and the final intended date of shipment. The difference between the two dates should not exceed 12 months.

**Block 8:** provide the company name, address, telephone number, fax number and contact name of the disposal/recovery site. Provide the site's licence number and its limit of validity. In England and Wales this would commonly be a Waste Management Licence number or PPC consent number.

**TRANSFRONTIER MOVEMENT OF WASTE  
Notification**

3. Notification concerning (1): No. XXXXXXXX

A (i) Single movement  (ii) General notification (multiple movements)

(i) Disposal (no recovery)  (ii) Recovery operation

C\* Pre-authorized recovery facility  no

where applicable:  
\* (Only to be completed if B (ii) applies)

4. Total intended number of shipments: Fax: 5. Total intended quantity (kg or litres):

6. First shipment date: Departure of last shipment not after:

8. Disposal/recovery facility (name, location, address):

Tel: Fax:    
 Registration No.    
 and limit of validity:    
 Contact person:

9. Code No. of disposal/recovery operation (2):  
and technology employed: \*  
\* (attach details if necessary)

" or "D" code and the technology to be used.

- Recovery codes for the completion of block 9**
- RECOVERY OPERATIONS
- R1 Use as a fuel (other than in direct incineration) or other means to generate energy.
  - R2 Solvent reclamation/regeneration.
  - R3 Recycling/reclamation of organic substances 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.
  - R11 Uses of residual materials obtained from any of the operations numbered R1 to R10.
  - R12 Exchange of wastes for submission to any of the operations numbered R1 to R11.
  - R13 Accumulation of material intended for any operation numbered R1 to R12.



# Notification form

## How to complete blocks 11 to 19.

**Mode of transport code for the completion of block 11.**

R = Road  
 T = Train / rail  
 S = Sea  
 A = Air  
 W = Inland waterways

**Block 11:** provide a code for each mode of transport used for each leg of the journey. For example, a shipment travelling by road to a port, by ship to the UK and again by road to the consignee should be coded R-S-R. Please refer to the codes provided

**Block 12:** provide a code for each packaging type being used. Please refer to the codes provided.

**Block 13:** provide the name by which the waste is commonly known, together with the chemical names of the constituents and their concentration or composition.

**Block 15:** provide a code that describes the waste. The Agency accepts the use of the International Waste Identification Code (IWIC) [*This code can be found in the OECD Control System Guidance manual*] or the European Waste Catalogue Code (EWC) [*This code can be found in Commission Decision 2000/532/EC as amended by 2001/118/EC*].

**Block 16:** (Only relevant to shipments of waste for recovery operations) insert a cross (x) to indicate whether the waste is considered to be "amber list" or "red list" under the OECD System. Please enter the OECD classification number that describes the waste. A cross (x) in the "other" box indicates that the waste is not listed under the OECD Classification System and is regarded as "unassigned". Where a waste is considered as being "unassigned", provide a full description of the waste.

11.

13. Name and chemical composition of the waste:

---

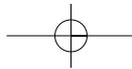
15. Waste identification code:  
 - in country of export/dispatch:  
 - in country of import/destination:  
 International Waste Identification Code (IWIC):  
 European Waste Catalogue (EWC):  
 Other (specify):

---

16. OECD classification number  and number: 19  
 other\*  \* (attach details)

**Hazard number and UN class codes**

UN Class	H Number	Designation
1	H1	Explosive
3	H3	Inflammable
4.1	H4.1	Inflammable
4.2	H4.2	Substances causing combustion
4.3	H4.3	Substances causing emission of inflammable gas
5.1	H5.1	Oxidising
5.2	H5.2	Organic peroxide
6.1	H6.1	Poisonous (acute)
6.2	H6.2	Infectious substances
8	H8	Corrosives
9	H10	Liberation of toxic gas
9	H11	Toxic (delayed action)
9	H12	Ecotoxic
9	H13	Capable, by reaction with another material, of releasing a gas the characteristics of which are such as to be highly toxic, corrosive or irritant



**2:**  
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- Packaging codes for the completion of block 12.**
1. Drum
  2. Wooden Barrel
  3. Jerrican
  4. Box
  5. Bag
  6. Composite packaging
  7. Pressure receptacle
  8. Bulk
  9. Other (specify)

- Physical characteristic used for the completion of block 14.**
1. Powdery/Powder
  2. Solid
  3. Viscous/Paste
  4. Sludgy
  5. Liquid
  6. Gaseous
  7. Other (specify)

11.Mode(s) of transport (2):	12.Packaging type(s) (2):	14.Physical characteri
		17.Y number:
		18.H number (2):
19.UN identification number: and proper shipping name:		

**Block 14:** provide a code describing the physical characteristics of the waste. Please refer to the list of codes provided.

**Block 17:** provide a Y code number describing the waste. These codes can be found in the *Basel Convention and OECD Guidance Manual*.

**Block 18:** provide hazard code(s) representing the hazardous properties of the waste. Please refer to the list of codes provided.

**Block 19:** provide the UN identification number, UN class and proper shipping name of the waste. These codes are listed in the *UN Recommendations on the Transport of Dangerous Goods*.

**Codes for the completion of blocks 18 & 19.**

ion

ble liquids

ble solids

es or wastes liable to spontaneous on

es or wastes which, in contact with water mmable gases

peroxides

s (acute)

substances

s

n of toxic gases in contact with air and water layed or chronic)

by any means, after disposal, of yielding material, e.g. leachate, which possesses any aracteristics above.



## Notification form

### How to complete blocks 20 to 25.

**Block 20:** provide the country code for each competent authority and the point of entry/exit for the countries of dispatch, destination and all the countries of transit. Where a country code does not exist for a competent authority, provide the name of that country. Please see the list of codes for OCED countries provided.

**Block 21:** this block should only be completed only when the proposed waste shipments enter, exit or pass through the EU. Provide the customs office of entry into or departure from the EU.

**Block 22:** provide the number of annexes containing information that cannot be entered on the form. All annexes should be cross-referenced to the Notification.

**Block 24:** Do not complete. The Competent Authority of Destination [in most cases] will complete this block, indicating acknowledgement of receipt of the document and the start of the statutory assessment period.

20. Concerned countries (2), code numbers of competent au		Transit
Country of export/dispatch		
21. Customs offices of entry and/or departure (EU countries)		22. Number of annexes attached: Name: Date:
Entry:	Departure:	
FOR USE BY COMPETENT AUTHORITY OF IMPORT/DESTINATION		
24. TO BE COMPLETED BY COMPETENT AUTHORITY OF IMPORT/DESTINATION		
Notification received on: Name of competent authority, stamp and/or signature		
Acknowledgement sent on: Name of competent authority, stamp and/or signature		

### OECD country codes for the completion of block 20

 Australia AU	 Germany DE	 Liechtenstein LI	 Portugal PT
 Austria AT	 Greece GR	 Luxembourg LU	 Spain ES
 Belgium BE	 Hungary HU	 Mexico MX	 Sweden SE
 Canada CA	 Iceland IS	 Netherlands NL	 Switzerland CH
 Czech Rep. CZ	 Ireland IE	 New Zealand NZ	 Turkey TR
 Denmark DK	 Italy IT	 Norway NO	 United Kingdom GB
 Finland FI	 Japan JP	 Poland PL	 United States US
 France FR	 Korea KR		

(NB: Competent authorities often require a code consisting of letters and numbers e.g. the Agency acting as the competent authority of dispatch and destination is coded GB01; for transit GB00. Competent authorities should be contacted to ascertain the number code.)

Competent authorities (where applicable), and specific points of entry and exit	
Country of import	Country of destination
Notifier's declaration: I certify that the above information is true to the best of my knowledge. I also certify that legally-enforceable waste has not been entered into and that any applicable insurance or other financial arrangements covering the transfrontier movement.	
Name of competent authority, stamp and/or signature	
Consent expires on: <input type="checkbox"/> yes <input type="checkbox"/> no (see block 26 overleaf)	

**Block 23:** complete the original form with the notifier/exporter dated original signature and contact name.

**Block 25:** Do not complete. The Competent Authorities will complete this block to indicate their **authorisation, consent or objection** to the Notification.



## Supporting information

As well as completing of the Notification and Movement tracking form, the notifier is obliged by the regulations to provide the relevant competent authorities with certain supplementary information for their assessment. This information together with the completed forms is referred to as the Notification package.

### 6.1 Annexes

All annexes used to provide information required by the notification and movement tracking forms should be included in the Notification package. All annexes should be referenced to the Notification forms number and the block they refer to. The total number of annexes used should be indicated in block 22 of the Notification form.

### 6.2 Contracts

The Waste Shipments Regulation requires that the notifier must conclude a contract with the consignee for the disposal/recovery of the waste. The Agency require a copy of this contract to be supplied for assessment with the Notification package.

The Waste Shipments Regulation also requires that certain obligations are included in the contract between the notifier and consignee.

For shipments of waste to disposal and recovery operations within the EU, the following obligations must be included:

“of the notifier, in accordance with Article 25(2) and Article 26(2), to take the waste back if the shipment has not been completed as planned or if it has been effected in violation of this Regulation; of the consignee, to provide as soon as possible and no later than 180 days following receipt of the waste, a certificate to the notifier that the waste has been disposed of in an environmentally sound manner”. For shipments of waste to

recovery operations only, a further obligation must be included:

“of the consignee to provide, in the case of retransfer of the waste for recovery to another Member State or to a third country, the notification of the initial country of dispatch”.

For exports of waste to countries outside the EU different contractual obligations are required by the Waste Shipment Regulation.

### 6.3 Genuine recovery

This information is required for shipments of waste to recovery operations only. The UK Management Plan for Exports and Imports of Waste and Waste Shipments Regulation require the Agency to consider both environmental and economic factors in deciding whether a transboundary shipment is genuinely being made for the purpose of recovery.

For shipments of waste for recovery, the Waste Shipments Regulation requires the notifier or consignee to provide certain information to aid the assessment of genuine recovery. The following information is required for this assessment:

- the planned method of disposal for the residual waste after recycling has taken place;
- the amount of the recycled material in relation to the recovered waste;
- the estimated value of the recycled material (as required under Article 6(5) of the Waste

Shipments Regulation (EEC) No. 259/93.).

Please note, this information will be treated as commercially confidential by the Agency.

In addition to the Notification package, the regulations require that insurance and a financial guarantee be in place prior to the shipment of the waste.

#### 6.4 Insurance

Liability insurance is taken out in case the insured is sued for damages. This should ensure that there are sufficient funds available to compensate for losses incurred which have been caused by the insured or for which the insured is otherwise liable.

The Agency does not require insurance details to be submitted with the Notification package. Instead it applies a transport condition to Notifications that requires adequate insurance to be in place. The condition applied by the Agency is as follows:

“Whilst the waste is in transit between the notifier and consignee in England and Wales (for imports and exports)/ the United Kingdom (for transit) (for the avoidance of doubt this involves intermediate storage before reaching the consignee), insurance against third parties howsoever caused arising out of the movement of the waste shall be in force.”

Notifiers may wish to seek expert advice in about liability insurance from insurance brokers or insurance industry associations.

#### 6.5 Financial guarantee

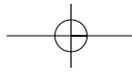
The regulations require a financial guarantee to be in place prior to the shipment of the waste. The Agency does not require a guarantee to be submitted with the Notification package, although other CAs may not process a notification unless it is in place. A financial guarantee is a calculated fund of money deposited with a bank, insurance company or a competent authority that can be drawn upon by the competent authorities concerned if a shipment of waste cannot be completed as planned. Regulation 7 of the Transfrontier Shipment of Waste Regulations 1994 requires a financial guarantee to be in place for all transboundary shipments of hazardous waste entering leaving or transiting the UK.

The Agency must ensure it has access to a fund of money to cover the costs of:

- shipment, including re-shipment to the country of origin or an alternative destination;
- disposal or recovery, including alternative, environmentally sound disposal or recovery operations
- if the consignment cannot be completed by the parties concerned in terms of the original consignment note, and in cases of “illegal traffic”.

The Agency must be satisfied that a financial guarantee or equivalent insurance is in place prior to the commencement of shipments of waste. The Agency indicates its approval of a financial guarantee by issuing a **Certificate of Satisfaction**.

More information, is available in the work instruction “Financial guarantee for the transfrontier shipment of waste (TFS)”. This document details the different types of guarantee; how they are calculated, how they are assessed and provides templates for each type of guarantee. This document can be obtained by contacting the TFS National Service.



### 6.6 Notification package checklist

Use the form below to check that all elements of the Notification package have been addressed before the documents are submitted to the competent authorities for assessment.

### 6.7 Where to send the notification package for imports into England and Wales

The Notification package containing the original Notification and Movement tracking form (in most cases), should be sent to the Environment Agency acting as the competent authority of destination. Copies of the Notification package should be sent to the competent authority of dispatch and all the competent authorities of transit. Some competent authorities of dispatch insist on assessing the original Notification package before it is sent to the competent authority of destination. Following this assessment, they will transmit the original Notification package to the competent authority of destination. The notifier should contact the authority in the state of dispatch to ascertain their requirements.

### 6.8 For exports from England and Wales

The Notification package containing the original Notification and Movement tracking form, should be sent to the competent authority in the state of destination. Copies of the Notification package should be sent to the Environment Agency and all the competent authorities of transit.

### 6.9 Contact details

Notification packages that require assessment by the Agency should be sent to: **Environment Agency, TFS National Service, Richard Fairclough House, Knutsford Road, Warrington, Cheshire, WA4 1HG.** A competent authority contact list can be obtained from [www.basel.int](http://www.basel.int).

## Items to check before you submit the Notification package

### The forms

- Have you filled in blocks 1 to 22 of the Notification form?
- Have you signed and dated block 23 of the Notification form?
- Have you filled in blocks 1, 2, 3, 8, 9, 13, 14, 15, 16, 19 of the Movement tracking form?
- Remember block 22 must **NOT** be signed.

### Other information to be sent

- Have you attached **ALL** the annexes mentioned in the forms?
- Have you included the contract? Remember to make sure it is signed and dated by all parties.
- Have you included the Waste Carrier Registration?
- Have you included the details of **ALL** the original producers of the waste?
- Have you included the genuine recovery information?
- Have you included the financial guarantee? (Can come separately)
- Have you included the correct payment?

If all the above information is in place then the Notification package should be submitted for assessment.



## Assessment procedure

The Waste Shipments Regulation requires the competent authority of destination to formally acknowledge a Notification package within three working days of receipt. Acknowledgement is normally indicated by 24 of the Notification form.

Acknowledgement formally indicates that the statutory assessment procedure has commenced.

The Agency will only acknowledge a Notification package once all the elements considered necessary under our minimum acceptance criteria have been received. Within three days of receipt of all the required information, the Agency will issue a formal acknowledgement. An acknowledged copy of the Notification form will be sent to the notifier, consignee and all the competent authorities concerned. An acknowledged copy of the Notification form is shown in **Figure 1**.

The Agency does not acknowledge Notifications for proposed imports of hazardous wastes to preauthorised sites in the UK. Block 24 is stamped to indicate that the Agency has been furnished with the Notification form.

### 7.1 Period of assessment

The Waste Shipments Regulation stipulates a statutory period within which competent authorities must assess the detail of a Notification package. The length of this period of assessment varies depending on the status of the countries involved and the type of shipment proposed.

#### Shipments for disposal

A 30-day period of assessment applies to Notifications for imports of waste from EU Member States. A 70-day period of assessment applies to Notifications for imports of waste from other states.

#### Shipments for recovery

A 30-day period of assessment applies to Notifications for imports or exports of waste within the OECD area. A 70-day period of assessment applies to Notifications for imports of waste from other states. Tacit consent can be assumed for wastes appearing in Annex III ("the amber list") to the Waste Shipments Regulation if written authorisation/consent/objection is not received within this period. Tacit consent cannot be assumed for wastes appearing in Annex IV ("the red list") to the Waste Shipments Regulation and those wastes designated "unassigned".

### 7.2 Authorisation, consent and objection

The Waste Shipments Regulation requires the competent authorities of dispatch, destination and transit to provide the notifier with their authorisation, consent or objection within the statutory time period.

During the statutory assessment period, the Agency will technically assess the information provided in the Notification package. This technical assessment will be carried out by the Agency office local to the site of the waste producer or consignee. During the assessment, any of the competent authorities may request further information to clarify any aspects of the detail supplied. Only when an authority is satisfied with the information supplied will a decision be issued.

A competent authority usually indicates its authorisation or consent by completing block 25 of the Notification form. An example of an authorised Notification form is provided in **Figure 2**. The notifier should note that the period of authorisation or consent is indicated in this block.

The period of authorisation or consent may not concur with that requested in block 6 or with the period provided by other competent authorities. The Agency provides a period of consent or authorisation of one year after the date of authorisation or consent. The competent authorities may also apply transport conditions to their authorisation. These would usually appear in block 26 of the Notification form or in an attached letter of authorisation or consent. Although tacit consent can be assumed for some types of shipment (see Period of assessment section on page 24), the Agency chooses to provide written consent for all types of shipment within the statutory assessment period.

A competent authority may also object to a Notification if they believe that the Notification package does not comply with the provisions of both national and international legislation. An objection will be indicated by completing block 25 of the Notification form with the word "objection". The cases in which a **reasoned objection** may be issued are listed in Articles 4(3) and 7(4) of the Waste Shipments Regulation. A **systematic objection** maybe issued if the consignment note details a shipment prohibited by the UK Plan.

Figure 1

Figure 2

# Movement tracking form

## 8.1 Sections to complete prior to pre-notification

Once authorisation or consent to ship the waste and an indication of satisfaction with the financial guarantee have been received from the competent authorities of dispatch, destination and transit, the notifier may start to make the necessary arrangements to ship the waste to its destination.

The Waste Shipments Regulation requires the notifier to complete further sections of the Movement tracking form. This is then submitted to the competent authorities concerned giving a minimum of three **working days** notice prior to the shipment of the waste. A copy of the Movement tracking form should accompany the waste in every stage of its shipment. The notifier should make a copy of the Movement tracking form for each shipment to be undertaken. This section of the booklet demonstrates which sections of the Movement tracking form require completion prior to pre-notification.

EUROPEAN COMMUNITY (a)		TRANSFRONTIER MOVEMENT OF WASTE Movement/Tracking Form	
1. Notifier/exporter (name, address) and registration No. where applicable: Tel: _____ Contact person: _____		3. Corresponding to Notification No. <b>XXXXXX</b>	4. Serial number of shipment: _____
2. Consignee (name, address) and registration No. where applicable: Tel: _____ Contact person: _____		8. Disposal/recovery facility (name, location, address): _____ Fax: _____	
5. 1st Carrier (name, address): Registration No. (where applicable): _____ Tel: _____ Contact person: _____		6. 2nd Carrier (2) (name, address): Registration No. (where applicable): _____ Tel: _____ Contact person: _____	7. Last Carrier (name, address): Registration No. (where applicable): _____ Tel: _____ Contact person: _____
9. Code No./FOM disposal/recovery operation (2) and technology employed:		10. Identity of means of transport: _____	
11. Identity of means of transport: _____		12. Identity of means of transport: _____	
13. Name and chemical composition of the waste:		14. Physical characteristics (2): _____	
15. Waste identification code: - in country of export/dispatch: - in country of import/destination: International Waste Identification Code (IWIC): European Waste Catalogue (EWC): Other (specify): _____		17. Actual quantity (b): _____	
16. OECD classification (1): _____ and number: _____ other: _____ * (attach details)		18. Number of packages: _____	
19. UN identification number: _____ and proper shipping name:		20. Special handling instructions: _____	
21. Actual date of shipment: _____		22. Notifier/exporter's declaration: I certify that the information in blocks 1 to 11 and correct to the best of my knowledge. I also certify that legally enforceable insurance or other financial guarantee has been entered into, that any applicable insurance or other financial guarantee covers the shipment, and that: (i) all necessary consents have been received; or (ii) the shipment is directed at a recovery facility within the OECD area and is received from any of the concerned countries within the 30 day tabular code period; or (iii) the shipment is directed at a facility pre-authorized for that type of waste and such an authorisation has not been revoked, and no objection has been received from any of the concerned countries.	
23. Shipment received by consignee on: (if not disposal/recovery facility) Quantity received (b): _____ Date: _____ Name: _____ Signature: _____ * (immediately contact competent authorities)		24. Shipment received at disposal/recovery facility on: (1) Quantity received (b): _____ Date: _____ Name: _____ Signature: _____ Disposal/recovery to be completed by: _____ Method of disposal/recovery: _____ * (not required by OECD control system)	

**Block 4:** provide the number of the shipment in relation to the total number of shipments (for example 1 of 2).

**Block 17:** the actual quantity of the shipment should be provided by weight in kilograms (Kg) or by volume in litres (l).

**Block 18:** the number of separate packages in the shipment should be provided.

**Block 22:** the notifier's contact name and dated original signature should be provided.

**Block 21:** the actual date of shipment of the waste should be provided.

### 8.2 Prenotification checklist

Use the form below to check that all issues have been addressed before submitting the Movement tracking form to prenotify the competent authorities concerned.

### Items to check before you prenotify us

**Authorisation / Consent**

- Have the Agency provided authorisation or consent for the Notification package?
- Have the Agency issued a certificate of satisfaction with the financial guarantee?
- Have all the competent authorities concerned provided authorisation or consent (or can tacit consent be assumed)?

**The forms**

- Have you filled in blocks 4 to 7 on the Movement tracking form?
- Have you filled in blocks 17, 18 and 21 of the Movement tracking form?
- Have you signed and dated block 22 of the Movement tracking form?

**Other details**

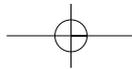
- Are you satisfied that all carriers have suitable insurance cover?

Pre-notification should now be sent to **ALL** competent authorities concerned at least three working days before the shipment is made.

### 8.3 Where to send the prenotification

Pre-notification should be sent to the competent authorities of dispatch, destination and all the competent authorities of transit. The Agency would usually expect to receive pre-notification by fax an Agency office in the Region of the waste producer or the consignee.

Environment Agency fax numbers for prenotification			
For imports and exports			
Anglian Region		Southern Region	
Central Area:	+44 (0)1480 483831	Kent Area	+44 (0)1732 223190
Eastern Area:	+44 (0)1473 724205	Hampshire & Sussex Area	+44 (0)1903 215884
Northern Area:	+44 (0)1522 785989	South West Region	
Midlands Region		Cornwall Area	+44 (0)1208 75487
Lower Trent Area:	+44 (0)115 846 3661	North & South Wessex Area	+44 (0)1278 431805
Upper Trent Area:	+44 (0)121 241 2099	Devon Area	+44 (0)1258 455998
Lower Severn Area:	+44 (0)1743 353394	Thames Region	
Upper Severn Area:	+44 (0)1743 353394	All Areas	+44 (0)1707 632533
North East Region			
Northumbria Area	+44 (0)191 203 4104		
Dales Area	+44 (0)113 213 4871	Environment Agency Wales	
North West Region		Wales	+44 (0)292 036 2920
Central Area	+44 (0)1772 697032	For transit	
South Area	+44 (0)1925 816557	TFS National Service	+44 (0)1925 542 105



### 8.4 Sections to complete during the shipment

Once three working days pre-notification have been given to the competent authorities of dispatch, destination and all the competent authorities of transit, the waste shipment may commence. A copy of the notification form must accompany the waste on every stage of its journey and the movement tracking form must be completed by each carrier or undertaking that takes responsibility for the waste.

This section of the booklet demonstrates which sections of the movement tracking form require completion during the shipment of the waste.

EUROPEAN COMMUNITY (a)				TRANSFRONTIER MOVEMENT OF WASTE Movement/Tracking Form			
COPY FOR:	1. Notifier/exporter (name, address) and registration No. where applicable: Tel: Contact person:		3. Corresponding to Notification No. <b>XXXXXX</b>		4. Serial number of shipment:		
	2. Consignee (name, address) and registration No. where applicable: Tel: Contact person:		8. Disposal/recovery facility (name, location, address): Tel: Fax:		9. Code No.FMF disposal/recovery operation (2) and technology employed:		
	5. 1st Carrier (name, address): Registration No: (where applicable) Tel: Fax:		6. 2nd Carrier (3) (name, address): Registration No: (where applicable) Tel: Fax:		7. Last Carrier (name, address): Registration No: (where applicable) Tel: Fax:		
	10. Identity of means of transport:		11. Identity of means of transport:		12. Identity of means of transport:		
	13. Name and chemical composition of the waste:		14. Physical characteristics (2):				
	15. Waste identification code: - in country of export/dispatch: - in country of import/destination: International Waste Identification Code (IWIC): European Waste Catalogue (EWC): Other (specify):		17. Actual quantity (b): litres		18. Number of packages:		
	16. OECD classification: (1): other: * (attach details)		19. UN identification number: and proper shipping name:				
	20. Special handling instructions:		22. Notifier/exporter's declaration: I certify that the information in blocks 1 to 11 and correct to the best of my knowledge. I also certify that legally-enforceable insurance or other financial guarantee have been entered into, that any applicable insurance or other financial guarantee transfrontier movement, and that:  (i) all necessary consents have been received; or (ii) the shipment is directed at a recovery facility within the OECD area and received from any of the concerned countries within the 30 day time limit; or (iii) the shipment is directed at a facility pre-authorized for that type of waste such an authorisation has not been revoked, and no objection has been received from any of the concerned countries.  Name: Date: * (delete sentences not applicable)				
	21. Actual date of shipment:		TO BE COMPLETED BY CONSIGNEE/DISPOSAL/RECOVERY FACILITY				
	23. Shipment received by consignee on: (if not disposal/recovery facility) Quantity received (b): Date: Name: *(immediately contact competent authorities)		accept <input type="checkbox"/> (1) reject <input type="checkbox"/> (1)		25. I certify that the disposal/recovery of the waste described above has been completed: Signature: Date: Signature:		
24. Shipment received at disposal/recovery facility on: Quantity received (b): Date: Name: Disposal/recovery to be completed by: Method of disposal/recovery: *(immediately contact competent authorities)		accept <input type="checkbox"/> (1) reject <input type="checkbox"/> (1)		Signature: Date: Signature: *(not required by OECD control system)			

(1) Enter X in the appropriate boxes on the reverse if more than 3 carriers, attach information as required by blocks 6 & 7 respectively.  
(a) Forms also used by OECD  
(b) Indicate one of the two. Competent authorities are allowed to ask for the quantity in kg only.

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**Block 5 ,6, 7:**  
the company name, address, telephone number, fax number and waste carrier registration number of the first, second and third carriers used should be completed as necessary. If more than three carriers used should be completed as necessary. If more than three carriers are used then these details should be provided in an annex.

**Blocks 10, 11 & 12:**  
block 10 should be completed with the identity of the means of transport (e.g. vehicle registration number, ship's name), date of transport and signature of a representative of the carrier named in block 5. Blocks 11 & 12 should be completed with the corresponding details for the carrier(s) named in blocks 6 & 7 respectively. If more than three carriers are used, their details should be recorded in a separate annex.





**8.5 Sections to complete on receipt of the waste**

On receipt of the waste, the consignee must complete the movement tracking form to indicate its receipt of the waste, this is known as the **certificate of receipt**. Following receipt, a copy of this certificate must be supplied to the competent authorities concerned within three days. Following receipt of the waste, the consignee must issue a **certificate**

of disposal or recovery to the notifier and all the concerned competent authorities within 180 days.

This section of the booklet demonstrates which sections of the movement tracking form require completion on receipt of the waste at the consignee or disposal facility/ recovery facility.

**Blocks 23 & 24:** should be completed as appropriate. A cross (x) should be entered in the block to indicate whether the waste was accepted or rejected by the consignee or disposal / recovery site. The weight or volume of the material accepted or rejected should be indicated and a representative of the consignee should sign and date the form. Once completed, the consignee or disposal / recovery facility should send a copy to all the competent authorities concerned and the notifier.

TRANSFRONTIER MOVEMENT OF WASTE  
Movement/Tracking Form

EUROPEAN COMMUNITY (a)

1. Notifier/exporter (name, address) and registration No. Tel: Contact person:	3. Corresponding to Notification No. XXXXXX	4. Serial number of shipment:
	8. Disposal/recovery facility (name, location, address): Tel: Fax: Registration No. where applicable: and limit of validity: Contact person:	
2. Consignee (name, address) and registration No. where applicable: Tel: Contact person:	9. Code No. for disposal/recovery operation (2): and technology employed:	
5. 1st Carrier (name, address): Registration No: (where applicable) Tel: Fax:	6. 2nd Carrier (3) (name, address): Registration No: (where applicable) Tel: Fax:	7. Last Carrier (name, address): Registration No: (where applicable) Tel: Fax:
10. Identity of means of transport: Date of transfer:	11. Identity of means of transport: Date of transfer:	12. Identity of means of transport: Date of transfer:
13. Name and chemical composition of the waste:		14. Physical characteristics:
15. Waste identification code: - in country of export/dispatch: - in country of import/destination: International Waste Identification Code (IWIC): European Waste Catalogue (EWC): Other (specify):		17. Actual quantity (b): litres: 18. Number of packages:
16. OECD classification number (1): other: * (attach details)	19. UN identification number: and proper shipping name:	
20. Special handling instructions:	22. Notifier/exporter's declaration: I certify that the information in blocks 1 and correct to the best of my knowledge. I also certify that legally enforceable have been entered into, that any applicable insurance or other financial guarantee has been entered into, and that* (i) all necessary consents have been received/ or (ii) the shipment is directed at a recovery facility within the OECD area received from any of the concerned countries within the 30 day tabit (ii) the shipment is directed at a facility pre-authorized for that type of such an authorisation has not been revoked, and no objection has been concerned countries. Name: Date:	
21. Actual date of shipment:	* (delete sentences not applicable)	
TO BE COMPLETED BY CONSIGNEE, DISPOSAL/RECOVERY FACILITY		
23. Shipment received by consignee on: (if not disposal/recovery facility) Quantity received (b): Date: Name: Kg * (immediately contact competent authorities)	accept <input type="checkbox"/> (1) reject <input type="checkbox"/>	25. I certify that the disposal/recovery of the waste described above has been completed* Date: Name: Signature:
24. Shipment received at disposal/recovery facility on: Quantity received (b): Date: Name: Kg * (immediately contact competent authorities)	accept <input type="checkbox"/> (1) reject <input type="checkbox"/>	litres: Name: Signature:
Disposal/recovery to be completed by: Method of disposal/recovery: *(immediately contact competent authorities)		*(not required by OECD control system)

(1) Enter X in the appropriate boxes on the reverse more than 3 carriers, attach information as required by blocks 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 100.  
 (b) Indicate one of the two. Competent authorities are allowed to ask for the quantity in kg only.

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**Block 25:** should be signed and dated by a representative of the disposal or recovery facility when all the waste received under the shipment has been recovered or disposed of. The completed certificate should be sent to the notifier and other competent authorities no later than 180 days following receipt of the waste.



# Further Information

## Details of other available information on TFS.

### 9.1 Basel Convention

Basel Convention on the control of transboundary movements of hazardous wastes and their disposal adopted by the conference of the plenipotentiaries on 22 March 1989.

This document and contact details of all the competent authorities are available at this website. <http://www.basel.int>

### 9.2 Environment Agency



The Environment Agency produce guidance notes on certain transfrontier shipment of waste issues. These guidance notes provide operational guidance to Agency staff.

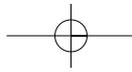
- Assessment of Genuine Recovery (EAS/2202/4/03) (20/12/99)
- Assessment of Notifications for Imports to a Pre-authorized Facility (EAS/2202/4/04) (20/12/00)
- Issue of a Pre-authorization under Article 9 Council Regulation (EEC) No. 259/93, OECD Council Decision C(92)39/FINAL (EAS/2202/4/05) (20/12/00)
- Assessment of a General Notification (EAS/2202/4/06) (20/12/00)
- Work Instruction: Determination of Duly Motivated Requests for Transfrontier Shipment of Waste (TFS) (103\_03).
- Work Instruction: Financial Guarantees Transfrontier Shipment of Waste (158\_02)
- Insurance (EAS/2202/4/19) (16/10/00)
- Inspection and Monitoring of Transfrontier Shipment Waste. (EAS/2202/4/35) (20/12/00)

All fact sheets and guidance are available from the TFS National Service. (Tel: 0161 973 2237)

### 9.3 European Union



- Council Directive of 18 March 1991 amending Directive 75/442/EEC on waste (291/156/EEC).
- Council Directive of 12 December 1991 on hazardous waste (91/689/EEC).
- Council Regulation (EEC) No. 259/93 of 1 February 1993 on the supervision and control of shipments of waste within, into and out of the European Community. (OJ L030, 06/02/1993 p. 0001-0028).
- Council Regulation (EC) No. 120/97 of 20 January 1997 amending Regulation (EC) No. 259/93 on the supervision and control of shipments of waste within, into and out of the European Community (OJ No. L022, 24/01/1997 p.0014-0015).
- Commission Regulation (EC) No. 2408/98 of 6 November 1998 amending Annex V to Council Regulation (EEC) No. 259/93 on the supervision and control of shipments of waste within, into and out of the European Community.
- Council Regulation (EC) No. 1420/1999 of 29 April 1999 establishing common rules and procedures to apply to shipments to certain non-OECD countries of certain types of waste.
- Commission Regulation (EC) No.816/1999 of 12 July 1999 determining the control procedures under Council Regulation (EEC) No. 259/93 to apply to shipments of certain types of waste to certain countries to which OECD Decision C(92)39 final does not apply.
- Commission Decision of 24 November 1999 adapting pursuant to Articles 16(1) and 42(3), Annexes II, III, IV and V to Council Regulation (EEC) No. 259/93 on the supervision and control of shipments of waste within, into and out of the European Community.



These documents are available at the following website. <http://www.europa.eu.int>

This website contains extensive details about the export of green list wastes to non-OECD countries. <http://www.europa.eu.int/comm/trade/miti/envir/waste.htm>

#### 9.4 Health and Safety Executive (HSE)



- Approved Carriage List, Information approved for the carriage of dangerous goods by road and rail other than explosive and radioactive material. HMSO (1996)

This document is available at the following website. <http://www.hse.gov.uk>

#### 9.5 OECD



- C(92)39/FINAL "Decision of the council concerning the control of transfrontier movements of wastes destined for recovery operations" (adopted by the Council at its 778th session on the 30 March 1992)
- C(2001)107/FINAL decision of the council concerning the control of transfrontier movements of wastes destined for recovery operations.

#### 9.6 UK Government



- United Kingdom Management Plan for Exports and Imports of Waste, Crown Copyright 1996. (ISBN 0-11-753181-2)
- Statutory Instrument 1994, No. 1137 The Transfrontier Shipment of Waste Regulation 1994
- Department of the Environment Circular 13/94, Crown Copyright 1994 (ISBN 0-11-752949-4)

<http://www.defra.gov.uk/environment/waste/index.htm>

<http://www.hms.gov.uk>

[waste.policy@defra.gsi.gov.uk](mailto:waste.policy@defra.gsi.gov.uk)



A1

## Appendix 1:

Country status detail for TFS (as of 19/12/01)

Table 1: Ratification of the Basel Convention.

Algeria	DR Congo	Lebanon	Qatar
Albania	Denmark	Lesotho	Republic of Korea
Andorra	Djibouti	Libyan Arab Jamahiraya	Republic of Moldova
Antigua & Barbuda	Dominica	Liechtenstein	Romania
Argentina	Dominican Republic	Lithuania	Russian Federation
Armenia	Ecuador	Luxembourg	St. Kitts & Nevis
Australia	Egypt	Madagascar	St. Lucia
Austria	El Salvador	Malawi	St. Vincent & the Grenadines
Azerbaijan	Equatorial Guinea	Malaysia	Samoa
Bahamas	Estonia	Maldives	Saudi Arabia
Bahrain	Ethiopia	Mali	Senegal
Bangladesh	Finland	Malta	Seychelles
Barbados	France	Mauritania	Singapore
Belarus	Gambia	Mauritius	Slovakia
Belgium	Georgia	Marshall Islands	Slovenia
Belize	Germany	Mexico	South Africa
Benin	Ghana	Micronesia (Federated States of)	Spain
Bhutan	Greece	Monaco	Sri Lanka
Bolivia	Guatemala	Mongolia	Sweden
Bosnia & Herzegovina	Guinea	Morocco	Switzerland
Botswana	Guyana	Mozambique	Syrian Arab Republic
Brunei Darussalam	Honduras	Nambia	Thailand
Bulgaria	Hungary	Nauru	The Former Yugoslav Republic of Macedonia
Burkina Faso	Iceland	Nepal	Trinidad & Tabago
Burundi	India	Netherlands	Tunisia
Brazil	Indonesia	New Zealand	Turkey
Cambodia	Iran (Islamic Republic of)	Nicaragua	Turkmenistan
Cameroon	Ireland	Niger	Uganda
Canada	Israel	Nigeria	Ukraine
Cape Verde	Italy	Norway	United Arab Emirates
Chile	Jamaica	Oman	United Kingdom of Great Britain & Northern Ireland
China	Japan	Pakistan	United Republic of Tanzania
Comoros	Kazakhstan	Papua New Guinea	Uzbekistan
Costa Rica	Kenya	Paraguay	Venezuela
Côte d'Ivoire	Kiribati	Peru	Vietnam
Croatia	Kuwait	Philippines	Yemen
Cuba	Kyrgyzstan	Poland	Yugoslavia
Czech Republic	Latvia	Portugal	Zambia

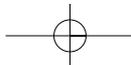


Table 2: showing OECD member States



OECD members Countries		
Australia	Hungary	Norway
Austria	Iceland	Poland
Belgium	Ireland	Portugal
Canada	Italy	Slovakia
Czech Republic	Japan	Spain
Denmark	Korea	Sweden
Finland	Luxembourg	Switzerland
France	Mexico	Turkey
Germany	Netherlands	United Kingdom
Greece	New Zealand	United States of America
① Hungary and Poland have not yet applied decision C(92)/39		

Table 3: showing European Union Member States



European Union (EU) Member States		
Austria	Germany	Netherlands
Belgium	Greece	Portugal
Denmark	Ireland	Spain
Finland	Italy	Sweden
France	Luxembourg	United Kingdom
EU Accession countries - set to join 1 May 2004		
Cyprus	Czech Republic	Estonia
Hungary	Latvia	Lithuania
Malta	Poland	Slovakia
Slovenia		



# Glossary of terms and abbreviations

## **Acknowledge:**

Issued by the competent authority destination of (CA) dispatch for movements in accordance with Article 15) to formally indicate receipt of a notification. Acknowledgement is normally made by completion of block 24 of the notification form.

## **Amber list waste:**

Hazardous waste listed in Annex III of the Waste Shipments Regulation.

## **Annex:**

An extension of the consignment note e.g. where a block is not large enough to contain the required information.

## **Authorisation:**

Approval given to a notification by the competent authority of destination (or competent authority of dispatch for exports of waste made in accordance with Article 15) usually indicated by the completion of block 25 of the notification form.

## **Basel Convention:**

The Basel Convention of 22 March 1989 on the control of transboundary movements of wastes and their disposal.

## **Bilateral agreement:**

Agreement concluded between the UK Government and the government of another State that is not a party to the Basel Convention, to ship waste to the UK.

## **Certificate of receipt:**

The movement tracking form, completed in block 23, to confirm receipt of waste by the consignee. The movement tracking form, completed in block 24 confirming receipt of the shipment of waste by the recovery/disposal facility where this is not the consignee.

## **Certificate of disposal/recovery:**

The movement tracking form, completed in block 25, to confirm disposal/recovery of the waste.

## **Certificate of satisfaction:**

A document issued by the Agency to confirm our satisfaction that sufficient financial provision has been made in respect of a Notification to ship waste.

## **Competent authority:**

The body designated by a Member State to discharge its responsibilities under the WSR.

## **Consignee:**

The person or undertaking to whom waste is shipped for recovery or disposal.

## **Consignment note:**

The standard consignment note drawn up in accordance with Article 42 of the WSR. It is comprised of a notification form and a movement tracking form.

## **Consignment of waste:**

The total intended quantity of waste that is to be moved on a TFS notification, the figure that appears in block 5 of the notification form.

## **Disposal:**

The Waste Framework directive defines disposal as any of the operations provided for in Annex IIA. These operations are listed in a table on page 12 of this document.

## **Disposal/recovery facility:**

The location at which the waste is disposed of or recovered and the certificate of disposal or recovery can be issued.

## **Duly motivated request (DMR):**

Request made by a National Government directly to a competent authority asking to be allowed to export waste for disposal, giving reasons why the waste cannot be dealt with in that other state.

## **Financial guarantee:**

A sum of money, or equivalent insurance, which is a requirement of Article 27 of the WSR to cover for reshipment and alternative recovery or disposal of the waste. Most commonly provided as a bank bond.

## **General notification:**

A notification where waste having the same physical and chemical characteristics is shipped periodically to the same consignee following the same route.

## **Green list waste:**

Waste listed in Annex II of the WSR, that is not subject to the full provisions of the WSR or the UK plan.

## **Movement tracking form:**

Part of a consignment note which accompanies the waste during the movement.

## **Notification form:**

Part of a consignment note concerned with describing the proposed waste shipment. Also used to indicate the competent authorities decision.

**Notification package:**

A consignment note and supporting information that is submitted to the competent authorities in accordance with the requirements of the WSR.

**Notifier:**

The person or company who wishes to ship the waste. This person or company may be: the person or company who produced the waste; and/or a dealer or broker registered or licensed in their state to arrange the disposal or recovery of wastes; and/or the person or company having legal control of the waste, also known as the waste holder.

**OECD decision:**

The decision of the OECD Council of 30 March 1992 on the control of transfrontier shipments of wastes destined for recovery operations. This has now been replaced by Decision C (2001) 107/FINAL. This decision has not yet been adopted by the EU.

**OECD green, amber and red lists:**

Three lists of waste, adopted by the OECD, classifying wastes moving for recovery according to hazard. The lists are given legal effect in the EU through Annexes II, III, IV, respectively, of the WSR.

**Pre-authorised facility:**

Where the competent authority of destination has stated that it will not raise objections concerning the shipments of specified waste types between OECD countries.

**Reasoned objection:**

An objection to movements of waste **for recovery** based on any of the incidents in Article 7(4) of the WSR. A reasoned objection may also be raised for imports of waste **for disposal** based on Article 4(3)(b) and (c) of the WSR. A reasoned objection may be lifted on receipt of further information.

**Recovery:**

The Waste Framework Directive defines recovery as any of the operations provided for in Annex IIB. These operations are listed in a table on page 13 of this document.

**Red list waste:**

Hazardous waste listed in Annex IV of the WSR.

**Residual waste:**

The fraction of waste that remains after the recoverable element has been recovered.

**Shipment:**

An amount of waste that is moved over broadly the same period of time from the notifier or waste producer to the consignee.

**Single movement:**

A waste notification for one shipment only.

**Systematic objection:**

An objection which is raised to proposed movements of waste **for disposal** of a type which the Plan does not allow.

**Tacit consent:**

Consent to shipment assumed when the competent authority provides no response to a notification within the statutory time period.

**Transfrontier shipment of waste regulations 1994:**

The statutory instrument governing aspects of the transfrontier shipment of waste in the UK.

**Transport conditions:**

Conditions applied to a movement waste.

**UK plan:**

The United Kingdom Management Plan for exports and imports of waste.

**Unassigned waste:**

Waste not listed in Annexes II, III or IV of the WSR. Such waste is subject to the procedure of control for red listed wastes.

**Waste broker registration:**

The permit required to broker waste (including imports and exports of waste) in the UK. The Agency registers companies wishing to broker waste.

**Waste carrier registration:**

The permit required to transport waste over land in the UK. The Agency registers companies wishing to transport waste in the UK.

**Waste producer/generator:**

The person or undertaking whose activities produced the waste.

**Waste framework directive:**

Council Directive 75/442/EC (as amended).

**Waste shipment regulation (WSR):**

Council Regulation (EEC) No. 259/93.

**Working day:**

Monday to Friday (excluding National holidays). NB the day of receipt will be counted at the first working day if the Notification Package is received before 12.00 hours.



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