

ANNEX IA: Notification document for transboundary movements/shipments of waste

1. Exporter - notifier Registration No.: Name: Address: Contact person: Tel: Fax: E-mail:	3. Notification No.: Notification concerning A.(i) Individual shipment: (ii) Multiple shipments: B.(i) Disposal (1): (ii) Recovery : C. Pre-consented recovery facility (2;3) Yes No 4. Total intended number of shipments: 5. Total intended quantity (4) Tonnes (Mg): m ³ : 6. Intended period of time for shipment(s) (4): First departure: Last departure:												
2. Importer - consignee Registration No.: Name: Address: Contact person: Tel: Fax: E-mail:	7. Packaging type(s) (5): Special handling requirements (6): Yes: <input type="checkbox"/> No: <input type="checkbox"/> 11. Disposal / recovery operation(s) (2) D-code / R-code (5) : Technology employed (6): Reason for export (1;6):												
8. Intended carrier(s) Registration No.: Name(7): Address: Contact person: Tel: Fax: E-mail: Means of transport (5):	12. Designation and composition of the waste (6) 13. Physical characteristics (5): 14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EC list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (5): (ix) UN class (5): (x) UN Number: (xi) UN Shipping name: (xii) Customs code(s) (HS):												
9. Waste generator(s) - producer(s) (1;7;8) Registration No.: Name: Address: Contact person: Tel: Fax: E-mail: Site and process of generation (6):	10. Disposal facility (2): <input type="checkbox"/> or recovery facility (2): <input type="checkbox"/> Registration No.: Name: Address: Contact person: Tel: Fax: E-mail: Actual site of disposal/recovery:												
15. (a) Countries/states concerned, (b) code No. of competent authorities where applicable, (c) specific points of exit or entry (border crossing or port) <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:25%;">State of export - dispatch</td> <td style="width:45%;">State(s) of transit (entry and exit)</td> <td style="width:30%;">State of import - destination</td> </tr> <tr> <td>(a)</td> <td></td> <td></td> </tr> <tr> <td>(b)</td> <td></td> <td></td> </tr> <tr> <td>(c)</td> <td></td> <td></td> </tr> </table>		State of export - dispatch	State(s) of transit (entry and exit)	State of import - destination	(a)			(b)			(c)		
State of export - dispatch	State(s) of transit (entry and exit)	State of import - destination											
(a)													
(b)													
(c)													
16. Customs offices of entry and/or exit and/or export (European Community) Entry: Exit: Export:													
17. Exporter's - notifier's / generator's - producer's (1) declaration I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.													
Exporter's - notifier's name: Date: Signature: Generator's - producer's name: Date: Signature:	18. Number of annexes attached												
FOR USE BY COMPETENT AUTHORITIES													
19. Acknowledgement from the relevant competent authority of countries of import - destination / transit (1) / export – dispatch (9) Country: Notification received on: Acknowledgement sent on: Name of competent authority: Stamp and/or signature:	20. Written consent (1;8) to the movement provided by the competent authority of (country): Consent given on: Consent valid from: until: Specific conditions: No: <input type="checkbox"/> If Yes, see block 21 (6): <input type="checkbox"/> Name of competent authority: Stamp and/or signature:												
21. Specific conditions on consenting to the movement or reasons for objecting													

(1) Required by the Basel Convention.

(2) In the case of an R12/R13 or D13-D15 operation, also attach corresponding information on any subsequent R12/R13 or D13-D15 facilities and on the subsequent R1-R11 or D1-D12 facilit(y)ies when required

(3) To be completed for movements within the OECD area and only if B(ii) applies

(4) Attach detailed list if multiple shipments

(5) See list of abbreviations and codes on the next page

(6) Attach details if necessary

(7) Attach list if more than one

(8) If required by national legislation

(9) If applicable under the OECD Decision

List of abbreviations and codes used in the notification document

DISPOSAL OPERATIONS (block 11)				
D1	Deposit into or onto land (e.g. landfill, etc.)			
D2	Land treatment (e.g., biodegradation of liquid or sludgy discards in soils, etc.)			
D3	Deep injection (e.g. injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)			
D4	Surface impoundment (e.g. placement of liquid or sludge discards into pits, ponds or lagoons, etc.)			
D5	Specially engineered landfill (e.g. placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)			
D6	Release into a water body except seas/oceans			
D7	Release into seas/oceans including sea-bed insertion			
D8	Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list			
D9	Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g. evaporation, drying, calcination, etc.)			
D10	Incineration on land			
D11	Incineration at sea			
D12	Permanent storage (e.g. emplacement of containers in a mine, etc.)			
D13	Blending or mixing prior to submission to any of the operations in this list			
D14	Repackaging prior to submission to any of the operations in this list			
D15	Storage pending any of the operations in this list			
RECOVERY OPERATIONS (block 11)				
R1	Use as a fuel (other than in direct incineration) or other means to generate energy (Basel/OECD) - Use principally as a fuel or other means to generate energy (EU)			
R2	Solvent reclamation/regeneration			
R3	Recycling/reclamation of organic substances which are not used as solvents			
R4	Recycling/reclamation of metals and metal compounds			
R5	Recycling/reclamation of other inorganic materials			
R6	Regeneration of acids or bases			
R7	Recovery of components used for pollution abatement			
R8	Recovery of components from catalysts			
R9	Used oil re-refining or other reuses of previously used oil			
R10	Land treatment resulting in benefit to agriculture or ecological improvement			
R11	Uses of residual materials obtained from any of the operations numbered R1-R10			
R12	Exchange of wastes for submission to any of the operations numbered R1-R11			
R13	Accumulation of material intended for any operation in this list.			
PACKAGING TYPES (block 7)		H-CODE AND UN CLASS (block 14)		
1. Drum	UN Class	H-code	Characteristics	
2. Wooden barrel				
3. Jerrican				
4. Box				
5. Bag				
6. Composite packaging				
7. Pressure receptacle				
8. Bulk				
9. Other (specify)				
MEANS OF TRANSPORT (block 8)		UN Class	H-code	Characteristics
R = Road				
T = Train/rail				
S = Sea				
A = Air				
W = Inland waterways				
PHYSICAL CHARACTERISTICS (block 13)				
1. Powdery/powder				
2. Solid				
3. Viscous/paste				
4. Sludgy				
5. Liquid				
6. Gaseous				
7. Other (specify)				

Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention.