COUNCIL

DECISION OF THE COUNCIL

concerning the Document for Transfrontier Movements of Wastes

(adopted by the Council at its 834th Session on 28 and 29 July 1994)
THE COUNCIL,

Having regard to Article 5 a) of the Convention on the Organisation for Economic Co-operation and Development of 14 December 1960;

Having regard to the Decision-Recommendation of the Council of 1 February 1984 on Transfrontier Movements of Hazardous Waste [C(83)180(Final)] which requires Member countries to control transfrontier movements of hazardous waste;

Having regard to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, adopted on 22 March 1989, and noting that most Member countries and the European Community have become parties of this Convention;


Having regard to the European Community Regulation on the Supervision and Control of Shipments of Waste within, into and out of the European Community;

Considering that the implementation of the control system established by Council Decision C(92)39/FINAL calls for the development of a uniform document to provide the information required for notification and tracking of transfrontier movements of wastes destined for recovery operations within the OECD area;

Considering that Member countries have expressed the wish that the document for transfrontier movement of wastes called for by Council Decision C(92)39/FINAL be developed in such a way that it could be used not only for movements to be controlled by this Decision but also for those to be controlled by the Basel Convention and the EC Regulation and that, therefore, its use should not be made mandatory as originally envisaged by Council Decision C(92)39/FINAL;

Noting that the Commission of the European Communities is proposing to use the document developed by the OECD for transfrontier movements to be controlled by the EC Regulation;

On the proposal of the Environment Policy Committee;

I. DECIDES that paragraph C of Appendix 2 of Annex I to Council Decision C(92)39/FINAL be amended as follows:

"C. It is recommended that Member countries use the Document hereunder for Transfrontier Movement of Wastes, comprising a Notification Form and a Movement/tracking Form, to provide the information required to control transfrontier movements of wastes destined for recovery operations within the OECD area." (Document to be included in C of Appendix 2 of Annex I).

II. REQUESTS the Secretary-General to pursue discussions with the Secretariat of the Basel Convention to assess whether the Document for Transfrontier Movement of Wastes could also be used for transfrontier movements to be controlled by the Basel Convention.
List of abbreviations used in the movement-tracking form

VITALS (AND RECOVERY)

SIGNS

NAME

BLOOD PRESSURE

RESPIRATION RATE

BODY TEMPERATURE

WEIGHT

HISTORY

CIRCULATORY SYSTEM

RESPONSIVE AND REACTIVE

NEUROPSYCHIATRIC SYSTEM

VENTILATION SYSTEM

RESPIRATORY FUNCTION

DIURETICS

LABORATORY TESTS

CLINICAL HYPOXIA

MEDICATIONS

OCULAR PHYSICAL EXAMINATION

NEUROLOGICAL EXAMINATION

BRAIN IMAGING

PHYSICAL EXAMINATION

PHYSICAL MEASUREMENTS

PHYSICAL APPEARANCE

PHYSICAL STATUS

PHYSICAL FUNCTION

PHYSICAL PERFORMANCE

PHYSICAL ACTIVITY

PHYSICAL INJURY

PHYSICAL ABUSE

PHYSICAL NEGLECT

PHYSICAL MISTREATMENT

PHYSICAL YAB

PHYSICAL YOB

PHYSICAL YOC

PHYSICAL YOD

PHYSICAL YOE

PHYSICAL YOF

PHYSICAL YOG

PHYSICAL YOH

PHYSICAL YOI

PHYSICAL YOJ

PHYSICAL YOK

PHYSICAL YOL

PHYSICAL YOM

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PHYSICAL YOZ

PHYSICAL YOA

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INSTRUCTIONS FOR COMPLETING THE DOCUMENT FOR
TRANSFRONTIER MOVEMENT OF WASTES

Introduction

Three International Agreements have been concluded to effect control over the movement of wastes between countries. These have been made under a European Community (EC) Regulation, an OECD Council Decision and the UNEP Basel Convention. The EC Regulation and the Basel Convention are concerned with all international movements of waste, whereas the OECD Decision is concerned only with the movement of wastes destined for recovery operations at authorized facilities within the OECD area. Administrative controls are required to be exercised over the operation of all the agreements. The Document for Transfrontier Movement of Wastes, described here, comprises a Notification Form and a Movement/tracking Form. The Document has been designed to be compatible with the above mentioned Agreements. Consequently, not all blocks are necessarily applicable nor need to be completed and, in some cases the same entity may have more than one description in the document*. It is also possible that national legislation may use different words in its interpretation of the text of the Agreements.

National competent authorities will be responsible for providing and issuing the Notification and Movement/tracking Forms. When doing so they will use a numbering system which allows a particular consignment of waste to be traced. The numbering system should be prefixed with the OECD country code given on the reverse of the Notification and Movement/tracking forms, (for other countries the ISO Standard 3166 abbreviations should be used).

It is recognised that countries may wish to issue the forms in a format which satisfies their national standards (normally ISO A4 as recommended by the United Nations). However, to facilitate their use internationally and to take into account the difference between ISO A4 and the paper size used in North America, the frame size of the forms should occupy an area not greater than 183 x 262 mm. with margins aligned at the top and the left of the paper.

A separate Guidance Manual providing information specific to the operation of the OECD System and to supplement these instructions is available from OECD.

The Notification and Movement/Tracking Forms

The Document for Transfrontier Movement of Waste consists of two forms: the Notification Form and the Movement/tracking Form.

The Notification Form is intended to provide the Competent Authorities of concerned countries with the information they need to assess the acceptability of the proposed waste movement. The Form includes space for acknowledging receipt of the notification by the country of import/destination and, when required, consent to the movement.

* In the attached sample of the Notification form Blocks 16 and 21 are surrounded by bolded lines to indicate that they refer only to the OECD Decision and/or the EC Regulation, but not the Basel Convention.
The Movement/tracking Form is intended to travel with the consignment at all times from leaving the waste generator/producer to its arrival at the disposal/recovery facility in another country. Space is provided on the Form for completing details of the first and any subsequent carriers of the consignment. Also, there are spaces to record passage of the consignment through Customs offices of all concerned countries. (While not strictly required by the International Agreements some countries may by national legislation require such procedures and information to ensure proper control). Finally, the Form is to be used by the disposal/recovery facility to certify that the consignment has been received, and give other details.

Circulation of the Document

1. Notification Form

Each Notification Form issued by a Competent Authority will have been given a code and number which is unique to the proposed movement of waste. On completion of Blocks 1 - 23 of the Notification Form, the Notifier/exporter of the waste needs to make photocopies each of which must be signed individually. Three signed copies [one for acknowledgement, one for consent (if applicable), one for filing] are then sent to the Competent Authority in the country of import/destination. At the same time, two signed copies [one for consent (if applicable), one for filing] are sent to the Competent Authority in the country of export/dispatch and any country of transit. Note that the competent authority in the country of export may, in accord with its national laws and regulations, decide to transmit the Notification Form in lieu of the Notifier/Exporter.

In instances where the Notification Form has not been duly completed, the Competent Authority should return the form to the Notifier/exporter within three working days of its receipt and ask that the missing information be provided. It will then be the responsibility of the Notifier/exporter to submit the required information to all concerned Competent Authorities.

Within three working days of its receipt the Competent Authority in the country of import/destination fills in Block 24 of the completed Form. It keeps one copy for its files, and returns one copy to the Notifier/exporter (with copies to Competent Authorities of other concerned countries), to acknowledge receipt of the duly completed notification. The third copy will be used to provide written consent (by completing Block 25) when such consent is required, or where the movement is subject to the tacit consent procedure but the Competent Authority decides to give its consent before the 30-day period has elapsed.

The Competent Authority in the country of export/dispatch and any country of transit keeps one copy of the Notification Form for its files and uses the second copy to provide written consent, when required or appropriate, by completing Block 25.

Objection to the movement may be made by a Competent Authority in a concerned country by writing "OBJECTION" in Block 25 of the Notification Form. The objecting country then returns the form to the Notifier and sends copies to Competent Authorities in other concerned countries. Block 26 on the back of the Notification Form or an annexed letter can be used to give explanations regarding the objection.

Written consent or objection (duly signed with original signatures) may be provided and dispatched direct by mail or telefax followed by mail.
2. **Movement/Tracking Form**

A Movement/tracking Form must accompany each consignment of waste at all times. For multi-consignments of waste under the same general notification a separate Movement/tracking Form will be required for each consignment. At the time of shipment the Notifier/exporter completes a Movement/tracking Form, (Blocks 1 through 9 and 13 through 22). The first Carrier completes Block 10 of the Form. A copy is left with the Notifier/exporter for filing and the original accompanies the waste.

Where successive carriers are used for any part of the journey, details and signature of the new Carrier(s) and means of transport need to be entered in Block 11 or Block 12 as appropriate at the time of transfer. A copy of the Form so completed is left with the previous carrier. If more than three carriers are involved in a particular movement, an attachment giving the appropriate information shall be annexed to the form.

Space is provided on the back of the Movement/tracking Form, at Blocks 26, 27 and 28, for the Customs Offices of those countries for which it is required to indicate the passage of the waste across national borders.

When the waste has been received by the disposal/recovery facility an authorised representative of the facility completes Block 24 of the Movement/tracking Form and gives a copy of the Form so completed to the last Carrier. Within three working days of receiving the waste at the disposal/recovery facility, a signed copy of the Movement/tracking Form with Block 24 fully completed shall be sent to the Notifier/exporter and the Competent Authorities of the concerned countries.

When the waste is not consigned to a disposal/recovery facility, but is being accumulated for subsequent disposal/recovery elsewhere, the Consignee shall complete Block 23, give a copy to the last carrier and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. When, subsequently, the waste is sent for disposal/recovery an authorised representative of the facility on receiving the waste will complete Block 24 in each Movement/tracking form accompanying the waste and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. Block 25 is available to certify that disposal/recovery has been completed, when such certification is required.

3. **Specific National Requirements**

The Movement/tracking Form is designed in order to provide all necessary details to follow the waste during its journey. In Block 22, the Notifier/exporter certifies either, that all necessary consents have been received (written consent), or no objection has been lodged by any of the concerned countries (tacit consent), or no consent was required (movement to a pre-authorised recovery facility).

However, for control purposes, some countries may require that the consignment be accompanied at all times by evidence that the transfrontier movement is authorized. In this case, the Carrier must possess the Notification Form (or a copy of it) with Block 24 completed (tacit consent after 30 days of the date of acknowledgement) or Blocks 24 and 25 completed (written consent). When one or several transit countries have also provided a written consent, the respective completed Notification Forms (or copies of them) also must accompany the consignment if so required.
In the case of general notification covering multiple movements when a country requires that the original of the Notification Form as completed by the Competent Authorities must accompany each consignment, the Notifier/exporter will have to obtain from concerned Competent Authorities as many completed copies of the Notification Forms as intended shipments.

**General Requirements**

Typescript or block capitals in permanent ink should be used throughout when providing the information required in the Document. Signatures always should be written in permanent ink.

The Document has been designed so that whenever possible a code is used in its completion rather than language, thus avoiding the complication of translation. However, where language is used it must be acceptable to the Competent Authorities in the country of import/destination in particular, and other concerned countries.

A six digit format should be used to indicate the date, e.g. January 29 1995 should be shown as 29:01:95.

**Specific Instructions for Entries on the Notification Form**

**Blocks 1, 2 & 7:** The Notifier/exporter will provide the full name, address, registration number (where appropriate) and telephone/facsimile number of each company concerned with the proposed movement, including a named person who can be contacted at any time in relation to any incident during transport of the consignment. Normally, the Consignee would be the Disposal/Recovery facility given in Block 8. Where this is not so, for example where operation R12 (exchange of wastes for submission to any of the operations R1 - R11), or R13 (accumulation of material intended for any operation R1 - R12) are involved, both Blocks 2 and 8 need to be completed. Note that the storage of wastes under operations R12 or R13 can take place only at premises authorised specifically for that purpose under national legislation. If in Block 7 more than one carrier is involved enter the words "See attached list" and append a list giving the information required for each carrier.

**Block 3:** A Competent Authority when issuing a notification document will provide a number according to its own system (this number will be printed on the form). Indicate the operation (disposal/recovery), whether the notification is intended to cover one or several shipments (general notification), and whether the consignment(s) is(are) destined to a facility which has been granted general pre-consent concerning the reception of certain Amber Tier wastes (pre-authorized facility), by marking the appropriate boxes. If appropriate, i.e. under the Basel Convention, reasons for export of the waste shall be given on an attached note.

**Blocks 4, 5 & 6:** For notification of a single consignment write "one" in Block 4 and give the intended date of its movement in Block 6. In Block 5 give the weight (in kg), or volume (in litres) of the consignment. Some countries may always require weight in kg. to be quoted. For multiple consignments the total quantity shipped must not exceed the quantity declared in Block 5. A consented Notification expires at the end of one year and intended dates of shipping consignments may not coincide with the period of consent granted by the competent authority. For multiple shipments the Basel Convention requires the approximate frequency and quantity in each shipment to be quoted.
Block 8: Give the required information on the disposal/recovery facility. If the disposer/recoverer is the consignee, write ”Same as Block 2”. Enter the registration number of the facility where one has been ascribed by the Competent Authority. Give the date when its authorization to operate ceases as the ”limit of validity”.

Block 9: Give the appropriate "R" or "D" code and number (see reverse of Form), and the technology to be employed. Only transfrontier movements of wastes for recovery destined to facilities specifying "R" Codes within the OECD area can be allowed under the OECD System. Include here additional information regarding the disposal/recovery operation, as appropriate, as required by some countries and especially the EC Regulation.

Block 10: Provide information required on the generator/producer of the waste where deemed necessary. While this information is not required for wastes destined for recovery under the OECD system, many countries may require it under their national legislation. If the Notifier/exporter is the generator/producer write in the Block "Same as Block 1". When the waste is produced by more than one generator enter the words "See attached list" and append a list providing the information required for each generator/producer. Some countries may accept that information concerning the generator/producer is given in a separate Annex which would be available to competent authorities only. Information on the processes which produced the waste and the location of their generation is not required under the OECD System.

Block 11: Give mode(s) of transport to be used (see reverse of Form for codes).

Block 12: Give type(s) of packaging to be used (see reverse of Form for codes).

Block 13: Give the names by which the material is commonly known, the chemical names of constituents and their concentration.

Block 14: Indicate physical characteristics of the waste at normal temperature and pressure (see reverse of form for codes)

Block 15: Give the identification code by which the waste is designated in the country of export/dispatch and, if known, in the country of import/destination. Give the designation of the waste according to an accepted uniform classification code such as the International Waste Identification Code (IWIC), the European Waste Catalogue (EWC) code, or any other code (to be specified). The OECD International Waste Identification Code (IWIC) is defined by OECD Council Decision C(88)90(Final); details are given in the OECD Guidance Manual.

Block 16: Refers only to wastes going to recovery facilities under the OECD system. Put an "X" in the respective box if an ”amber" or "red" listed waste is involved and give the OECD code for the waste involved. Put an "X" in the "other" box when the waste for recovery does not appear on any OECD list, or when a listed waste is controlled by one of the concerned countries differently than provided for in the OECD Decision. In this case full details must be provided. The OECD lists are reproduced in the OECD Guidance Manual.

Block 17: The numbers prefixed by "Y" accord with "categories of wastes to be controlled" given in Annexes I and II of the Basel Convention. "Y" numbers are not required by the OECD System.

Block 18: The numbers prefixed by "H" correspond to the list of hazardous characteristics given in Annex III of the Basel Convention. "H" numbers are not required by the OECD System.
Block 19: The UN classes, UN identification numbers (i.e. 4 digit numbers) and UN proper shipping names are given in the UN Recommendations on the Transport of Dangerous Goods. While these are not required specifically by the OECD Decision, the UN Recommendations provide conditions under which dangerous goods are suitable for transportation internationally.

Block 20: Give the country code for each country through which the consignment will be transported (see reverse of Form for country codes). Give the name of the border crossing or port, and where applicable, the customs office code number as the point of entry to or exit from a particular country. Give the code number of the respective Competent Authority in the country of export/dispatch, import/destination and any country of transit. (*)

If more than three transit countries are involved in a particular movement, an attachment containing the appropriate information shall be annexed to the form.

Block 21: Completion required for consignments entering, passing through or leaving Member States of the European Community.

Block 22: Annexes refer to lists attached (e.g. Blocks 7,9,10 and 16) and any supplementary information supplied with the Notification Form. It is essential that each Annex is headed by the reference number of the Notification Form to which it relates.

Block 23: Each copy of the Notification Form is to be signed and dated by the Notifier/exporter before being forwarded to the Competent Authorities of concerned countries. The name of the authorized representative of the Notifier/exporter should also appear in capital letters to accompany the signature. Some countries may require proof of insurance, other financial guarantees and a contract to accompany the Notification Form (information always required by Basel Convention).

Block 24: For use by Competent Authority in the country of import/destination to acknowledge receipt of the Notification Form.

Block 25: For use by Competent Authorities of any concerned country when providing written consent to a transfrontier movement of waste. Indicate the name of the country (see reverse of Form for country codes), the date at which the consent is provided and the date at which it expires. If the movement is subject to specific conditions, place an "X" in the appropriate box and complete Block 26 on the reverse of the Form.

If a Competent Authority wishes to object to the movement it should do so by writing "OBJECTION" in Block 25. Block 26, or a separate letter, may then be used to explain the objection.

Block 26: This Block, on the reverse of the Notification Form, can be used by the Competent Authorities, instead of a separate letter, when providing specific conditions to their written consent to the movement or to explain their objection to the movement.

(*) Yet to be compiled.
Specific Instructions for Entries on the Movement/Tracking Form

Blocks 1, 2, 8, 9: Reproduce the same information as given for corresponding Blocks in the Notification Form. When the Notifier/exporter is not the shipper of the waste (i.e. those who physically undertake the shipment), give details of the Notifier/exporter in Block 1 and on a separate sheet of paper give the required information on the shipper.

Block 3: Enter the Notification No to which the particular consignment refers. This is copied from Block 3 of the Notification Form.

Block 4: For multiple movements enter the serial number of the shipment in relation to the total intended number of shipments shown at Block 4 on the Notification Form, for example, 4/11 for the fourth shipment of eleven intended shipments under a general notification.

Blocks 5, 6, 7: Enter the name, address, registration number (where applicable), and telephone/facsimile number(s) of each actual carrier. Where more than three carriers are involved appropriate information on each should be appended to the Form.

Block 10: The identity (licence, registered name or registration number) of the means of transport being used, the date of transfer and a signature is to be provided by the Carrier’s Representative taking possession of the consignment. A copy of the signed Form is to be retained by the Notifier/exporter.

Blocks 11, 12: At each successive transfer of the consignment to another carrier, the name and address, identity (licence, registered name or registration number) of means of transport being used, the date of transfer, and signature of the representative of the new carrier is to be provided on taking possession of the consignment. A copy of the signed Form is to be retained by the previous Carrier.

Blocks 13, 14, 15, 16, 19: Reproduce the information given at corresponding Blocks in the Notification Form.

Block 17: Enter the actual weight (in kg) or the actual volume in (litres) of the consignment being transported and wherever possible attach copies of weighbridge tickets. Some countries may always require the weight to be given.

Block 18: Enter the number of packages making up the consignment.

Block 20: Indicate any special precautions concerning the consignment, e.g. producers handling instructions for employees, health and safety information, including dealing with spillages, Transport Emergency Cards, etc. Annexes should be used if necessary.

Block 21: Enter the date the consignment begins to be transported to the consignee.

Block 22: Enter at the time of shipment, the appropriate certification, name and signature of the authorized representative of the Notifier/exporter, and the date.
Block 23: To be completed by the Consignee on receipt of a shipment of waste to be stored pending its transfer to a disposal/recovery facility. A signed copy of the Movement/tracking form is given to the last carrier. If the shipment is rejected, for any reason, the Consignee must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier/exporter and the competent authority in all concerned countries. The original of the Movement/tracking Form is to be kept and shall accompany the waste when it is sent to the disposal/recovery facility.

Block 24: To be completed by the authorised representative of the disposal/recovery facility on receipt of a transfrontier consignment of waste. A signed copy of the Movement/tracking Form is given to the last carrier. If the shipment is rejected, for any reason, the representative of the disposal/recovery facility must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier and the Competent Authority in concerned countries. The section "Disposal/recovery to be completed by ..." is not required by the OECD System.

Block 25: Not required by the OECD System. Under EC Regulation copies of the Form with Block 25 completed are to be sent to the Notifier/exporter and Competent Authorities in concerned countries within 180 days certifying completion of disposal/recovery of the waste.

Block 26, 27, 28: Not specifically required by the OECD System. These are for control by Customs offices at the borders of country of export/dispatch, transit and import/destination. The customs office at the border where waste exits the European Community must send a copy of the Movement/Tracking Form to the Competent Authority which issued the authorization for export.
NOTES

1. The European Community (EC) Regulation refers to Regulation No. 259/93 entitled Regulation on the Supervision and Control of Shipments of Waste within, into and out of the European Community, OJ No. L 30, 6.2 1993, COMMISSION OF THE EUROPEAN COMMUNITY.


4. Some countries allow the use of a single Notification Form to cover a number of wastes. The common names, identification codes, classification numbers, UN numbers and proper shipping names of these wastes may be somewhat different, however. In this case, write "see Annex" in the appropriate Blocks and provide the required information on a separate sheet of paper.


7. In case a number of different wastes were covered by the same Notification Form (see Note 4 above), these Blocks must contain details of the particular waste being transported.