

Notification Checklist

Documents that have to be submitted to the SAM

- ☐ Notification document (original required only for imports into the EU from third countries)
- ☐ Movement document (only for imports into the EU from third countries)
- ☐ Copy of the contract and a declaration certifying its existence between the notifier, consignee and the operator of the facility where the waste is recovered or disposed of, that has been concluded and is effective at the time of the notification, as required in Article 5 (7) and Article 6.
- ☐ Copy of the contract and a declaration certifying its existence between the waste producer, new waste producer or collector and the broker or dealer, in the event that the broker or dealer acts as notifier.
- ☐ Waste transport permit (Transportgenehmigung/Beförderungserlaubnis) acc. to § 54 KrWG or registration (Anzeige) according to § 53 KrWG. In the case of hazardous waste, the registration must be supplemented by the relevant "Entsorgungsfachbetriebe-Zertifikat (EfB-Zertifikat)". All vehicles must be adequately insured against personal injury and property damage (i. a. water damage) (third-party vehicle insurance and, in the case of hazardous materials, environmental damage insurance).

Insurance documents to be submitted:

- 1) No proof of insurance is required for road transport by carriers from states to which both the "Green Card Agreement" and the Vehicle Licence Plates Agreement apply.
- 2) For road transport by carriers from states to which the "Green Card Agreement" applies, but not the Vehicle Licence Plates Agreement, proof of third-party vehicle insurance against liability for damage to third parties is also required. Due to the "Green Card Agreement", no limits of indemnity need to be stated therein.
- 3) For road transports by carriers from countries to which the "Green Card Agreement" does not apply, proof of a third-party vehicle insurance for liability for damage to third parties is required. If the carrier transports the waste within Germany, the confirmation of insurance must include at least the following coverage in accordance with the regulations of the German Compulsory Insurance Act "Pflichtversicherungsgesetz (PflVG)": € 7.5 million for personal injury and € 1.22 million for property damage per claim.
- 4) No proof of insurance is required for rail transports due to the regulations of the German General Railway Act "Allgemeines Eisenbahngesetz" (AEG).
- 5) For transports by aircraft, no proof of insurance is required either due to the German Air Traffic Act "Luftverkehrsgesetz" (LuftVG) and Regulation (EC) No. 785/2004.
- 6) For transports with seagoing vessels calling at or leaving a port in Germany within the scope of the respective notification, the insurance certificate pursuant to the German Marine Insurance Certificate Act "Seeversicherungs-Nachweisgesetz" (SeeVersNachwG) must be presented.
- 7) For transports with inland water vessels travelling in Germany within the scope of the respective notification, proof of transport and liability insurance must be submitted. The confirmation of cover must show a coverage of at least € 3 million for personal injury, property damage and financial loss.
- 8) Insofar as a confirmation of the existence of third-party insurance is required in accordance with no.'s 1 to 7, a written declaration by the insurer (informal confirmation of cover) is required. The period of validity contained therein must cover the shipment period applied for. If the period of validity of an insurance confirmation ends within the validity of the notification, a follow-up confirmation must be submitted unrequested before the expiry of the old confirmation.

- ☐ Route and transport distance between the notifier and the treatment facility, including possible alternative routes, also in case of unforeseen circumstances and, in the event of intermodal transport, the place where the transfer will take place.
- ☐ Financial guarantee or insurance according to art. 7 EU Waste Shipment Regulation.
- ☐ The type and duration of the authorisation pursuant to which the recovery or disposal facility operates.
- ☐ If the waste is destined for an interim recovery or disposal operation, information regarding all facilities where subsequent interim and non-interim recovery or disposal operations are envisaged shall be indicated. Their permits and where applicable proof of disposal or notifications for subsequent ways are to be submitted.
- ☐ If the waste is destined for disposal, evidence demonstrating that the conditions in Article 11 (1) (a) are fulfilled.
- ☐ If the waste is destined for recovery:
 - a) the planned method of disposal for the non-recoverable fraction after recovery;
 - b) the amount of recovered material in relation to non-recoverable waste;
 - c) the estimated value of the recovered material;
 - d) the cost of recovery and the cost of disposal of the non-recoverable fraction.
- ☐ Chemical analysis and/or composition of the waste.
- ☐ Description of the treatment process at the facility receiving the waste.
- ☐ List of all competent authorities of destination, dispatch and where appropriate transit and, if necessary, customs offices of import and/or export into/from the EU, including postal and digital addresses.
- ☐ Declaration of the notifier that the notifier has not been convicted of carrying out an illegal shipment or any other illegal act in relation to environmental or human health protection and has not repeatedly failed to comply with Articles 15 and 16 in connection with past shipments, in the 5 years prior to the submission of the notification.

Additional information and documentation that may be requested by the competent authorities:

- *Description of the production process of the waste.*
- *Copy of the brokerage contract; if necessary broker license if the broker deals with hazardous waste (if a broker or dealer organizes the disposal on behalf of the owner of waste, as in Annex 2 part 1 number 23 of the EU Waste Shipment Regulation described) (original).*
- *Information concerning the measures to be taken to ensure transport safety.*
- *Copy of the permit issued in accordance with Annex 1 No. 5 of Directive 2010/75/EU.*
- *Any other information which is pertinent to the assessment of the notification in accordance with this Regulation and national legislation.*

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