

**Ordinance on
Waste Management Concepts and Waste Balance Sheets
(*Abfallwirtschaftskonzept- und -bilanzverordnung - AbfKoBiV*)^{*)}**

of 13 September 1996

Pursuant to Article 19 (4) Nos. 1 and 2, also in conjunction with Article 20 (1) second sentence, of the Closed Substance Cycle and Waste Management Act of 27 September 1994 (Federal Law Gazette I p. 2705), the Federal Government, after hearing the parties concerned, hereby decrees as follows:

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^{*)} The purpose of this Ordinance is to transpose Article 3 (1) letter b and Article 14 of Council Directive 75/442/EEC of 15 July 1975 on waste (OJ EC No. L 194 p. 47), as amended by Council Directive 91/156/EEC of 18 March 1991 (OJ EC No. L 78 p. 32).

Section One - General Provisions

Article 1

Scope of Application

This Ordinance shall define the proper form and content of documents required for

1. the waste management concept pursuant to Article 19 (1) of the Closed Substance Cycle and Waste Management Act;
2. the waste balance sheet pursuant to Article 20 (1) of the Closed Substance Cycle and Waste Management Act;

it shall also set forth exceptions for certain types of waste.

Section Two - Form and Content of the Waste Management Concept and Waste Balance Sheet

Article 2

Waste, Waste Production Sites

(1) Anyone who is required to prepare a waste management concept and a waste balance sheet (person required to prepare a concept, person required to prepare an analysis) shall

1. specify the various types of waste requiring special supervision, and/or of waste requiring supervision, that he produces and determine the quantities involved and
2. specify his various waste production sites, with respect to the waste referred to in No. 1 in the documents on the waste management concept and the waste balance sheet.

(2) The following information shall be given for waste pursuant to paragraph (1) No. 1:

1. the code of waste and waste designation pursuant to the Ordinance on the Introduction of the European Waste Catalogue (*EAK-Verordnung*) of 13 September 1996 (Federal Law Gazette I p. 1428) or to the Ordinance on Codification of Waste Requiring Special Supervision (*Bestimmungsverordnung besonders überwachungsbedürftige Abfälle*) of 10 September 1996 (Federal Law Gazette I p. 1366) or to the Ordinance on Codification of Waste for Recovery Requiring Supervision (*Bestimmungsverordnung überwachungsbedürftige Abfälle zur Verwertung*) of 10 September 1996 (Federal Law Gazette I p. 1377);
2. in addition, in the case of waste recovery taking place outside of the Federal Republic of Germany, the code of waste and waste designation pursuant to Commission Decision 94/774/EC of 24 November 1994 concerning the standard consignment note referred to in Council Regulation 259/93/EEC on the supervision and control of shipments of waste within, into and out of the European Community (OJ No. L 310, p. 70);
3. the quantities of the various types of waste described pursuant to Nos. 1 or 2 that
 - a) have been produced during the calendar year covered by the waste balance sheet and

- b) are expected to be produced in each of the calendar years covered by the waste management concept

at each waste production site pursuant to paragraph (3).

(3) Waste production sites shall include operating sites, other stationary facilities, structures, plots of land or any mobile technical facilities that operate independently of the above. The specification of the waste production sites shall include the following:

1. the operational designation;
2. the waste producer number (*Erzeugernummer*);
3. where a facility subject to licensing requirements within the meaning of Article 4 (1) of the Federal Immission Control Act is concerned, the relevant number and column of the Annex to the Ordinance on Installations Subject to Licensing, in the applicable version;
4. information as to whether notification pursuant to Article 11 of the Ordinance on the Furnishing of Proof (*Nachweisverordnung*) of 10 September 1996 (Federal Law Gazette I p.1382) has been submitted to the competent authority.

(4) The quantities of waste listed in the waste management concept and the waste balance sheet shall be given in tonnes.

Article 3

Destination of the Waste

(1) In the documents on the waste balance sheet, the person required to prepare an analysis shall list the facility used for waste recovery or disposal (facility), and the recovery or disposal operation pursuant to Annex IIA or IIB of the Closed Substance Cycle and Waste Management Act that is used in the facility, for each type of waste to be specified pursuant to Article 2 (2) Nos. 1 and 2 and for the quantity of waste pursuant to Article 2 (2) No. 3 letter a. A facility in which waste is only stored may be listed only if the waste was still being stored in the facility at the end of the calendar year covered by the waste balance sheet.

(2) Where different facilities or different recovery or disposal operations were used for different sub-quantities of the same type of waste, the relevant different sub-quantities of the total quantity of waste shall be specified pursuant to Article 2 (2) No. 3 letter a, and the information pursuant to paragraph (1) shall be provided for each sub-quantity.

(3) The specification of the facility shall include the following:

1. the name of the operator of the facility;
2. the designation and address of the facility;
3. the facility's waste management number;
4. information as to whether

- a) the facility is exempted pursuant to Article 13 of the Ordinance on the Furnishing of Proof of 10 September 1996 (Federal Law Gazette I p. 1382);
 - b) the facility is the operator's own facility within the meaning of Article 19 (1) No. 4 of the Closed Substance Cycle and Waste Management Act;
5. if recovery or disposal takes place in a facility outside of the Federal Republic of Germany, the name of the importing country pursuant to Commission Decision 94/774/EC of 24 November 1994 concerning the standard consignment note referred to in Council Regulation 259/93/EEC on the supervision and control of shipments of waste within, into and out of the European Community (OJ No. L 310, p. 70), in the version applicable in the individual case.

(4) In the documents on the waste management concept, the person required to prepare a concept shall specify the planned destination for each type of waste to be specified pursuant to Article 2 (2) Nos. 1 and 2, and for each calendar year covered by the waste management concept pursuant to paragraphs (1) and (3). The listing of a facility in which waste is only to be stored shall not be permissible. Where no facility can be specified, the person required to prepare a concept shall specify the type of the planned facility.

(5) Where a recovery or disposal operation has been carried out, or is intended to be carried out, outside of a facility, paragraphs (1) through (4) shall apply, with the exception that the waste management site shall be listed instead of the facility. Where waste has been handed over, or is intended to be handed over, to a collector, the collector shall be specified; in the waste balance sheet, the party responsible for waste management shall be specified.

Article 4

The Waste Management Chain

(1) The waste management chain shall be described in terms of the destination pursuant to Article 3 (4), along with supplementary information. The person required to prepare a concept shall include the following supplementary information in the documents on the waste management concept:

1. the sub-quantity of the total quantity of waste pursuant to Article 2 (2) No. 3 letter b that has to be managed in the facilities intended for the type of waste pursuant to Article 3, for each calendar year covered by the waste management concept;
2. the various sub-quantities of waste that he intends to treat as follows in the facilities intended for the type of waste pursuant to Article 3:
 - a) use for energy recovery, or treat for the purpose of energy recovery;
 - b) use for substance recycling, or treat for the purpose of substance recycling;
 - c) deposit, or treat for the purpose of deposition;
 - d) not use for energy recovery or substance recycling; not treat for the purpose of energy recovery or substance recycling; not deposit or treat for the purpose of deposition;
 each of these various sub-quantities shall be given as a percentage of the total quantity of waste which the person required to prepare a concept has earmarked for the facility and the recovery or

disposal operations in question, where such person is seeking to achieve the same percentages for this waste;

3. for the sub-quantity pursuant to No. 2 letter d, the aim of final recovery or disposal, with information as to the operation pursuant to Annex II A or IIB of the Closed Substance Cycle and Waste Management Act; such aims may include:
 - a) deposition;
 - b) substitution of new raw materials by substances recovered from the waste;
 - c) use of the waste's substance properties for their original purpose or for other purposes, except for direct energy recovery; or
 - d) use for energy recovery.

(2) In the case of Article 3 (5) first sentence, paragraph (1) shall apply, with the exception that the waste management site shall be listed instead of the facility. Paragraphs (1) Nos. 2 and 3 shall not apply in the case covered by Article 3 (5) second sentence.

Article 5

Measures and Justifications

(1) In the documents on the waste management concept, the person required to prepare the concept shall specify, for each type of waste to be specified pursuant to Article 2 (2) Nos. 1 and 2, any measures taken and planned to avoid, recover and dispose of waste, particularly measures taking into account requirements pursuant to Articles 4 through 6 and 10 through 12 of the Closed Substance Cycle and Waste Management Act.

(2) In the documents on the waste management concept and the waste balance sheet, the person required to prepare a concept and an analysis shall justify any need for waste disposal, for the types of waste to be specified pursuant to Article 2 (2) Nos. 1 and 2 and for the associated sub-quantity of waste pursuant to Article 2 (2) No. 3, taking into account the measures specified pursuant to paragraph (1) for avoidance and recovery.

Article 6

Site and Facility Planning for Parties Responsible for their Own Waste Management

(1) If the person required to prepare a concept is responsible for his own waste management, he shall - in the documents on the waste management concept, and in addition to the planned waste management chains - indicate, in the specification of the necessary site and facility planning and of the chronological sequence of such planning, whether and, if applicable, when any of his own waste management facilities are to be

1. put into operation or
2. taken out of operation for an extended period

within the calendar years covered by the waste management concept. Where a facility is to go into operation for the first time, the date of the relevant application shall also be included.

(2) In the documents on the necessary site and facility planning and for the chronological sequence of such planning, the person required to prepare a concept shall indicate whether, and to what extent, his own waste management facilities will be available for management of waste produced by him; this shall be specified for each calendar year covered by the waste management concept.

Article 7

Waste Management Concept, Waste Balance Sheet

(1) If waste produced by the person required to prepare a concept is produced at different sites, a waste management concept shall be prepared for each individual site. In such cases, the definition of "site" given in Article 2 letter k of Council Regulation (EEC) No. 1836, of 29 June 1993, allowing voluntary participation by companies in the industrial sector in a Community eco-management and audit scheme (OJ EC No. L 168 p. 1) shall be applied *mutatis mutandis*.

(2) Paragraph (1) shall apply *mutatis mutandis* to preparation of waste balance sheets. Where more than one waste producer number has been assigned to a site within the framework of waste supervision, a separate waste sub-balance sheet shall be prepared for each waste production site assigned to a waste producer number.

Article 8

Proper Form for the Waste Management Concept and the Waste Balance Sheet

(1) The person required to prepare a concept and an analysis may use the forms pursuant to Annex 1 for specification of his waste management concept and waste balance sheet; no specific form shall be required for any additional specification required by this Ordinance which is not covered by such forms.

(2) All entries in the documents on the waste management concept and the waste balance sheet shall be clearly legible and in the German language; they shall be printed, typewritten or written with a ball-point pen or other writing instrument that makes indelible marks. Where an original entry is rendered illegible, a note shall be added indicating whether such change occurred when the entry was made or at a later time.

(3) The person required to prepare a concept and an analysis may prepare the documents in digital form. In this case, instead of making written entries in the documents, he shall ensure that all the required information is properly saved.

(4) The competent authority and the person required to prepare a concept and an analysis may reach their own agreement regarding the structure of the digital documents and the means by which the data is to be submitted.

(5) The documents on the waste management concept and the waste balance sheet, if prepared in digital form, shall be properly saved by the person required to prepare a concept and an analysis, before being submitted to the competent authority.

(6) An environmental statement which has been submitted pursuant to Council Regulation (EEC) No. 1836, of 29 June 1993, allowing voluntary participation by companies in the industrial sector in a Community eco-management and audit scheme and accepted as valid shall be recognised as a waste management concept, or update thereof, and as a waste balance sheet if the eco-audit upon which the environmental statement is based fulfils the requirements of Articles 19 and 20 of the Closed Substance Cycle and Waste Management Act and of this Ordinance.

Article 9

Joint Waste Management Concept, Joint Waste Balance Sheet

(1) Upon application, the competent authority may permit two or more waste producers to prepare a joint waste management concept and a pertinent joint waste balance sheet if

1. the waste they produce can for the most part be classified within the same codes of waste;
2. they operate in the same *Land*,
3. the waste in question all comes from comparable areas of origin and economic activities.

Article 7 second sentence shall not apply.

(2) Where different waste producers participate in a joint waste management concept and a joint waste balance sheet, it shall be specified which information refers to each individual waste producer and which waste producers are required to prepare a concept and an analysis.

Section Three - Final Provisions

Article 10

Exceptions

The provisions of this Ordinance shall apply to the wastes listed in Annex 2 column 1, in accordance with the provisions laid down in Annex 2 column 2.

Article 11
Entry into Force

This Ordinance shall enter into force on 7 October 1996.

The *Bundesrat* has given its consent.

Bonn, 13 September 1996

The Federal Chancellor
Dr Helmut Kohl

The Federal Minister for the Environment, Nature Conservation and Nuclear Safety Angela Merkel

Annex 1 (to Article 8 (1))

Forms^{*)} for preparation of the waste management concept and the waste balance sheet

Note:

The forms are also used in connection with other ordinances, in addition to their use for the waste management concept and the waste balance sheet. For this reason, please pay careful note to the instructions for filling out the various spaces.

The following information must be included when forms for preparation of waste management concepts and waste balance sheets are used:

Cover sheet for waste management concept/waste balance sheet (KB)

with

1. Information about the person required to prepare a concept/an analysis;
2. Information about the company waste management officer (*Betriebsbeauftragter für Abfall*);
3. A list of the annexes to the waste management concept/waste balance sheet which are attached to the cover sheet;

Form for the Responsible Declaration (VE)

with

1. Information about the origin of the waste;
2. Description of the waste;
3. Information as to the quantities of waste produced annually;

Form for the Declaration of Acceptance (AE)

with

1. Information about the person required to prepare a concept/an analysis;
2. Information about the waste management facility;
3. Information about the waste management operation;

Form for the parties responsible for their own waste management (EE)

with

Information about the planning for the facility, and a description of the waste management chains for the parties responsible their own waste management;

Attachment sheet for the parties responsible for their own waste management (BE)

with

^{*)} Remarks on the layout of this form:

1. The form has been reduced in size; at its current size, it is not machine-readable and entries cannot be made with a typewriter or computer printer. For proper use, the form must be enlarged to the DIN A4 format (enlargement ratio of 84:100).
2. All space boundaries and shaded areas should be printed in the colour HKS 6 N, if possible. The shaded areas must not exceed 60% of the full-tone value. All fonts and numbers, and the alignment mark for computer systems, should be printed in black.

Supplementary information about the waste management chains for the parties responsible for their own waste management, in the case of additional wastes;

Form on waste management chains/destination of the waste (EV)

with

Information about the waste management chains for waste producers who are not responsible for their own waste management.

Annex 2 (to Article 10)
Exceptions pursuant to Article 10

Column 1	Column 2
Concrete from break-up of road surfaces, for recovery (code of waste 17 01 01 pursuant to the Ordinance on Codification of Waste for Recovery Requiring Supervision of 10 September 1996 (Federal Law Gazette I p. 1377))	The provisions of this Ordinance do not apply to the waste referred to in Column 1 No. 1.
2. Waste produced directly and routinely in pure research.	The waste referred to in Column 1 No. 2 may be exempted from this Ordinance, either temporarily or permanently, upon application.
3. Waste from waste producers with changing operating sites, in cases in which ownership/possession of the waste produced cannot be predicted, especially waste from construction activities performed as a commercial service	(1) Notwithstanding Article 2 (2) No. 3 letter b, determination is not required for the waste referred to in Column 1 No. 3. Notwithstanding Article 2 (1) No. 2, description of the waste production sites is not required in the waste management concept for the waste referred to in Column 1 No. 3.
4. Waste requiring special supervision, if less than 100 kg are produced in one calendar year; or waste requiring supervision, if less than 50 tonnes are produced in one calendar year	(1) Notwithstanding Article 5 (1), no specification of measures taken or planned is required for waste referred to in Column 1 No. 4. Notwithstanding Article 5 (2), no justification of the need for disposal is required for the waste referred to in Column 1 No. 4.
5. Waste from waste production sites or waste producers within the meaning of Article 44 (1) or of Article 47 (1) of the Closed Substance Cycle and Waste Management Act	(1) Notwithstanding Article 8 (1), the forms set forth in Annex 1 are to be used for the waste referred to in Column 1 No. 5. The waste production sites may be described in the form of a list. (2) Notwithstanding Article 8 (4), the structure of the digital data, and the proper form for the submission of data, are to be agreed with the competent authority for the waste referred to in Column 1 No. 5.

[Abfallwirtschaftskonzept- und bilanzverordnung, Anlage 1, Formblätter]

[S. 1452]

- A Alignment mark for EDP
- B Cover sheet for waste management concept/ waste balance sheet (KB)
- C Waste management concept for the years to
- D Waste balance sheet for the year
- E Re. No.

(Not to be filled out in the cases pursuant to Articles 44 and 47 of the Closed Substance Cycle and Waste Management Act (KrW-/AbfG))

- F Please fill out all relevant spaces or mark with a cross, as applicable.
- G Reserved for official entries
- H Please use a blank sheet of paper for any information about any other company waste management officers.
- I Please use characters as indicated here.
- J Bar-code space: 75 x 15 mm
- K ¹⁾Please use consecutive numbers.

1 **Information about the person required to prepare a concept / balance sheet**

- 1.1 Company / public corporation
- 1.2 Street House number
- 1.3 Postal code City
- 1.4 Contact
- 1.5 Telephone Fax

2 **Company waste management officer**

- 2.1 Serial number¹⁾ ... BA Name
Telephone Fax
- 2.2 Serial number ... BA Name
Telephone Fax
- 2.3 Serial number ... BA Name
Telephone Fax

3 **Attachments**

This waste management concept / waste balance sheet consists of:

- 3.1 ... forms for the Responsible Declaration (VE)
- 3.2 ... forms for the Declaration of Acceptance (AE)
- 3.3 ... forms for Parties responsible for their own waste management (EE)
- 3.4 ... Attachment Sheet(s) for the parties responsible for their own waste management (BE)
- 3.5 ... forms for waste management chains / destination of the waste (EV)
- 3.6 ... blank sheets
- 3.7 We assure that we have prepared the waste management concept / waste balance sheet in accordance with the provisions of the Ordinance on Waste Management Concepts and Waste Balance Sheets (AbfKoBiV)
- 3.8 City Date Legally binding signature
DD/MM/YY of the person required to prepare a
waste management concept / waste
balance sheet

[S. 1453]

- A Alignment mark for EDP
- B Page 1 of 2
- C Form for the Responsible Declaration (VE)
- D Responsible Declaration for the purpose of providing waste management records
Waste description for a waste management concept
Waste description for a waste balance sheet
Waste description for the purpose of notification pursuant to Article 11 of the Ordinance on Waste Recovery and Disposal Records (NachwV) (to be filled out by the waste producer)
- E Re. No.
(not to be filled out by the applicant; in the case of a waste management concept / waste balance sheet, to be copied from cover sheet)
Re. ... number ... VE¹⁾
The continuation sheet is attached.
- F Please fill out all relevant spaces or mark with a cross, as applicable.
Please fill out separate forms for each waste production site and for each code of waste
- G Reserved for official entries
- H Please use characters as indicated here.
- I Bar-code space: 75 x 15 mm
- J ¹⁾Please use consecutive numbers.
²⁾Operating sites, other stationary facilities, structures, plots of land or any mobile technical facilities that operate independently of the above.
- 1 Origin of the waste (not to be filled out in the case of collective waste management)**
- 1.1 Operational designation of the waste production site²⁾
- 1.2 The facility has been licensed under the Federal Immission Control Act, in accordance with No. ... column ... of the Appendix of the Fourth Ordinance on the Implementation of the Federal Immission Control Act (BImSchG).
Facility number according to BImSchG licence
Responsible waste management officer no. ... BA (to be copied from cover sheet for waste management concept / waste balance sheet)
- 1.3 Street or coordinates Waste producer number
- 1.4 Postal code City
- 1.5 Contact
- 1.6 Telephone Fax
- 1.7 Notification pursuant to Article 11 of the NachwV has been submitted to the competent authority for the waste production site.
Yes No
If yes, please specify notification number:

2 **Origin of the waste (to be filled out only in the case of collective waste management)**

2.1 *Land / Länder* in which the waste is collected

2.2 Transporter number

Name

Street or coordinates

Postal code City

Contact

Telephone Fax

[S. 1454]

A Alignment mark for EDP

B Page 2 of 2

C Form for the Responsible Declaration (VE)

D Reserved for official entries

E Please use characters as indicated here.

F Bar-code space: 75 x 15 mm

G ³⁾Pursuant to the Ordinance on the Introduction of the European Waste Catalogue, the Ordinance on Codification of Waste Requiring Special Supervision or the Ordinance on the Codification of Waste for Recovery Requiring Supervision.

⁴⁾Code pursuant to Annexes II to IV of 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; to be filled out only in the case of waste recovery.

⁵⁾To be filled out only in the case of a Responsible Declaration for the purpose of providing waste management records.

3 **Waste description**

3.1 Company internal designation

Code of waste³⁾

Code⁴⁾

(to be filled out only for a waste management concept / waste balance sheet and in the case of shipments out of the Federal Republic of Germany)

Waste designation³⁾

3.2 The waste has been pretreated: Yes No

Waste description (continued) (to be filled out only in the case of a Responsible Declaration for the purpose of providing waste management records)

3.3 Consistency: Solid Spadable Pasty/sludgy/pulpy Dusty Liquid

3.4 Odour Colour

3.5 Declaration Analyses are attached (not required for waste management concepts / waste balance sheets): Yes No

4 **Generation and handover of the waste to a waste transporter**

4.1 Quantity of the waste

Balance sheet year/

1st concept year 2nd concept year 3rd concept year 4th concept year 5th concept year

4.2 Frequency of handover⁵⁾

Once

Several times

5 **Responsible Declaration (to be filled out only in the case of a Responsible Declaration for the purpose of providing waste management records)**

5.1 We assure that the information given in this Responsible Declaration is correct. We will only provide waste for disposal which corresponds to the details given in the Responsible Declaration.

5.2 City Date Legally binding signature
DD/MM/YY of the waste producer

[S. 1455]

A Alignment mark for EDP

B Page 1 of 2

C Form for the Declaration of Acceptance (AE)

D Declaration of Acceptance for the purpose of providing waste management records
 Details on waste management, to be provided for the waste management concept
 Details on waste management, to be provided for the waste balance sheet
 Details on waste management, to be provided for the application for exemption pursuant to Article 13 of the NachwV (to be filled out by the party responsible for waste management / person required to prepare a waste management concept / waste balance sheet)

E Re. No.
 (not to be filled out by the applicant; in the case of a waste management concept / waste balance sheet, to be copied from cover sheet)

F Please fill out all relevant spaces or mark with a cross, as applicable.

G Reserved for official entries

H Please use characters as indicated here.

I Bar-code space: 75 x 15 mm

J ¹⁾Please specify operation pursuant to Annex II A or II B of the Closed Substance Cycle and Waste Management Act

²⁾Country code pursuant to Commission Decision 94/774/EC of 24 November 1994 on the uniform consignment note pursuant to Council Regulation (EEC) 259/93

1 **Information about the waste producer**

1.1 Company name

- 1.2 Street House number
- 1.3 Postal code City
- 2 Waste management facility (existing facility, or, in the case of a waste management concept, a planned facility)**
- 2.1 Waste management operation¹⁾ R or D
- 2.2 Parties responsible for their own waste management within the meaning of Art. 19 (1) No. 4 of the KrW-/AbfG (if applicable, please fill out form for parties responsible for their own waste management)
- 2.3 Designation of the waste management facility Waste management number
- 2.4 Street House number
- 2.5 Country²⁾ Postal code City
- 2.6 Contact
- 2.7 Telephone Fax
- 2.8 The facility has been exempted in accordance with Art. 13 of the NachwV:
Yes No
If yes, please specify exemption number
- 2.9 In the case of applications pursuant to Art. 13 of the NachwV, listing and description of wastes according to type, nature and quantity must be provided on a separate sheet as required by the competent authority.

[S. 1456]

- A Alignment mark for EDP
- B Page 2 of 2
- C Form for the Declaration of Acceptance (AE)
- D Reserved for official entries
- E Please use characters as indicated here.
- F Bar-code space: 75 x 15 mm
- G ³⁾Please specify operation pursuant to Annex II A or II B of the KrW-/Abfg

3 Waste management operation (to be filled out only in the case of concepts)

- 3.1 The wastes fed into the facility will be put to the following uses (given in per cent):
- | Substance recycling | Energy recovery | Disposal | None of the above |
|---------------------|-----------------|----------|-------------------|
| | | | |
- 3.2 The waste that was neither recovered nor disposed of will be managed in an operation pursuant to³⁾.
- 3.3 Type of facility or industrial sector in accordance with Art. 3 (4) of the AbfKoBiV (where it is not yet possible to specify a facility)

4 Declaration of Acceptance (only to be filled in the case of a Declaration of Acceptance for records)

4.1 We assure that the information given is correct. The facility has been licensed for waste management operations with regard to the declared waste in accordance with

Responsible Declaration No. VE to VE.

We assure that the waste will be recovered in our facility in a proper and safe manner or disposed of in a manner compatible with the public interest. We are willing to accept the declared waste.

4.2 City Date Legally binding signature
DD/MM/YY of the party responsible for
waste management

[S. 1457]

A Alignment mark for EDP

B Form for parties responsible for their own waste management (EE)

C Attachment to the information about waste management by companies themselves

Please fill out all relevant spaces or mark with a cross, as applicable.

D Re. No.

(to be copied from cover sheet)

Re. No. AE

E Reserved for official entries

F Please use characters as indicated here.

G Bar-code space: 75 x 15 mm

H ¹⁾Where further wastes are listed on attachment sheets, the final sum specified on the last continuation sheet shall be entered here.

²⁾Please mark this space with a cross if the waste production site is in a close spatial or operational relation with the waste management facility.

1 Facility planning

1.1 An application has been filed for the facility: Yes No
If yes, specify date of application DD/MM/YY

1.2 Has a licence been issued? Yes No

1.3 Is the facility operating? Yes No

If not, please specify expected start of operations:

If yes, please specify planned end of operations:

2 Facility planning (continued)

2.1 Calendar year

1st concept year 2nd concept year 3rd concept year 4th concept year 5th concept year

2.2 Capacity of the facility t/a

2.3 Total quantity carried over from attachment sheets¹⁾ t/a

1 st concept year	2 nd concept year	3 rd concept year	4 th concept year	5 th concept year
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾
Code of waste	No. ... AE	... ³⁾		t/a ⁴⁾

G Please use characters as indicated here.

H Bar-code space: 75 x 15 mm

I The continuation sheet is attached.

J ¹⁾Waste management operations inside and outside the Federal Republic of Germany must be specified on separate forms.

²⁾Please use consecutive numbers.

³⁾Please mark this space with a cross if the waste production site is in a close spatial or operational relation with the waste management facility.

⁴⁾Please enter the sub-quantities of waste to be fed into the waste management facility as declared on the form for the Declaration of Acceptance (AE), of the total quantity of waste belonging to the same code of waste and determined from the forms for Responsible Declaration (VE).

[Formblätter Nachweisverordnung]

[S. 1393]

A Alignment mark for EDP

B Cover sheet for records of proper waste management (EN)

C Record of proper waste management / Collective record of proper waste management / Simplified record of proper waste management / Simplified collective record of proper waste management (to be filled out by the waste producer)

Please fill out all relevant spaces or mark with a cross, as applicable.

- D No.
(not to be filled out by the applicant)
- E EN Record of proper waste management for waste
for recovery for disposal requiring special supervision
- F SN Collective record of proper waste management for waste
for recovery for disposal requiring special supervision
- G VN Simplified record for waste for recovery for disposal
requiring supervision
- H VS Simplified collective record for waste for recovery for disposal
requiring supervision
- I Reserved for official entries
- J Please use characters as indicated here.

K Information concerning the waste producer

Company / public corporation

Street

House number

Postal code

City

Contact

Telephone

Fax

Where several types of waste generated by the same waste producer are managed in the same facility, they may be accounted for in aggregated form in a single record of proper waste management. A separate Responsible Declaration form must be filled out for each waste production site. The waste production sites must be numbered consecutively; explicit reference must be made to this fact in the Declaration of Acceptance of the party responsible for waste management and, if applicable, in the confirmation from the authority.

This record of proper waste management contains the Responsible Declarations Nos.

... VE to ... VE.

- L Bar-code space: 75 x 15 mm

M For entries of the waste producer (to be filled out for record of proper waste management / collective record of proper waste management)

Date of the authority's confirmation of receipt

Date

DD/MM/YY

Documents are complete

Expiry of the period pursuant to Art. 5 (5) of the Ordinance on Waste Recovery and Disposal

Records (NachwV)

Date

DD/MM/YY

Copies of the Responsible Declaration and the Declaration of Acceptance as well as of the confirmation from the authority (where required in accordance with the NachwV) were sent to the competent authority on

Date

DD/MM/YY

[S. 1394]

- A Alignment mark for EDP
- B Page 1 of 2
- C Form for the Responsible Declaration (VE)
- D Responsible Declaration for the purpose of providing waste management records
Waste description for a waste management concept
Waste description for a waste balance sheet
Waste description for the purpose of notification pursuant to Article 11 of the (NachwV) (to be filled out by the waste producer)
- E Re. No.
(not to be filled out by the applicant; in the case of a waste management concept / waste balance sheet, to be copied from cover sheet)
Re. No. VE¹⁾
The continuation sheet is attached.
- F Please fill out all relevant spaces or mark with a cross, as applicable.
Please fill out separate forms for each waste production site and for each code of waste.
- G Reserved for official entries
- H Please use characters as indicated here.
- I Bar-code space: 75 x 15 mm.
- J ¹⁾Please use consecutive numbers.
²⁾Operating sites, other stationary facilities, structures, plots of land or any mobile technical facilities that operate independently of the above.

1 Origin of the waste (not to be filled out in the case of collective waste management)

- 1.1 Operational designation of the waste production site²⁾
- 1.2 The facility has been licensed under the Federal Immission Control Act, in accordance with No. ... column ... of the Appendix of the Fourth Ordinance on the Implementation of the Federal Immission Control Act.
Facility number according to licence under the Federal Immission Control Act
Responsible company waste management officer for the waste No. ... BA (to be copied from cover sheet for waste management concept / waste balance sheet)
- 1.3 Street or coordinates Waste producer number
- 1.4 Postal code City
- 1.5 Contact
- 1.6 Telephone Fax
- 1.7 Notification pursuant to Art. 11 of the NachwV has been submitted to the competent authority for the waste production site: Yes No
If yes, please specify notification number.

4 **Generation and handover of the waste to a waste transporter**

4.1 Quantity of the waste Balance sheet year/
1st concept year 2nd concept year 3rd concept year 4th concept year 5th concept year

4.2 Frequency of handover⁵⁾

Once

Several times

5 **Responsible Declaration (to be filled out only in the case of a Responsible Declaration for the purpose of providing waste management records)**

5.1 We assure that the information given in this Responsible Declaration is correct. We will only provide waste for disposal which corresponds to the details given in the Responsible Declaration.

5.2 City Date Legally binding signature
DD/MM/YY of the waste producer

[S. 1396]

A Alignment mark for EDP

B Page 1 of 2

C Form for the Declaration Analysis (DA)

D **Declaration Analysis for the record of proper waste management/ Collective record of proper waste management to be added to the Declarations of Proof**

(to be filled out by waste producer or collector in consultation with the party responsible for waste management)

E First submission
Alteration / addition

F Re. No.
(not to be filled out by the applicant)

Re. No. VE¹⁾

Please fill out all relevant spaces or mark with a cross, as applicable.

G 1 Chemico-physical treatment
2 Incineration
3 Surface landfill
4 Underground landfill
5 Other treatment processes
6 Recovery operations

H Please use characters as indicated here.

I Bar-code space: 75 x 15 mm

J ¹⁾Please use consecutive numbers.

K 1. Arsenic mg/l 21. TOC mg/l

2. Lead	mg/l	22. AOX	mg/l
3. Cadmium	mg/l	23. EOX	mg/l
4. Chromium-VI	mg/l	24. pH value	
5. Copper	mg/l	25. Conductivity	µg/l
6. Nickel	mg/l	26. low-volatility lipophile substances	mg/l
7. Mercury	mg/l	27. Extractable portion of original substance	wt. %
8. Zinc	mg/l	28. Extractable lipophile substances	wt. %
9. Fluoride	mg/l	29. Annealing loss of the dry residue	wt. %
10. Chloride	mg/l	30. Water-soluble portion	wt. %
11. Cyanides	mg/l	31. Water content	%
12. Ammonium	mg/l	32. Transverse resistance	kN/m
13. Sulphate	mg/l	33. Axial deformation	%
14. Nitrite	mg/l	34. Mono-axial deformation	kN/m ²
15. Phenols	mg/l	35. Melting point	°C
16. Fluorine	wt. %	36. Flash point	°C
17. Chlorine	wt. %	37. Boiling point/ boiling range	°C
18. Bromine	wt. %	38. Calorific value	kJ/kg
19. Iodine	wt. %	39. Vapour pressure at 30° C	hPa
20. Sulphur	wt. %		

[S. 1397]

- A Alignment mark for EDP
- B Page 2 of 2
- C Form for the Declaration Analysis (DA)
- D Please use characters as indicated here.
- E Bar-code space: 75 x 15 mm
- F ²⁾Please use attachment sheet(s), if necessary.
- 40. Formation of gas caused by after-reaction
 - 40.1 in packaging
 - 40.2 during exposure to air
 - 40.3 during exposure to salt rock
 - 40.4 at temperatures from ... °C upwards
- 41. Please specify the hazardous constituents¹⁾
 - 41.1 of the waste itself
 - 41.2 of the decomposition products

Further parameters ²⁾	Value	Dimension	Further parameters ²⁾	Value	Dimension
----------------------------------	-------	-----------	----------------------------------	-------	-----------

- 52. Further specifications

[S. 1398]

- A Alignment mark for EDP
- B Page 1 of 2
- C Form for the Declaration of Acceptance (AE)
- D Declaration of Acceptance for the purpose of providing waste management records
 Details on waste management, to be provided for the waste management concept
 Details on waste management, to be provided for the waste balance sheet
 Details on waste management, to be provided for the application for exemption pursuant to Article 13 of the NachwV (to be filled out by the party responsible for waste management / person required to prepare a waste management concept / waste balance sheet)
- E Re. No.
 (not to be filled out by the applicant; ...)
 Re. No. AE
 The continuation sheet is attached.
 Please fill out all relevant spaces or mark with a cross, as applicable.
- F Reserved for official entries
- G Please use characters as indicated here.
- H Bar-code space: 75 x 15 mm
- I ¹⁾Please specify operation pursuant to Annex II A or II B of the KrW-/AbfG.
²⁾Country code pursuant to Commission Decision 94/774/EC of 24 November 1994 on the uniform consignment note pursuant to Council Regulation (EEC) 259/93

1 Information about the party responsible for waste management

- 1.1 Company name
- 1.2 Street House number
- 1.3 Postal code City

2 Disposal facility (existing facility, or, in the case of a waste management concept, a planned facility)

- 2.1 Disposal operation¹⁾ R or D
- 2.2 Parties responsible for their own waste management within the meaning of Art. 19 (1) No. 4 of the KrW-/AbfG (if applicable, please fill out form for parties responsible for their own waste management)
- 2.3 Designation of the waste management facility Waste management number
- 2.4 Street House number
- 2.5 Country²⁾ Postal code City
- 2.6 Contact
- 2.7 Telephone Fax
- 2.8 The facility has been exempted in accordance with Art. 13 of the NachwV:
Yes No
If yes, please specify exemption number.

- 2.9 In the case of applications pursuant to Art. 13 of the NachwV, listing and description of wastes according to type, nature and quantity must be provided on a separate sheet as required by the competent authority.

[S. 1399]

- A Alignment mark for EDP
 B Page 2 of 2
 C Form for the Declaration of Acceptance (AE)
 D Reserved for official entries
 E Please use characters as indicated here.
 F Bar-code space: 75 x 15 mm
 G ¹⁾Please specify operation pursuant to Annex II A or II B of the KrW/AbfG.

3 **Waste management operation (to be filled out only in the case of concepts)**

The wastes fed into the facility will be put to the following uses (given in per cent):

Substance recycling	Energy recovery	Disposal	None of the above
....

- 3.2 The waste that was neither recovered nor disposed of will be managed in an operation pursuant to³⁾.
- 3.3 Type of facility or industrial sector in accordance with Art. 3 (4) of the Ordinance on Waste Management Concepts and Waste Balance Sheets (AbfKoBiV) (where it is not yet possible to specify a facility)

4 **Declaration of Acceptance (only to be filled out in the case of a Declaration of Acceptance for the purpose of providing waste management records)**

- 4.1 We assure that the information given is correct. The facility has been licensed for waste management operations with regard to the declared waste in accordance with Responsible Declaration No. VE to VE.

We assure that the waste will be recovered in our facility in a proper and safe manner or disposed of in a manner compatible with the public interest. We are willing to accept the declared waste

- 4.2 City _____ Date _____ Legally binding signature
 _____ DD/MM/YY _____
 of the party responsible for
 waste management

[S. 1400]

- A Alignment mark for EDP
 B Form for Official Confirmation (BB)
 C Official Confirmation
 of the permissibility of a waste management operation
 of exemption pursuant to Art. 13 of the NachwV
 (to be filled out by the authority for the waste management facility)
 D Re. No.

(not to be filled out by the applicant)

E Please fill out all relevant spaces or mark with a cross, as applicable.

F Reserved for official entries

G Please use characters as indicated here.

H Bar-code space: 75 x 15 mm

1 Confirmation of the permissibility of the waste management operation / exemption pursuant to Art. 13 of the NachwV

1.1 The permissibility of the planned waste management operation with regard to the waste(s)

Nos. ... VE to ... VE described in the Responsible Declarations

in the waste management facility described in the Declaration of Acceptance is hereby confirmed: Yes No

1.2 The waste management facilities described in the Declarations of Acceptance

Nos. ... AE to ... AE are hereby exempted (only applicable to exemptions pursuant to Art. 13).

Exemption is granted subject to the right to revocation.

1.3 Confirmation / exemption is granted with the following collateral provision(s):

1.4 The waste management record / exemption is valid until:

1.5 Specify reasons if declaration of proof is not confirmed or has a time limit of less than 5 years or was granted subject to the right to revocation or to collateral provisions:

1.6 This notice is subject to payment of a fee. A separate fee notice will be sent.

1.7 The attached instructions about available legal remedies are part of this notice

1.8 Reference number

1.9 City Date Signature

DD/MM/YY

[S. 1401]

A Alignment mark for EDP

B Cover sheet for notification / application (AA)

C Notification pursuant to Art. 11 of the NachwV

Please fill out all relevant spaces or mark with a cross, as applicable.

D Re. No.

(not to be filled out by the applicant)

E Reserved for official entries

F Please use characters as indicated here.

G Bar-code space: 75 x 15 mm

H Application for exemption pursuant to Art. 13 of the NachwV

Please fill out all relevant spaces or mark with a cross, as applicable.

I No.

(not to be filled out by the applicant)

J Reserved for official entries

1 Information about the waste producer

- 1.1 Company / public corporation
- 1.2 Street House number
- 1.3 Postal code City
- 1.4 We intend to make use of the privileged proof procedure pursuant to the NachwV for wastes requiring special supervision specified in the attached Responsible Declarations Nos. ... VE to ... VE.
The waste management operations planned for these wastes are specified on a separate attachment sheet.
- 1.5 We assure that the waste declared in the Responsible Declarations is exclusively managed in facilities that have been granted exemption pursuant to Art. 13 of the NachwV.
- 1.6 City Date Legally binding signature
DD/MM/YY of the waste producer

1 Information about the party responsible for waste management

- 1.1 Company
- 1.2 Street House number
- 1.3 Postal code City
- 1.4 We hereby apply for exemption from the obligation to accept handover of waste requiring special supervision only after prior confirmation of the record of proper waste management within the meaning of Art. 5 of the NachwV with regard to the attached Declarations of Acceptance Nos. ... AE to ... AE.
The codes of waste assigned to the facilities are listed on a separate attachment sheet.
- 1.5 We assure that we will only accept waste from producers that have fulfilled their notification obligation pursuant to Art. 11 of the NachwV.
- 1.6 City Date Legally binding signature
DD/MM/YY of the party responsible for waste management

[S. 1402]

- A Alignment mark for EDP
- B **Consignment note**
Record for providing proof of waste management operations
- C Page 1
- D No.
- E This copy (white), along with the transporter's signature, must be added to the waste producer's record book.
- F Bar-code space: 75 x 15 mm
- G Waste designation¹⁾
- H Code of waste¹⁾

- I Number of the record of proper waste management
- J Quantity (given in t)
- K Waste producer number
- L Transporter number
- M Waste management number
- N Date of handover (DD/MM/YY)
- O Date of handover (DD/MM/YY)
- P Date of acceptance (DD/MM/YY)
- Q Company name and address Company name and address Company name and address
- R Please use characters as indicated here.
- S Signature (as assurance of correct declaration)
- T Signature (as assurance of proper transport)
- U Signature (as assurance of accepting waste for the purpose of proper waste management)
- V To be used for remarks / handover certificate numbers (when using a collective record of proper waste management)
- W Any other companies involved in the transport operations:
- X Transporter number (first change of transporter)
- Y Transporter number (second change of transporter)
- Z Intermediate storage
- A1 Date of handover (DD/MM/YY)
- A2 Date of handover (DD/MM/YY)
- A3 Date of acceptance (DD/MM/YY)
- A4 Transporter (only name and address)
- A5 Transporter (only name and address)
- A6 Company name and address
- A7 Signature (as assurance of proper further transport)
- A8 Signature (as assurance of proper further transport)
- A9 Date of handover (DD/MM/YY)
- A10 ¹⁾Pursuant to the Ordinance on the Introduction of the European Waste Catalogue, the Ordinance on Codification of Waste Requiring Special Supervision or the Ordinance on the Codification of Waste for Recovery Requiring Supervision.
- A11 Signature (as assurance of proper intermediate storage)

[S. 1408]

- A Alignment mark for EDP
- B **Handover certificate**
- C Page 1 No.
- D This copy (white), along with the signature of the waste transporter / party responsible for waste management, must be added to the waste producer's / transporter's record book whenever a change of transporter occurs.
- E Bar-code space: 75 x 15 mm

- F Waste designation¹⁾
- G Code of waste¹⁾
- H Number of the record of proper waste management
- I Quantity (given in t)
- J Waste producer number (where available)
- K Transporter number (handover from the waste producer)
- L Waste management number (where available)
- M Please use characters as indicated here.
- N Waste producer / transporter (in the case of a change of transporter) (Name and address)
- O Date of handover (DD/MM/YY)
- P Transporter (name and address)
- Q Party responsible for waste management (name and address)
- R Signature (as assurance of correct declaration)
- S Signature (as assurance of proper transport)
- T Signature (as assurance of accepting waste for the purpose of proper waste management)
- U To be used for remarks
- V ¹⁾Pursuant to the Ordinance on the Introduction of the European Waste Catalogue, the Ordinance on Codification of Waste Requiring Special Supervision or the Ordinance on the Codification of Waste for Recovery Requiring Supervision.

[Transportgenehmigungsverordnung, Anlage 1, Formblätter]

[S. 1417]

- A Alignment mark for EDP
- B Page 1 of 2
- C Form for an application for issuance of a transport licence (AT)
- D Application for issuance of a transport licence pursuant to Art. 49 (1) and Art. 50 (2) No. 1 of the Closed Substance Cycle and Waste Management Act (KrW-/AbfG) in conjunction with Art. 7 of the Ordinance on Transport Licences (TgV).
- E Please fill out all relevant spaces or mark with a cross, as applicable.
- F Please use characters as indicated here.
- G Bar-code space: 75 x 15 mm
- H ¹⁾Please number the attachments consecutively and enter the relevant number.
²⁾If interim storage or another activity is to be carried out that does not involve use of a motor vehicle, see Art. 7 (2) No. 1 of the TgV.

1 Applicant (company owner) (headquarters of the collector and transporter)

- 1.1 Company Transporter number
- 1.2 Street House number
- 1.3 Postal code City
- 1.4 Telephone Fax

The following documents on the applicant are attached or have previously been submitted to the authority:

	Date of issuance DD/MM/YY	Submitted to the authority	Attachment ¹⁾
1.5	Trade or business registration		
1.6	A relevant excerpt from the commercial register		
1.7	Any relevant information from the central commercial register		
1.8	Proof of a motor-vehicle liability insurance policy		
1.9	Proof of a company liability insurance policy ²⁾		
1.10	Proof of an environmental liability insurance policy ²⁾		

2 Company owner, legal representatives of the company owner, person empowered to represent or manage the company

2.1	Name	Date of birth DD/MM/YY		Place of birth
2.2	Police certificate of good conduct	Date of issuance DD/MM/YY	Submitted to the authority	Attachment ¹⁾
2.3	Any relevant information from the central commercial register			
2.4	Name	Date of birth DD/MM/YY		Place of birth
2.5	Police certificate of good conduct	Date of issuance DD/MM/YY	Submitted to the authority	Attachment ¹⁾
2.6	Any relevant information from the central commercial register			
2.7	Please use a blank sheet to specify any other relevant persons.			

[S. 1418]

- A Alignment mark for EDP
- B Page 2 of 2
- C Form for an application for issuance of a transport licence (AT)
- D Please use characters as indicated here.
- E Bar-code space: 75 x 15 mm
- F ¹⁾Please number the attachments and enter the relevant number.

3 Persons responsible for managing and supervising operations

3.1	The company owner referred to under No. ...			
3.2	The following person:			
3.3	Name	Date of birth DD/MM/YY		Place of birth
3.4	Proof of the relevant technical competence	Date of issuance DD/MM/YY	Submitted to the authority	Attachment ¹⁾

