

## Certificate of Proper Waste Management of Waste in Germany

### 1. The “Record of Proper Waste Management” (RPWM) Procedure

Waste producers in Germany generating more than 2000 kg hazardous waste per year have to follow the RPWM procedure for each type of HW generated. The RPWM requires a certification of the intended treatment of a waste type by the competent authority. A RPWM approved by the competent authority allows the waste producer to send the waste to a specific recovery or disposal facility over a maximum period of 5 years. Individual shipments do not require further approval. The details of the RPWM procedure are laid down in the [“German Ordinance on Waste Recovery and Disposal Records of 20 October 2006”](#)

The following table summarizes the key players and their roles and definitions according to the ‘Record of Proper Waste Management’ procedure.

Table 1: Key players and their role during the ‘Record of Proper Waste Management’ procedure

Key player	Role
<b>Waste producer</b>	The entity producing hazardous waste
<b>Competent authority of the waste producer</b>	The competent Government authority that is responsible for supervising waste management activities in its administrative region to which the waste producer belongs
<b>Waste management facility</b>	The facility that is receiving hazardous waste from the waste producer for recovery or disposal
<b>Competent authority of the waste management facility</b>	The competent Government authority that is responsible for supervising recovery- and disposal activities in its administrative region to which the waste management facility belongs. This authority has to ensure that operations of the waste management facility have no adverse effects on the environment and human health.
<b>Transporter</b>	The carrier who transports hazardous waste from the waste producer to the waste management facility

### Documentation requirements

For the documentation of the RPWM procedure the German Regulator has issued a dossier comprising 5 document forms with four carbon copies each which is called “Record of Proper Waste Management” (See Table 2).

Table 2: Overview of forms included in the 'Record of Proper Waste Management' dossier

No	RPWM Form, contents	Party filling in the relevant document
1	<b>Cover sheet (CS) for application</b> , containing contact details of the waste producer and other relevant information	To be filled in by the waste producer, to be confirmed by the competent authority of the administrative region to which the waste producer belongs
2	<b>Declaration of Responsibility (DR)</b> , containing information on the waste to be transported to the treatment facility, e.g. relevant waste code, information on the production process	To be filled out by the waste producer with legally binding signature
3	<b>Declaration Analysis (DAn)</b> , characterizing the waste and its key pollutants by chemical analysis	To be elaborated by an independent laboratory on behalf of the waste producer (A declaration analysis is only required if the competent authority of the waste management facility deems it necessary)
4	<b>Declaration of Acceptance (DA)</b> , (i) confirming that the waste management company is in a position to treat the waste in compliance with respective regulations; (ii) providing a brief description how the waste will be treated	To be filled in by the waste management facility with legally binding signature
5	<b>Official Confirmation (C)</b> Approval or denial of the intended waste treatment	To be filled in by the competent authority of the waste management facility

### Information Flow

The information flow during the RPWM application procedure includes four steps which are depicted in Fig. 1 and explained below:

- 1) The waste producer fills in the Cover Sheet (CS), provides requested information on the waste and signs the Declaration of Responsibility (DR) (legally binding signature). He attaches the Declaration Analysis (DAn) (if required) and sends the entire dossier to the waste management facility where the waste shall be treated.
- 2) The waste management facility fills in and signs the Declaration of Acceptance (DAc) declaring that the waste will be accepted and treated properly. A copy of the

Declaration of Acceptance (DAc) is sent to the waste producer for internal communication. The waste management facility forwards the dossier with 4 forms completed (CS, DR, DAn, DA) to the competent authority responsible for the waste management facility.

- 3) The competent authority of the waste management facility checks the permissibility of the intended waste management, approves or denies it, and lays down its final decision in the confirmation (C). The authority then sends the original version of the entire dossier including the confirmation (C) back to the waste producer and accordingly a copy to the waste management facility.
- 4) In case the competent authority of the waste producer is different from the one responsible for the waste management facility (the waste producer and the waste management facility may be located in different Counties, Districts or States so that they fall under different jurisdiction), the waste producer sends also a copy of the entire dossier to his competent authority.

After receipt of the confirmed RPWM dossier, the waste producer can send the declared waste by a licensed carrier to the waste management facility. The waste producer has to provide a copy of the RPWM dossier to the carrier as part of the movement documents.

During the validity period of the RPWM no further application/approval procedures are required with regard to the respective waste stream. The competent authorities of the waste producer and of the waste management facility are kept informed about the progress of waste shipment via notifications belonging to the respective RPWM dossier.

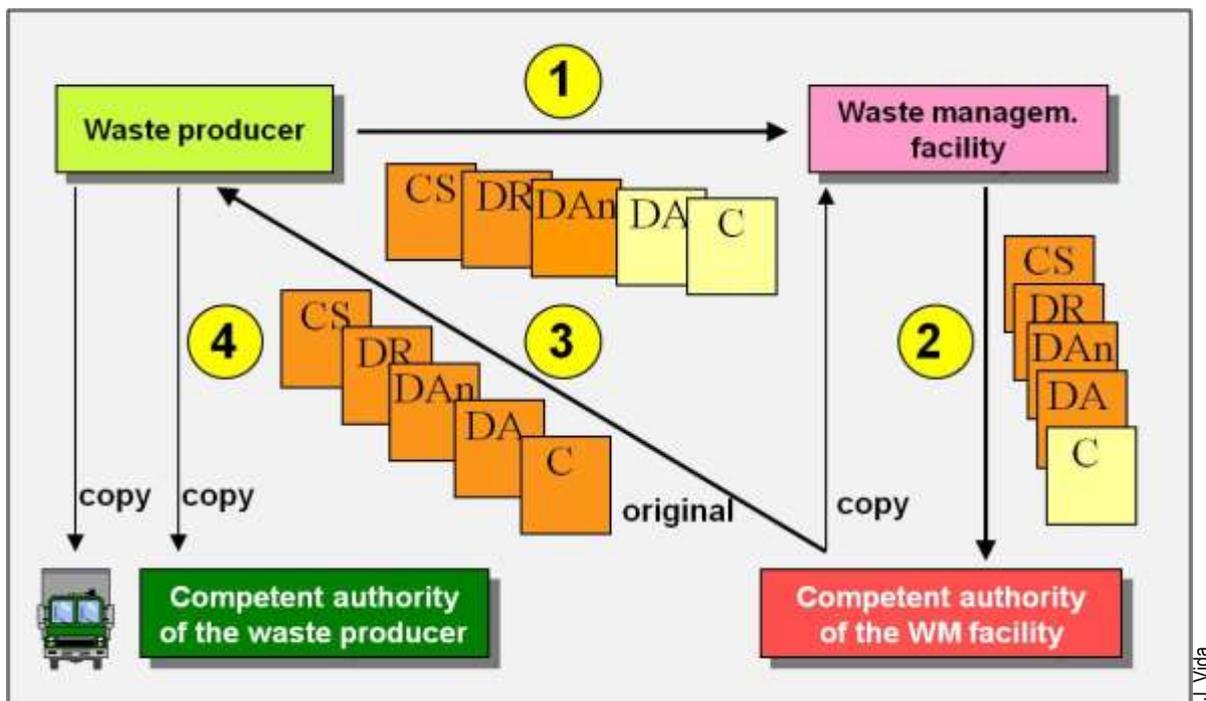
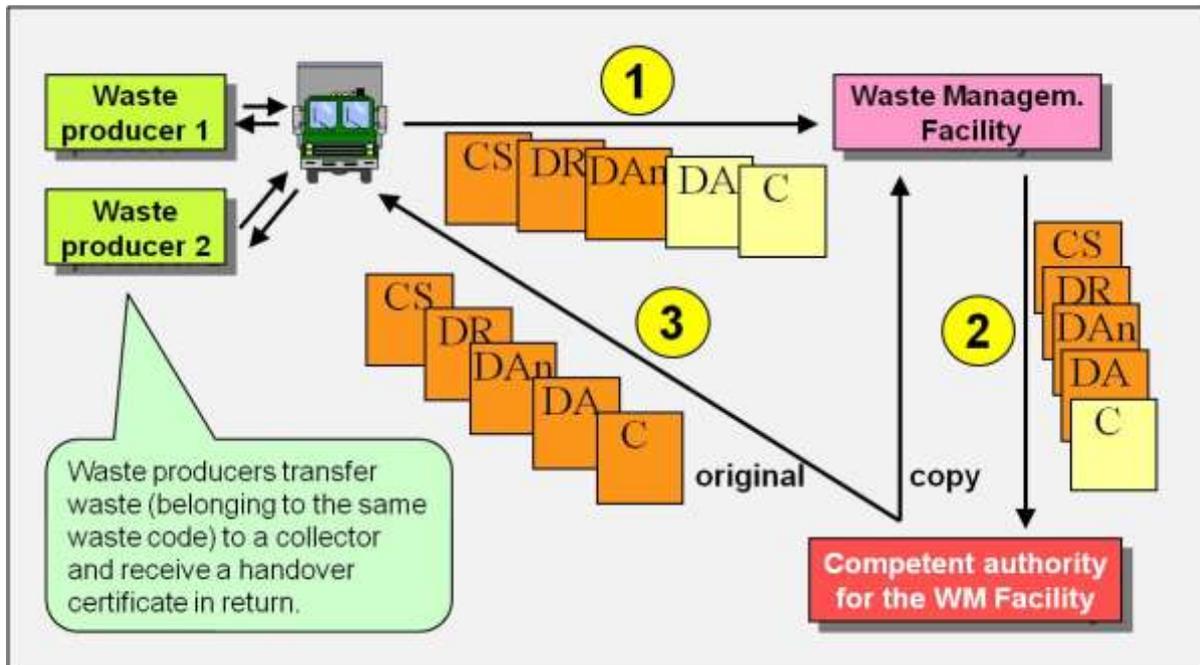


Fig. 1: Information Flow of the 'Record of Proper Waste Management' application procedure

### The "Collective Record of Proper Waste Management" Procedure

A possible variation of the RPWM is the so-called "collective" RPWM. A carrier intending to collect a specific waste type within a certain area may act as waste producer in the sense of the RPWM procedure and therefore apply for a "collective" RPWM (see Fig. 2). With a collective RPWM, a waste transporter is allowed to collect a specified waste type from different waste producers located in a specified area. All wastes to be collected from the different waste producers must have similar characteristics, i.e. they must belong to the same waste code, and they have to be delivered to the same recovery or disposal facility. For each collection tour, the transporter (= acting as combined waste producer and carrier) submits one consignment note indicating the total hazardous waste amount collected during the tour

When handing over the waste to the transporter, the waste producer receives a handover certificate (= receipt) which he must keep in his records and forward to his competent authority on request.



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Fig. 2: The 'Collective Record of Proper Waste Management'

The collective RPWM is a simplification of the standard RPWM. It is a valuable management tool since it reduces monitoring and supervision efforts of the competent authorities. Its application is particularly useful for:

- waste producers generating small quantities (it saves them the effort to apply for an individual RPWM)
- For control of waste streams in areas where a lot of similar waste types are being generated (e.g. in industrial clusters specialized on one industry).

A case for applying a collective RPWM procedure is for example the collection of waste oil from workshops and garages.

Given that small and medium scale industries belonging to the same industrial sector are often concentrated in so called industrial *clusters*, the collective RPWM is an important approach for substantial improvement of hazardous waste management.

### 1.1. Consignment Notes (CN) for Proving Completion of Hazardous Waste Operations

Each type of hazardous waste produced and handed over to a waste transporter for shipment to a recovery or disposal facility must be accompanied by a separate set of

consignment notes, each set consisting of six copies. These copies of six different colors must be distributed according to the [German Ordinance on Waste Recovery and Disposal Records](#) (see Fig. 3):

- Copies 1 (white) and 5 (gold) shall be added to the waste producer's records
- Copies 2 (pink) and 3 (blue) shall be submitted to the competent authority
- Copy 4 (yellow) shall be added to the waste transporter's records; if there is a change of transporter, it shall be added to the last waste transporter's records
- Copy 6 (green) shall be added to the records of the party (facility) responsible for waste management

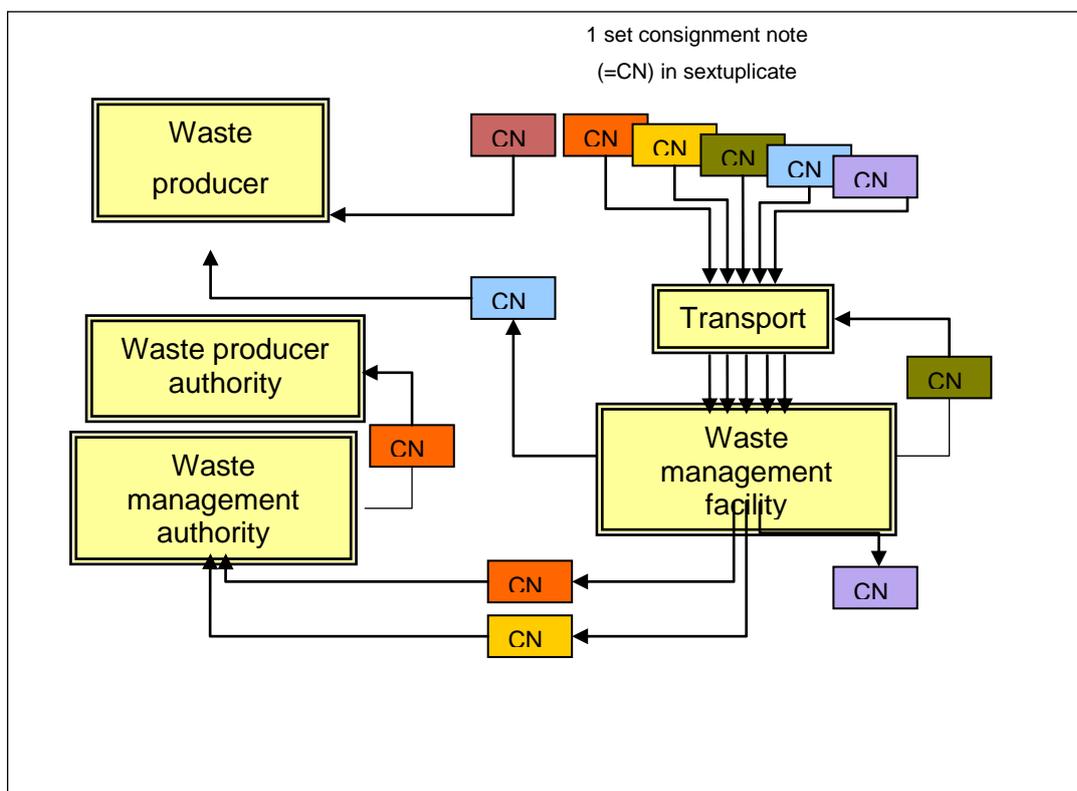


Fig. 3 Proof of completed waste management operations in the form of sextuplicate consignment note

### 1.2.2. Application of Management Information Systems

The RPWM and the consignment note procedure are important management tools for regulators and enforcing agencies. Consignment note data are an important information source for statistical and planning agencies. If the consignment note data are correctly completed and consequently controlled by competent authorities, the collected data from the

documentation can provide a realistic picture of the actual waste recovery and disposal situation including information on waste codes, quantities, origin and destination of hazardous waste. However manual evaluation of vast quantities of consignment notes is cumbersome. For making the complex information flow of both procedures more convenient and for facilitating downstream use of data, paper based communication systems are being replaced by electronic state-of-the-art technology.

Since 1 April 2010 the electronic data management of hazardous waste shipment is mandatory. All involved parties avoid the use of paper copies for the monitoring of hazardous waste shipments. The system is called "eANV"<sup>1</sup> and uses a central server with SSL (Software Site License) key, to which all parties can gain access via an internet browser<sup>2</sup>. Electronic "Records of Proper Waste Management" and consignment notes are transferred from the internal software to the server and from the server to the competent authorities, transporters and waste management facilities as well as to the waste producers. Users of the system have to acquire digital signatures in order to sign the electronic documents. Waste producers and carriers are yet permitted to use manual signatures during a transition period until 2011. A pilot version of the electronic consignment note procedure has already been in place in the German state of Bavaria since 2003.

Hazardous waste management is subject to supervision and control by the responsible competent authorities. Waste producers, waste transporters, waste management facilities and operating companies have to provide the relevant information to the responsible authorities. Any planned hazardous waste management operation requires the permit and approval of the authorities. Certification of completed hazardous waste management operations shall be provided in form of consignment notes. This can be done by using paper copies or electronic data management systems.

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<sup>1</sup> eANV = Electronic Waste Verification Procedure (= elektronisches AbfallNachweisVerfahren (in German)

<sup>2</sup> For further information please refer to [www.ebegleitschein.de](http://www.ebegleitschein.de) (only in German).