

SLAB Export Notice Checklist for Shipments to OECD Countries¹

Disclaimer: This checklist is an assistance tool provided by EPA for the convenience of the regulated community. It is not a regulation, nor can it be considered a substitute for the regulations themselves, or for related laws and applicable court decisions. EPA does not intend this checklist to be cited as legal precedent before a court or before EPA.

This checklist is intended for non-crushed, spent lead-acid batteries (SLABs) with intact casings. Crushed SLABs, SLABs that were drained of acid by cracking the casings, or separated SLAB components being exported for recovery of lead and other materials are not considered here since they do not qualify for the special management standards of either the SLAB regulations in 40 CFR part 266 subpart G, or the Universal Waste regulations in 40 CFR part 273. Instead, such shipments could potentially be subject to RCRA manifest and other RCRA requirements for hazardous waste depending on the results of a hazardous waste determination.

Preparing an Export Notice

THERE IS NO OFFICIAL U.S. EXPORT NOTICE FORM. The listed rows in the table below include the items that an exporter must submit as part of the notification of intent to export required in 40 CFR 262.83. You may copy the table format below, use the general OECD notification form found on p.64 of the [2009 OECD Guidance Manual](#), or use the form that is preferred by the Country of Import. All listed items, unless noted as “not required,” must be included in order for the submitted notification to be considered complete by EPA under 40 CFR 262.83. Additional fields in the OECD notification form not discussed below may be required by the Country of Import. Check with the Country of Import to determine what additional information may be needed.

Submitting an Export Notice

Under 40 CFR 262.83, you must submit your completed notification to EPA at least 45 days before you intend to send the first SLAB shipment off site. If you know that the foreign recycling facility is pre-approved by its government to receive SLABs from other OECD Member countries for recovery, then you must submit the notification at least 10 days before you intend to send the first SLAB shipment off- site. There is no guarantee that consent can be obtained within this period, so additional advance notice is recommended. Notices may be submitted using the following methods.

Mail: ATTN: OECD Export Notification
 [“ATTN: OECD Export Notification – Pre-approved Facility” if
 destination is pre-approved]
 Office of Enforcement and Compliance Assurance,
 Office of Federal Activities,

¹ Australia, Austria, Belgium, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, the Republic of Korea, the Slovak Republic, Slovenia, Spain, Sweden, Switzerland, Turkey, and the United Kingdom (as of 12/11/2015).

International Compliance Assurance Division (2254A)
Environmental Protection Agency
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Courier or hand delivery: ATTN: OECD Export Notification
 [“ATTN: OECD Export Notification – Pre-approved Facility” if
 destination is pre-approved]
 Office of Enforcement and Compliance Assurance,
 Office of Federal Activities,
 International Compliance Assurance Division
 Environmental Protection Agency
 Ariel Rios Building, Room 6144
 12th St. and Pennsylvania Ave., NW
 Washington, DC 20004

| Data Item Required in Notice (see §262.83) | Guidance on Data Item | Where to Enter if using OECD Notification Form |
|--|---|---|
| SLAB exporter: Name | Exporter is anyone arranging for shipment of the SLABs overseas – may be original SLAB collector, or company that physically picks up and manages SLABs from many smaller collection points, or even someone who buys the SLABs through the internet and arranges for shipment overseas. Exporter, as defined in 40 CFR 262.81, must be living in the United States. See important explanation of exporter obligations at the end of this checklist. | Block 1, “Name” |
| SLAB exporter: Mailing address (street, city, state, zip code) | See above. | Block 1, “Address” |
| SLAB exporter: Telephone number | See above. | Block 1, “Tel” |
| SLAB exporter: Fax number | See above. | Block 1, “Fax” |
| SLAB exporter: Email address | See above. | Block 1, “E-mail” |
| SLAB exporter: EPA ID number | Must list if you have one. A broker arranging for export without physically possessing the SLABs may not have one, in which case the broker may leave this blank or list EPA ID number of client associated with the export (e.g., generator, transporter, or permitted facility storing the SLABs) for whom you are preparing the export notification. | Block 1, “Registration No” |
| Foreign Importer: Name | The importer may be: <ul style="list-style-type: none"> • the foreign recovery facility that will recycle the SLABs (if so, state “same as recovery facility”) • a facility that initially accepts the SLABs for exchange operation (R12) or accumulation operation (R13) prior to the actual recycling of the SLABs at the foreign recovery facility • a broker or trader arranging for the import that is under the jurisdiction of the importing country. | Block 2, “Name” |
| Foreign Importer: Address | See above. | Block 2, “Address” |
| Foreign Importer: Telephone number | See above. | Block 2, “Tel” |

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| Foreign Importer: Fax number | See above. | Block 2, "Fax" |
| Foreign Importer: Email address | See above. | Block 2, "E-mail" |
| Foreign Importer: whether R12 or R13 to be done | If the importer is a facility that will accept the SLABs for exchange operation R12 or accumulation operation R13 prior to the actual recycling at the foreign recovery facility, then R12 or R13 needs to be listed here. If the importer is a broker, do not list anything else here. If the importer is the same as the foreign recovery facility, do not list anything here. | If shipments will go to R12/R13 facility prior to recycling, put either R12 or R13 in Block 11, "R-code" and "Technology employed." See below for more directions in this case. |
| Foreign Recovery Facility: Name | Where the SLABs will actually be recycled. | Block 10, "Name" [If shipments will go to R12/R13 facility prior to actual recycling, then list R12/R13 facility information in Block 10, state "see attachment" after "Actual site of disposal/recovery," and attach separate paper listing recovery facility information, R-codes and technologies used.] |
| Foreign Recovery Facility: Address | See above. | Block 10, "Address" |
| Foreign Recovery Facility: Telephone number | See above. | Block 10, "Tel" |
| Foreign Recovery Facility: Fax Number | See above. | Block 10, "Fax" |

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| Foreign Recovery Facility: Email address | See above. | Block 10, “E-mail” |
| Foreign Recovery Facility: Recovery Operations and Technologies to be used on SLABs | Indicate the recovery operations the recovery facility will perform on the SLABs. Recovery operations are listed in the definitions section at 40 CFR 262.81. Most likely entries for R-codes include: R4 – recycling/reclamation of metals and metal compounds R6 – regeneration of acids or bases Narratively describe technologies to be used. Attach details if necessary. | Block 11, “R-code” and “Technology employed.” [If description of technology long, state “see attached description” and attach detailed description.] |
| Intended Transporter: Name | List information for all transporters to be used between start of shipment in the US through to the receipt of the shipment at the foreign recovery facility. If using this table, simply add more rows to enter additional transporters. | Block 8, “Name” [State “see list” and attach separate list if more than one.] |
| Intended Transporter: Address | | Block 8, “Address” |
| Intended Transporter: Telephone number | | Block 8, “Tel” |
| Intended Transporter: Fax number | | Block 8, “Fax” |
| Intended Transporter: Email address | | Block 8, “E-mail” |
| Intended Transporter: Means of transport | Use one or more of following entries: R [road], T [train/rail], S [sea], A [air], W [inland waterways] | Block 8, “Means of transport” |
| Hazardous Waste to be Exported: Description | Spent lead-acid batteries, whole. Indicate whether or not drained of acid, and whether or not non-spillable. See important explanation on proper identification of SLABs at the end of this checklist. | Block 12 |
| Hazardous Waste to be Exported: OECD Waste Codes | A1160 (“waste lead-acid batteries, whole or crushed”) | Block 14, item (i) |
| Hazardous Waste to be Exported: RCRA Waste Codes | Most likely entries include: D008, D002 (list all that apply) | Block 14, item (iv) |
| Hazardous Waste to be Exported: United Nations (UN) number | Most likely entries include: UN2794 (if “batteries, wet, filled with acid”). UN2800 (if “batteries, wet, non-spillable”). | Block 14, item (x) |

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| Country of export relevant competent authority and point of departure | US competent authority code is USA01. List any U.S. port of exit likely to be used. | Block 15, “state of export”, items (a), (b), (c). If more than one port, state “see attached list” and attach list. |
| Countries of transit, relevant competent authorities, and points of entry and departure | List each country, the relevant competent authority code, and for each list the expected point of entry and point of exit (if a transit country). If shipment might use more than one point of entry or exit for a given country, list all points that could be used. Competent authority codes for OECD Member country may be listed at http://www2.oecd.org/waste/Countries.asp?q=1 , but contact countries directly to ensure information is current. | Block 15, “state(s) of transit”, items (a), (b), (c). If more than three transit countries or more than one entry or exit point per country, state “see attached list” and attach list. |
| Country of import, relevant competent authority and point of entry | List importing country, relevant competent authority code, and any point of entry likely to be used. The link provided above may be helpful for identifying appropriate competent authority codes; contact countries directly to ensure information is current. | Block 15, “state of import”, items (a), (b), (c). If more than one port, state “see attached list” and attach list. |
| Whether Notification is Single or General | Single notifications cover one single shipment. General notifications cover multiple shipments over a period of up to 12 months (may cover up to 3 years if recovery facility is pre-approved; check with importing country). | Block 3 |
| Requested Period of Export | List desired Start Date to cover when you would like to ship SLABs, and list either desired End Date or number of months you would like to export (up to 12 months is allowed for standard, or possibly up to 3 years if recovery facility is pre-approved). | Block 6 |
| Maximum Export Quantity of SLABs | List total weight of SLABs you expect to export during period of export. | Block 5, list weight in metric tons, listed as “Tonnes (Mg)” |

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|--|--|---|
| Units for Maximum Export Quantity Listed | List units for weight listed above, most likely entries include: pounds (P) kilograms (K) U.S. tons (T, equal to 2000 pounds) Metric Tons (M, equal to 1000 kilograms) | No need to list separately. See above. |
| Certification/Declaration by exporter: | <p>“I certify that the above information is complete and correct to the best of my knowledge. I also certify that legally-enforceable written contractual obligations have been entered into, and that any applicable insurance or other financial guarantees are or shall be in force covering the transboundary movement.”</p> <p>Name: Signature: Date:</p> | Block 17, “Exporter’s-notifier’s name” “Date”, “Signature” |

[Exporter Obligations](#)

When multiple parties involved in an export of hazardous waste can meet the definition of an exporter, EPA requires that only one party perform the exporter duties under 40 CFR part 262 subpart H (e.g., notices, movement documents, annual reports, exception reports, recordkeeping) to avoid duplicative submissions. But all parties still have the responsibility to ensure that the exporter duties are met. If a problem arises with an export, EPA has the authority to enforce the RCRA export regulations against all parties associated with that export who meet the definition of an exporter. To avoid noncompliance with RCRA regulations, we recommend parties to export transactions assign and document these exporter responsibilities among themselves to ensure that the exporter duties are met.

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Proper Identification of SLABs

The following guidance is provided to help the exporter describe the “most likely” or “possible” entries for describing non-crushed, spent lead-acid batteries (SLABs) with intact casings.

Description. Should indicate whether or not the SLABs have been drained of acid, and whether or not the SLABs meet the DOT definition of “non-spillable” (must meet specific DOT and international criteria).

RCRA Waste Code. You should list all codes that apply to the SLABs you intend to export, which would typically be D008 (i.e., characteristically hazardous for lead) and D002 (e.g., characteristically hazardous for corrosivity) if any or all of the SLABs will contain acid. If all of the SLABs will be drained of acid and no longer contain any free flowing corrosive liquid (see definition of corrosive at 40 CFR 261.22), then D002 would not apply.

Shipping Name, UN Number, Hazard Class and Packing Group. DOT shipping names, ID numbers, hazard classes and packing group entries are listed for individual materials in the “Hazardous Materials Table” at 49 CFR 172.101. The text “waste” was added to each likely shipping name per the instructions in §172.101(c)(9). Shipping names are linked to the DOT ID Numbers (UN/NA numbers), hazard classes, and packing groups (PG numbers). The most likely classifications for intact SLABs would be “waste batteries, wet, filled with acid” (UN2794, class 8, PG III), or “waste batteries, wet, non-spillable” (UN2800, class 8, PG III). The DOT classifications are consistent with the international shipping classifications found at p.255, Chapter 3.2 of 2009 edition of [United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations.](#)

According to 49 CFR 173.159(f), batteries may be considered “non-spillable” if they are capable of withstanding the following two tests, without leakage of battery fluid from the battery:

(1) Vibration test. The battery must be rigidly clamped to the platform of a vibration machine, and a simple harmonic motion having an amplitude of 0.8 mm (0.03 inches) with a 1.6 mm (0.063 inches) maximum total excursion must be applied. The frequency must be varied at the rate of 1 Hz/min between the limits of 10 Hz to 55 Hz. The entire range of frequencies and return must be traversed in 95 ± 5 minutes for each mounting position (direction of vibrator) of the battery. The battery must be tested in three mutually perpendicular positions (to include testing with fill openings and vents, if any, in an inverted position) for equal time periods.

(2) Pressure differential test. Following the vibration test, the battery must be stored for six hours at $24\text{ }^{\circ}\text{C} \pm 4\text{ }^{\circ}\text{C}$ ($75\text{ }^{\circ}\text{F} \pm 7\text{ }^{\circ}\text{F}$) while subjected to a pressure differential of at least 88 kPa (13 psig). The battery must be tested in three mutually perpendicular positions (to include testing with fill openings and vents, if any, in an inverted position) for at least six hours in each position.

This is consistent with the international criteria for non-spillable batteries, as listed in special provision 238 on p.305 in Chapter 3.3 of 2009 edition of [United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations.](#)

The shipment should have only one hazard class. The most likely entries for SLABs are either Class 8 or Class 9. Class 8 is titled “Corrosive Materials” (see 49 CFR 173.136), and generally covers shipments of SLABs. Class 9 is titled “Miscellaneous Hazardous Materials” (see 49 CFR 173.140), and shipments of “non-spillable” SLABs may qualify to be shipped under this hazard class under the exception provisions of 49 CFR 173.159a. If the shipments of SLABs will potentially include any acid containing SLABs, use Class 8. For more information on the U.S. DOT requirements for transporting spent batteries within the United States, please see the [2009](#)

[Battery Safety Compliance Advisory issued by the DOT's Pipeline and Hazardous Materials Safety Administration.](#)

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