



Brussels, 17.11.2021
COM(2021) 709 final

ANNEXES 1 to 16

ANNEXES

to the

Proposal of the European Parliament and the Council

on shipments of waste and amending Regulations (EU) No 1257/2013 and (EU) No 2020/1056

{SEC(2021) 402 final} - {SWD(2021) 330 final} - {SWD(2021) 331 final} -
{SWD(2021) 332 final}

ANNEX IA

Notification document for transboundary movements/shipments of waste

1. Exporter - Notifier Registration N°: Name: Address: Contact person: Tel: Fax: Email:	3. Notification N°: Notification concerning A.(i) Individual shipment: <input type="checkbox"/> (ii) Multiple shipments: <input type="checkbox"/> B.(i) Disposal (1): <input type="checkbox"/> (ii) Recovery: <input type="checkbox"/> C. Pre-consented recovery facility (2;3) Yes <input type="checkbox"/> No <input type="checkbox"/>																
2. Importer - Consignee Registration N°: Name: Address: Contact person: Tel: Fax: Email:	4. Total intended number of shipments: 5. Total intended quantity (Tonnes (Mg)/litres) (4): 6. Intended period of time for shipment(s) (4): First departure: Last departure: 7. Packaging type(s) (5): Special handling requirements (6): Yes: <input type="checkbox"/> No: <input type="checkbox"/>																
8. Intended carrier(s) Registration N°: Name(7): Address: Contact person: Tel: Fax: Email: Means of transport (5):	11. Disposal / recovery operation(s) (2) D code / R code (5): Technology employed (6): Reason for export (1;6):																
9. Waste generator(s)-producer(s) (1;7;8) Registration N°: Name: Address: Contact person: Tel: Fax: Email: Site & process of generation (6)	12. Designation and composition of the waste (6): 13. Physical characteristics (5): 14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EU list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (5): (ix) UN class (5): (x) UN Number: (xi) UN Shipping name: (xii) Customs code(s) (HS):																
10. Disposal facility (2): <input type="checkbox"/> or Recovery facility (2): <input type="checkbox"/> Registration N°: Name: Address: Contact person: Tel: Fax: Email: Actual site of disposal/recovery:	15. (a) Countries/states concerned, (b) code N° of competent authorities where applicable, (c) specific points of exit or entry (border crossing or port) <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">State of Export</th> <th colspan="2" style="width: 50%;">State(s) of Transit (entry and exit)</th> <th style="width: 25%;">State of Import</th> </tr> </thead> <tbody> <tr> <td>(a)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(b)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>(c)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	State of Export	State(s) of Transit (entry and exit)		State of Import	(a)				(b)				(c)			
State of Export	State(s) of Transit (entry and exit)		State of Import														
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(b)																	
(c)																	
16. Customs offices of entry and/or exit and/or export: (European Union): Entry: Exit: Export:																	
17. Exporter's - Notifier's / Generator's - producer's (1) declaration: I certify that the information is complete and correct to my best knowledge. I also certify that legally-enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement. Name: Signature: Date:																	
18. Number of annexes attached																	
FOR USE BY COMPETENT AUTHORITIES																	
19. Acknowledgement from the relevant competent authority of countries of import - destination/ transit (1) / export - dispatch (9): Country: Notification received on: Acknowledgement sent on: Name of competent authority: Stamp and/or signature:	20. Written consent (1;8) to the movement provided by the competent authority of (country): Consent given on: Consent valid from: until: Specific conditions: No: <input type="checkbox"/> [If Yes, see block 21 (6): Name of competent authority: Stamp and/or signature:																
21. SPECIFIC CONDITIONS ON CONSENTING TO THE MOVEMENT OR REASONS FOR OBJECTING																	

(1) Required by the Basel Convention

(2) In case of R12/R13 or D13-D15 operation, also attach corresponding information on the subsequent R1-R11 or D1-D12 facility(ies) when required.

(3) To be completed for movements within the OECD area and only if B(ii) applies.

(4) Attach detailed list if multiple shipments

(5) See list of abbreviations and codes on the next page

(6) Attach details if necessary

(7) Attach list if more than one

(8) If required by national legislation

(9) If applicable under the OECD Decision

List of Abbreviations and Codes Used in the Notification Document

DISPOSAL OPERATIONS (Block 11)			
D1	Deposit into or onto land, (e.g., landfill, etc.)		
D2	Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)		
D3	Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)		
D4	Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)		
D5	Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)		
D6	Release into a water body except seas/oceans		
D7	Release into seas/oceans including sea-bed insertion		
D8	Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list		
D9	Physico- chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g., evaporation, drying, calcination, etc.)		
D10	Incineration on land		
D11	Incineration at sea		
D12	Permanent storage, (e.g., emplacement of containers in a mine, etc.)		
D13	Blending or mixing prior to submission to any of the operations in this list		
D14	Repackaging prior to submission to any of the operations in this list		
D15	Storage pending any of the operations numbered in this list		
RECOVERY OPERATIONS (Block 11)			
R1	Use as a fuel (other than in direct incineration) or other means to generate energy (Basel/OECD) – Use principally as a fuel or other means to generate energy (EU)		
R2	Solvent reclamation/regeneration		
R3	Recycling/reclamation of organic substances which are not used as solvents		
R4	Recycling/reclamation of metals and metal compounds		
R5	Recycling/reclamation of other inorganic materials		
R6	Regeneration of acids or bases		
R7	Recovery of components used for pollution abatement		
R8	Recovery of components from catalysts		
R9	Used oil re-refining or other reuses of previously used oil		
R10	Land treatment resulting in benefit to agriculture or ecological improvement		
R11	Uses of residual materials obtained from any of the operations numbered R1-R10		
R12	Exchange of wastes for submission to any of the operations numbered R1-R11		
R13	Accumulation of material intended for any operation in this list.		
PACKAGING TYPES (Block 7)		H CODE AND UN CLASS (Block 14)	
1.	Drum	UN	H code Characteristics
2.	Wooden barrel	Class	
3.	Jerrican	1	H1 Explosive
4.	Box	3	H3 Flammable liquids
5.	Bag	4.1	H4.1 Flammable solids
6.	Composite packaging	4.2	H4.2 Substances or wastes liable to spontaneous combustion
7.	Pressure receptacle	4.3	H4.3 Substances or wastes which, in contact with water, emit flammable gases
8.	Bulk		
9.	Other (specify)	5.1	H5.1 Oxidizing
MEANS OF TRANSPORT (Block 8)		5.2	H5.2 Organic peroxides
R =	Road	6.1	H6.1 Poisonous (acute)
T =	Train/Rail	6.2	H6.2 Infectious substances
S =	Sea	8	H8 Corrosives
A =	Air	9	H10 Liberation of toxic gases in contact with air or water
W =	Inland Waterways	9	H11 Toxic (delayed or chronic)
PHYSICAL CHARACTERISTICS (Block 13)		9	H12 Ecotoxic
1.	Powdery/powder	9	H13 Capable, by any means, after disposal of yielding another material, e. g., leachate, which possesses any of the characteristics listed above
2.	Solid		
3.	Viscous/paste		
4.	Sludgy		
5.	Liquid		
6.	Gaseous		
7.	Other (specify)		

Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y codes, can be found in a Guidance/Instruction Manual available from OECD and the Secretariat of the Basel Convention

ANNEX IB

Movement document for transboundary movements/shipments of waste

1. Corresponding to Notification N°:		2. Serial/total number of shipments: _____ / _____ 2a. Container identification number, if applicable	
3. Exporter - Notifier Registration N°: Name: Address: Contact person: Tel: _____ Fax: _____ Email: _____		4. Importer - Consignee Registration N°: Name: Address: Contact person: Tel: _____ Fax: _____ Email: _____	
5. Actual quantity: Tonnes (Mg): _____ m ³ : _____		6 Actual date of shipment:	
7. Packaging Type(s) (1): _____ Number of packages: _____ Special handling requirements: (2) Yes: <input type="checkbox"/> No: <input type="checkbox"/>			
8.(a) 1st Carrier (3): Registration N°: Name: Address: Tel: Fax: Email:		8.(b) 2nd Carrier: Registration N°: Name: Address: Tel: Fax: Email:	
8.(c) Last Carrier: Registration N°: Name: Address: Tel: Fax: Email:		----- <i>To be completed by carrier's representative</i> ----- More than 3 carriers (2) <input type="checkbox"/>	
Means of transport (1): Date of transfer: Signature:		Means of transport (1): Date of transfer: Signature:	
9. Waste generator(s) – producer(s) (4;5;6): Registration N°: Name: Address: Contact person: Tel: _____ Fax: _____ Email: Site of generation (2):		12. Designation and composition of the waste (2):	
10. Disposal facility <input type="checkbox"/> or Recovery facility <input type="checkbox"/> Registration N°: Name: Address: Contact person: Tel: _____ Fax: _____ Email: Actual site of disposal/recovery (2)		13. Physical characteristics (1):	
11. Disposal/recovery operation(s) D code / R code (1):		14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EU list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (1): (ix) UN class (1): (x) UN Number: (xi) UN Shipping name: (xii) Customs code(s) (HS):	
15. Exporter's - Notifier's / Generator's – producer's (4) declaration: I certify that the above information is complete and correct to my best knowledge. I also certify that legally-enforceable written contractual obligations have been entered into, that any applicable insurance or other financial guarantee is in force covering the transboundary movement and that all necessary consents have been received from the competent authorities of the countries concerned. Name: _____ Signature: _____ Date: _____			
16. For use by any person involved in the transboundary movement in case additional information is required			
17. Shipment received by importer – consignee (if not facility): Name: _____ Signature: _____ Date: _____			
TO BE COMPLETED BY DISPOSAL / RECOVERY FACILITY			
18. Shipment received at disposal facility <input type="checkbox"/> or recovery facility <input type="checkbox"/> Date of reception: _____ Accepted: <input type="checkbox"/> Rejected*: <input type="checkbox"/> Quantity received: _____ kg: _____ litre: _____ <i>*immediately contact competent authorities</i> Approximate date of disposal/recovery: Disposal/Recovery operation (1): Date: Name: Signature:		19. I certify that the disposal/recovery of the waste described above has been completed. Quantity prepared for re-use or recycled: Quantity recovered in other manner: Date: Name: Signature and stamp:	

-
- (1) See list of abbreviations and codes on the next page
 - (2) Attach details if necessary
 - (3) If more than 3 carriers, attach information as required in blocks 8 (a,b,c).

- (4) Required by the Basel Convention
- (5) Attach list if more than one
- (6) If required by national legislation

FOR USE BY CUSTOMS OFFICES (if required by national legislation)			
20. COUNTRY OF EXPORT - DISPATCH OR CUSTOMS OFFICE OF EXIT The waste described in this movement document has left the Country on: Signature: Stamp:		21. COUNTRY OF IMPORT - DESTINATION OR CUSTOMS OFFICE OF ENTRY The waste described in this movement document has entered The country on: Signature: Stamp:	
22. STAMPS OF CUSTOMS OFFICES OF TRANSIT COUNTRIES			
Name of country: Entry:		Name of country: Entry:	
Exit:		Exit::	
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List of Abbreviations and Codes Used in the Movement Document

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ANNEX IC

SPECIFIC INSTRUCTIONS FOR COMPLETING THE NOTIFICATION AND MOVEMENT DOCUMENTS

I. Introduction

1. The present instructions provide the necessary explanations for completing the notification and movement documents. Both documents are compatible with the Basel Convention¹, the OECD Decision² (which only covers shipments of wastes destined for recovery operations within the OECD area) and this Regulation, since they take into account the specific requirements set out in these three instruments.

From [*OP: Please insert the date two years after the date of entry into force of the Regulation*], documents and information must be submitted via electronic means in accordance with Article 26, as required in the relevant provisions in the Regulation. In the cases of shipments involving third countries (as per Titles IV, V and VI), for which paper documents can be used, these instructions remain valid. In the other cases, they should be considered taking into account of the features of the electronic exchange of information and documentation.

Because the documents have been made broad enough to cover all three instruments, however, not all blocks in the document will be applicable to all of the instruments and it therefore may not be necessary to complete all of the blocks in a given case. Any specific requirements relating to only one control system have been indicated with the use of footnotes. It is also possible that national implementing legislation may use terminology that differs from that adopted in the Basel Convention and the OECD Decision. For example, the term ‘shipment’ is used in this Regulation instead of ‘movement’ and the titles of the notification and movement documents therefore reflect this variation by employing the term ‘movement/shipment’.

2. The documents include both the term ‘disposal’ and ‘recovery’, because the terms are defined differently in the three instruments. The European Union Regulation and the OECD Decision use the term ‘disposal’ to refer to disposal operations listed in Annex IV.A of the Basel Convention and Appendix 5.A of the OECD Decision and ‘recovery’ for recovery operations listed in Annex IV.B of the Basel Convention and Appendix 5.B of the OECD Decision. In the Basel Convention itself, however, the term ‘disposal’ is used to refer to both disposal and recovery operations.

3. Until [*OP: Please insert the date two years after the date of entry into force of the Regulation*] the competent authorities of dispatch are responsible for providing and issuing the notification and movement documents (in both paper and electronic versions). From [*OP: Please insert the date two years after the date of entry into force of the Regulation*], the notification shall be submitted and the required information and documentation exchanged via electronic means in accordance with Article 26.

The competent authorities will use a numbering system, which allows a particular consignment of waste to be traced. The numbering system should be prefixed with the country code of the country of dispatch that

¹ Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, 22 March 1989. See www.basel.int

² Decision C(2001)107/FINAL of the OECD Council, concerning the revision of Decision C(92)39/FINAL on the control of transboundary movements of waste destined for recovery operations; the former Decision is a consolidation of texts adopted by the Council on 14 June 2001 and on 28 February 2002 (with amendments). See <https://legalinstruments.oecd.org/en/instruments/OECD-LEGAL-0266>

can be found in the ISO standard 3166 abbreviation list. Within the EU, the two-digits country code must be followed by a space. This may be followed by an optional code of up to four digits specified by the competent authority of dispatch followed by a space. The numbering system must end with a six-digit number. For illustration, if the country code is XY and the six-digit number 123456, the notification number would be XY 123456 if no optional code were specified. Where an optional code, for example 12, is specified, the notification number would be XY 12 123456. However, in case a notification or movement document is transmitted electronically and no optional code is specified, '0000' should be inserted instead of the optional code (e.g. XY 0000 123456); in case an optional code of less than four digits is specified, for example 12, the notification number would be XY 0012 123456.

4. Countries may wish to issue the documents in a paper size format that conforms to their national standards (normally ISO A4, as recommended by the United Nations). In order to facilitate their use internationally, however, 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 not be greater than 183 × 262 mm with margins aligned at the top and the left side of the paper. The notification document (block 1-block 21 including footnotes) should be on one page and the list of abbreviations and codes used in the notification document should be on a second page. With regard to the movement document, block 1-block 19 including footnotes should be on one page and block 20-22 and the list of abbreviations and codes used in the movement document should be on a second page.

II. Purpose of the notification and movement documents

5. The notification document is intended to provide the competent authorities concerned with the information they need to assess the acceptability of proposed waste shipments. It also provides space for them to acknowledge receipt of the notification and, where required, to consent in writing to a proposed shipment.

6. The movement document is intended to travel with a consignment of waste at all times from the moment it leaves the waste producer to its arrival at a disposal or recovery facility in another country. Each person who takes charge of a shipment (carriers and possibly consignee¹) is to sign the movement document either upon delivery or receipt of the wastes in question. There are also spaces in the movement document for recording passage of the consignment through the customs offices of all countries concerned (required by this Regulation). Finally, the document is to be used by the relevant disposal or recovery facility to certify that the waste has been received and that the recovery or disposal operation has been completed.

III. General requirements

7. A planned shipment subject to the procedure of prior written notification and consent may take place only after the notification and movement documents have been completed pursuant to this Regulation, taking into account Articles 16(1) and (2), and during the period of validity of the written or tacit consents of all competent authorities concerned.

8. Until [*OP: Please insert the date two years after the date of entry into force of the Regulation*], those filling out printed copies of the documents should use typescript or block capitals in permanent ink throughout. Until that same date, signatures should always be written in permanent ink and the name of the

¹ Outside the European Union, the term 'importer' may be used instead of 'consignee'.

authorised representative should accompany the signature in capital letters. In the event of a minor mistake, for example the use of the wrong code for a waste, a correction can be made with the approval of the competent authorities. The new text must be marked and signed or stamped, and the date of the modification must be noted. For major changes or corrections, a new form must be completed.

From [date when Article 26 becomes applicable], the notification shall be submitted and the required information and documentation exchanged via electronic means in accordance with Article 26.

9. To simplify translation, the documents require a code, rather than text, for the completion of several blocks. Where text is required, however, it must be in a language acceptable to the competent authorities in the country of destination and, where required, to the other concerned authorities.

10. A six-digit format should be used to indicate the date. For example, 29 January 2024 should be shown as 29.01.24 (Day.Month.Year).

11. Where it is necessary to add annexes to the documents providing additional information, each annex should include the reference number of the relevant document and cite the block to which it relates.

IV. Specific instructions for completing the notification document

12. The notifier¹ is to complete blocks 1–18 (except the notification number in block 3) at the time of notification. In some third countries which are not OECD member countries, the competent authority of dispatch may complete these blocks. When the notifier is not the same person as the original producer, this producer or one of the persons indicated in Article 3(6)(a)(ii) or (iii) is, where practicable, also to sign in block 17 as specified in the Article 5(2), and point 26 of Part 1 of Annex II.

13. **Blocks 1** (See points 2 and 4 of Part 1 of Annex II) **and 2** (point 6 of Part 1 of Annex II): Provide the required information (give registration number only where applicable, address including the name of the country and telephone and fax numbers including the country code; contact person should be responsible for the shipment including if incidents during shipment occur). In some third countries, information relating to the competent authority of dispatch may be given instead. The notifier may be a dealer or broker in accordance with Article 3(6) of this Regulation. In this case, provide a copy of the contract or evidence of the contract (or a declaration certifying its existence) between the producer, new producer or collector and the broker or dealer in an annex (see point 23 of Part 1 of Annex II). The phone and fax numbers and the e-mail address should facilitate contact of all relevant persons at any time regarding an incident during shipment.

14. Normally, the consignee would be the disposal or recovery facility given in block 10. In some cases, however, the consignee may be another person, for example a dealer, a broker², or a corporate body, such as the headquarters or mailing address of the receiving disposal or recovery facility in block 10. In order to act as a consignee, a dealer, broker or corporate body must be under the jurisdiction of the country of destination and possess or have some other form of legal control over the waste at the moment the shipment arrives in the country of destination. In such cases, information relating to the dealer, broker or corporate body should be completed in block 2.

¹ Outside the European Union, the term ‘exporter’ may be used instead of ‘notifier’.

² In some third countries which are OECD member countries, the term recognised trader may be used according to the OECD Decision.

15. **Block 3** (See points 1, 5, 11 and 19 of Part 1 of Annex II): When issuing a notification document, a competent authority will, according to its own system, provide an identification number which will be printed in this block (see paragraph 3 above). Under A, ‘individual shipment’ refers to a single notification and ‘multiple shipments’ to a general notification. Under B, give the type of operation the waste being shipped is destined for. Under C, pre-consent refers to Article 14 of this Regulation.

16. **Blocks 4** (See point 1 of Part 1 of Annex II), **5** (See point 17 of Part 1 of Annex II) **and 6** (See point 12 of Part 1 of Annex II): Give the number of shipments in block 4 and the intended date of a single shipment or, for multiple shipments, the dates of the first and last shipments, in block 6. In block 5, give the estimated minimum and maximum weight in tonnes (1 tonne equals 1 megagram (Mg) or 1 000 kg) or volume in litres of the waste. In some third countries, giving the volume in cubic metres (1 cubic metre equals 1 000 litres) or other metric units, such as kilograms or litres, may also be acceptable. When other metric units are used, the unit of measure may be indicated and the unit in the document may be crossed out. The total quantity shipped must not exceed the maximum quantity declared in block 5. The intended period of time for shipments in block 6 may not exceed one year, with the exception of multiple shipments to pre-consented recovery facilities according to Article 14 of this Regulation (see paragraph 15), for which the intended period of time may not exceed three years. All shipments must take place within the validity period of the written or tacit consents of all competent authorities concerned issued by the competent authorities according to Article 9(4) of this Regulation. In the case of multiple shipments, some third countries may, based on the Basel Convention, require the expected dates or the expected frequency and the estimated quantity of each shipment to be quoted in blocks 5 and 6 or attached in an annex. Where a competent authority issues a written consent to the shipment and the validity period of that consent in block 20 differs from the period indicated in block 6, the decision of the competent authority overrides the information in block 6.

17. **Block 7** (See point 18 of Part 1 of Annex II): Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the notification document. If special handling precautions are required, such as those required by producers’ handling instructions for employees, health and safety information, including information on dealing with spillage, and instructions in writing for the transport of dangerous goods, tick the appropriate box and attach the information in an annex.

18. **Block 8** (See point 7 and 13 of Part 1 of Annex II): Provide the required information (give registration number only where applicable, address including the name of the country and telephone and fax numbers including the country code; contact person should be responsible for the shipment). If more than one carrier is involved, append to the notification document a complete list giving the required information for each carrier. Where the transport is organised by a forwarding agent, the agent’s details and the respective information on actual carriers should be provided in an annex. Provide evidence of registration of the carrier(s) regarding waste transports (e.g. a declaration certifying its existence) in an annex (see point 15 of Part 1 of Annex II). Means of transport should be indicated using the abbreviations provided in the list of abbreviations and codes attached to the notification document.

19. **Block 9** (See point 3 and 16 of Part 1 of Annex II): Provide the required information on the producer of the waste¹. The registration number of the producer should be given where applicable. If the notifier is the producer of the waste then write ‘Same as block 1’. If the waste has been produced by more than one producer, write ‘See attached list’ and append a list providing the requested information for each producer.

¹ Outside the European Union, the term ‘generator’ may be used instead of ‘producer’.

Where the producer is not known, give the name of the person in possession or control of such waste (holder). Also provide information on the process by which the waste was produced and the site of production.

20. **Block 10** (See point 5 of Part 1 of Annex II): Provide the required information (give destination of the shipment by ticking either disposal or recovery facility, registration number only where applicable and actual site of disposal or recovery if it is different from the address of the facility). If the disposer or recoverer is also the consignee, state here ‘Same as block 2’. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation (according to Annexes I or II of Directive 2008/98/EC on waste), the facility performing the operation should be mentioned in block 10, as well as the location where the operation will be performed. In such a case, corresponding information on the subsequent facility or facilities, where any subsequent R12/R13 or D13–D15 operation and the D1–D12 or R1–R11 operation or operations takes or take place or may take place should be provided in an annex. If the recovery or disposal facility is listed in Annex I, Category 5 of Directive 2010/75/EU, evidence (e.g. a declaration certifying its existence) of a valid permit issued in accordance with Articles 4 and 5 of that Directive must be provided in an annex in case a facility is located in the Union.

21. **Block 11** (See points 5, 19 and 20 of Part 1 of Annex II): Indicate the type of recovery or disposal operation by using R-codes or D-codes of Annexes I or II of Directive 2008/98/EC on waste (see also the list of abbreviations and codes attached to the notification document)¹. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation, corresponding information on the subsequent operations (any R12/R13 or D13–D15 as well as D1–D12 or R1–R11) should be provided in an annex. Also indicate the technology to be employed. If the waste is destined for recovery, provide the planned method of disposal for the non-recoverable fraction after recovery, the amount of recovered material in relation to non-recoverable waste, the estimated value of the recovered material and the cost of recovery and the cost of disposal of the non-recoverable fraction in an annex. In addition, in cases of imports into the Union of wastes destined for disposal, indicate a prior duly motivated request from the country of dispatch according Article 47(4) of this Regulation under ‘reason for export’ and attach this request in an annex. Some third countries outside the OECD may, based on the Basel Convention, also require that the reason for export is specified.

22. **Block 12** (See point 16 of Part 1 of Annex II): Give the name or names by which the material is commonly known or the commercial name and the names of its major constituents (in terms of quantity and/or hazard) and their relative concentrations (expressed as a percentage), if known. In the case of a mixture of wastes, provide the same information for the different fractions and indicate which fractions are destined for recovery. A chemical analysis of the composition of the waste may be requested in accordance with point 7 of Part 3 of Annex II of this Regulation. Attach further information in an annex if necessary.

23. **Block 13** (See point 16 of Part 1 of Annex II). Indicate physical characteristics of the waste at normal temperatures and pressures.

24. **Block 14** (See point 16 of Part 1 of Annex II): State the code that identifies the waste according to Annexes III, IIIA, IIIB, IV of this Regulation. Give the code according to the system adopted under the

¹ In the European Union, the definition of operation R1 in the list of abbreviations is different from that used in the Basel Convention and the OECD Decision; both wordings are therefore provided. There are other differences between the terminology used in the Union and that used in the Basel Convention and the OECD Decision, which are not contained in the list of abbreviations.

Basel Convention (under subheading (i) in block 14) and, where applicable, the systems adopted in the OECD Decision (under subheading (ii)) and other accepted classification systems (under subheadings (iii) to (xii)). According to Article 5(8) of this Regulation, give only one waste code (from Annexes III, IIIA, IIIB, IV of this Regulation) with the following two exceptions: In the case of wastes not classified under one single entry in either Annex III, IIIB, IV, give only one type of waste. In the case of mixtures of wastes not classified under one single entry in either Annex III, IIIB, IV, unless listed in Annex IIIA, provide the code of each fraction of the waste in order of importance (in an annex if necessary).

(a) *Subheading (i)*: Basel Convention Annex VIII codes should be used for wastes that are subject to the procedure of prior written notification and consent (see Part I of Annex IV of this Regulation); Basel Annex IX codes should be used for wastes that are not usually subject to the procedure of prior written notification and consent but which, for a specific reason such as contamination by hazardous substances (cf. first paragraph of Annex III of this Regulation) or national regulations¹, are subject to the procedure of prior written notification and consent (see Part I of Annex III of this Regulation). Basel Annexes VIII and IX can be found in Annex V of this Regulation, in the text of the Basel Convention as well as in the Instruction Manual available from the Secretariat of the Basel Convention. If a waste is not listed in Annexes VIII or IX of the Basel Convention, insert ‘not listed’.

(b) *Subheading (ii)*: OECD member countries should use OECD codes for wastes listed in Part II of Annexes III and IV of this Regulation, i.e. wastes that have no equivalent listing in the Annexes of the Basel Convention or that have a different level of control under this Regulation from the one required by the Basel Convention. If a waste is not listed in Part II of Annexes III and IV of this Regulation, insert ‘not listed’.

(c) *Subheading (iii)*: European Union Member States should use the codes included in the European Union list of wastes (see Commission Decision 2000/532/EC as amended)².

(d) *Subheadings (iv) and (v)*: Where applicable, national identification codes other than the EU list of wastes used in the country of dispatch and, if known, in the country of destination should be used.

(e) *Subheading (vi)*: If useful or required by the relevant competent authorities, add here any other code or additional information that would facilitate the identification of the waste.

Such codes may be included in Annexes IIIA, IIIB or IV (EU48) of this Regulation. In that case, the Annex number should be stated in front of the codes. As regards Annex IIIA, the relevant code(s) as indicated in Annex IIIA should be used, as appropriate in sequence. Certain Basel entries such as B1100 and B3020 are restricted to particular waste streams only, as indicated in Annex IIIA.

(f) *Subheading (vii)*: State the appropriate Y-code or Y-codes according to the ‘Categories of wastes to be controlled’ (see Annex I of the Basel Convention and Appendix 1 of the OECD Decision), or according to the ‘Categories of wastes requiring special consideration’ given in Annex II of the Basel Convention (see Annex IV Part I of this Regulation or Appendix 2 of the Basel Instruction Manual), if it or they exist(s). Y-codes are not required by this Regulation and the OECD Decision except where the waste shipment falls

¹ Commission Regulation (EC) No 1418/2007 of 29 November 2007 concerning the export for recovery of certain waste listed in Annex III or IIIA to Regulation (EC) No 1013/2006 to certain countries to which the OECD Decision on the control of transboundary movements of wastes does not apply, OJ L 316, 4.12.2007, p. 6.

² See <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A02000D0532-20150601&qid=1632818732876>

under one of the two ‘Categories requiring special consideration’ under the Basel Convention (Y46 and Y47 or Annex II wastes), in which case the Basel Y-code should be indicated. Nevertheless, indicate the Y-code or Y-codes for wastes defined as hazardous according Article 1(1)(a) of the Basel Convention in order to fulfil the reporting requirements under the Basel Convention.

(g) *Subheading (viii)*: If applicable, state here the appropriate H-code or H- codes, i.e. the codes indicating the hazardous characteristics exhibited by the waste (see the list of abbreviations and codes attached to the notification document). If there is no hazardous characteristic covered by the Basel Convention, but the waste is hazardous according to Annex III to Directive 2008/98/EC of the European Parliament and of the Council, state the HP- code or HP-codes according to this Annex III and insert ‘EU’ after the HP code (e.g. HP14 EU).

(h) *Subheading (ix)*: If applicable, state here the United Nations class or classes which indicate the hazardous characteristics of the waste according to the United Nations classification (see the list of abbreviations and codes attached to the notification document) and are required to comply with international rules for the transport of dangerous goods (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition)¹.

(i) *Subheadings (x and xi)*: If applicable, state here the appropriate United Nations number or numbers and United Nations shipping name or names. These are used to identify the waste according to the United Nations classification system and are required to comply with international rules for transport of dangerous goods (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition).

(j) *Subheading (xii)*: If applicable, state here customs code or codes, which allow identification of the waste by customs offices (see the list of codes and commodities in the ‘Harmonised commodity description and coding system’ produced by the World Customs Organisation).

25. Block 15 (See points 8-10, 14 of Part 1 of Annex II): On line (a) of block 15, provide the name of the countries² of dispatch, transit and destination or the codes for each country by using the ISO standard 3166 abbreviations³. On line (b), provide, where applicable, the code number of the respective competent authority for each country and on line (c) insert 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. For transit countries give the information in line (c) for points of entry and exit. If more than three transit countries are involved in a particular shipment, attach the appropriate information in an annex. Provide the intended route between points of exit and entry, including possible alternatives, also in cases of unforeseen circumstances, in an annex.

26. Block 16 (See point 14 of Part 1 of Annex II): Provide the required information in case shipments enter, pass through or leave the European Union.

27. Block 17 (See points 21-22 and 24-26 of Part 1 of Annex II): Each copy of the notification document is to be signed and dated by the notifier (or by dealer or broker if acting as a notifier) before being forwarded to the competent authorities of the countries concerned. In some third countries, the competent authority of dispatch may sign and date. When the notifier is not the same person as the original producer, this

¹ See <https://unece.org/transport/dangerous-goods>

² In the Basel Convention, the term ‘State’ is used instead of ‘country’.

³ Outside the European Union, the terms ‘export’ and ‘import’ may be used instead of ‘dispatch’ and ‘destination’.

producer, the new producer or the collector is, where practicable, also to sign and date; it is noted that this may not be practicable in cases where there are several producers (definitions regarding practicability may be contained in national legislation). Further, where the producer is not known, the person in possession or control of the waste (holder) should sign. This declaration should also certify the existence of insurance against liability for damage to third parties. Some third countries may require proof of insurance or other financial guarantees and a contract to accompany the notification document.

From [date when Article 26 becomes applicable], the notification shall be submitted and the required information and documentation exchanged via electronic means in accordance with Article 26.

28. **Block 18:** Indicate the number of annexes containing any additional information supplied with the notification document¹. Each annex must include a reference to the notification number to which it relates, which is indicated in the corner of block 3.

29. **Block 19:** Under the Basel Convention, the competent authority or authorities of the country or countries of destination (where applicable) and transit issue such an acknowledgement. Under the OECD Decision, the competent authority of the country of destination issues the acknowledgement. Some third countries may, according to their national legislation, require that the competent authority of dispatch also issues an acknowledgement.

30. **Blocks 20 and 21:** Block 20 is for use by competent authorities of any country concerned when providing a written consent. The Basel Convention (except if a country has decided not to require written consent with regard to transit and has informed the other Parties thereof in accordance with Article 6(4) of the Basel Convention) and certain countries always require a written consent (according Article 9(1) of this Regulation, competent authorities of dispatch and transit may provide a tacit consent) whereas the OECD Decision does not require a written consent. Indicate the name of the country (or its code by using the ISO standard 3166 abbreviations). If the shipment is subject to specific conditions, the competent authority in question should tick the appropriate box and specify the conditions in block 21 or in an annex to the notification document. If a competent authority wishes to object to the shipment it should do so by writing 'OBJECTION' in block 20. Block 21, or a separate letter, may then be used to explain the reasons for the objection.

V. Specific instructions for completing the movement document

31. At the time of notification, the notifier is to complete blocks 3, 4 and 9–14. After receipt of the consents from the competent authorities of dispatch, destination and transit or, in relation to the competent authority of transit, tacit consent can be assumed, and before the actual start of the shipment, the notifier is to complete blocks 2, 5–8 (except the means of transport, the date of transfer and the signature), 15 and, if appropriate, 16. In some third countries which are not OECD member countries, the competent authority of dispatch may complete these blocks instead of the notifier. At the time of taking possession of the consignment, the carrier or its representative is to complete the means of transport, the date of transfer and the signature, which appear in blocks 8(a) to 8(c) and, if appropriate, 16. The consignee is to complete block 17 in the event that it is not the disposer or recoverer and when it takes charge of a shipment of waste after it arrives in the country of destination and, if appropriate, 16.

32. **Block 1:** The competent authority of dispatch is to enter the notification number (this is to be copied from block 3 in the notification document).

¹ See blocks 5, 6, 7, 8, 9, 10, 11, 12, 14, 15, 20 or 21 and, if additional information and documentation is requested by the competent authorities, see points in Annex II Part 3 of this Regulation which are not covered by any block.

33. **Block 2a:** Provide the identification number of the container that carries the concerned waste during transport, if applicable.
34. **Block 2** (See point 1 of Part 2 of Annex II): For a general notification for multiple shipments, enter the serial number of the shipment and the total intended number of shipments indicated in block 4 in the notification document (for example, enter '4/11' for the fourth shipment out of eleven intended shipments under the general notification in question). In the case of a single notification, enter '1/1'.
35. **Blocks 3 and 4:** Reproduce the same information on the notifier¹ and consignee as given in blocks 1 and 2 in the notification document.
36. **Block 5** (See point 6 of Part 2 of Annex II): Give the actual weight in tonnes (1 tonne equals 1 megagram (Mg) or 1 000 kg of the waste. In some third countries, giving the volume in cubic metres (1 cubic metre equals 1 000 litres) or other metric units, such as kilograms or litres, may be acceptable. When other metric units are used, the unit of measure may be indicated and the unit in the form may be crossed out. Attach, wherever possible, copies of weighbridge tickets.
37. **Block 6** (See point 2 of Part 2 of Annex II): Enter the date when the shipment actually starts (see also instructions on block 6 of the notification document).
38. **Block 7** (See points 7 and 8 of Part 2 of Annex II): Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the movement document. If special handling precautions are required, such as those prescribed by producers' handling instructions for employees, health and safety information, including information on dealing with spillage, and transport emergency cards, tick the appropriate box and attach the information in an annex. Also enter the number of packages making up the consignment.
39. **Blocks 8 (a), (b) and (c)** (See points 3 and 4 of Part 2 of Annex II): Provide the required information (give registration number only where applicable, address including the name of the country and telephone and fax numbers including the country code). When more than three carriers are involved, appropriate information on each carrier should be attached to the movement document. The means of transport, the date of transfer and a signature should be provided by the carrier or carrier's representative taking possession of the consignment. A copy of the signed movement document is to be retained by the notifier. Upon each successive transfer of the consignment, the new carrier or carrier's representative taking possession of the consignment will have to comply with the same request and also sign the document. A copy of the signed document is to be retained by the previous carrier.
- From [date when Article 26 becomes applicable], the notification shall be submitted and the required information and documentation exchanged via electronic means in accordance with Article 26.
40. **Block 9:** Reproduce the information given in block 9 of the notification document.
41. **Blocks 10 and 11:** Reproduce the information given in blocks 10 and 11 in the notification document. If the disposer or recoverer is also the consignee, write in block 10: 'Same as block 4'. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation (according to Annexes I or II of Directive 2008/98/EC on waste), the information on the facility performing the operation provided in block 10 is sufficient. No further information on any subsequent facilities performing R12/R13 or D13–D15 operations and the subsequent facility(ies) performing the D1–D12 or R1–R11 operation(s) needs to be included in the movement document.

¹ In some third countries, information relating to the competent authority of dispatch may be given instead.

42. **Blocks 12, 13 and 14:** Reproduce the information given in blocks 12, 13 and 14 in the notification document.

43. **Block 15** (See point 9 of Part 2 of Annex II): At the time of shipment, the notifier (or the dealer or broker if acting as a notifier) shall sign and date the movement document. In some third countries, the competent authority of dispatch, or the generator of the waste according to the Basel Convention, may sign and date the movement document. According to Article 16(1) of this Regulation, ensure that the information in the movement document is made electronically available, including during the time of transport, to the relevant authorities.

44. **Block 16** (See point 5 of Part 2 of Annex II): This block can be used by any person involved in a shipment (notifier or the competent authority of dispatch, as appropriate, consignee, any competent authority, carrier) in specific cases where more detailed information is required by national legislation concerning a particular item (for example, information on the port where a transfer to another transport mode occurs, the number of containers and their identification number, or additional proof or stamps indicating that the shipment has been consented by the competent authorities). Give the routing (point of exit from and entry into each country concerned, including customs offices of entry into and/or exit from and/or export from the Union) and route (route between points of exit and entry), including possible alternatives, also in case of unforeseen circumstances either in block 16 or attach it in an annex.

45. **Block 17:** This block is to be completed by the consignee in the event that it is not the disposer or recoverer (cf. paragraph 14 above) and in case the consignee takes charge of the waste after the shipment arrives in the country of destination.

46. **Block 18:** This block is to be completed by the authorised representative of the disposal or recovery facility upon receipt of the waste consignment. Tick the box of the appropriate type of facility. With regard to the quantity received, please refer to the specific instructions on block 5 (paragraph 36). A signed copy of the movement document is given to the last carrier. If the shipment is rejected for any reason, the representative of the disposal or recovery facility must immediately contact his or her competent authority. According to Article 16(3) or, if appropriate, 15(3) of this Regulation and the OECD Decision, confirmation to the notifier and the relevant authorities that the waste has been received must be provided within one day (with the exception of those OECD transit countries which have informed the OECD Secretariat that they do not wish to receive such copies of the movement document). The original movement document shall be retained by the disposal or recovery facility.

From [date when Article 26 becomes applicable], the notification shall be submitted and the required information and documentation exchanged via electronic means in accordance with Article 26.

47. Receipt of the waste consignment must be certified by any facility performing any disposal or recovery operation, including any D13–D15 or R12 or R13 operation. A facility performing any D13D15 or R12/R13 operation or a D1–D12 or R1–11 operation subsequent to a D13–D15 or R12 or R13 operation in the same country, is not, however, required to certify receipt of the consignment from the D13–D15 or R12 or R13 facility. Thus, block 18 does not need to be used for the final receipt of the consignment in such a case. Indicate also the type of disposal or recovery operation by using R-codes or D codes of Annexes I or II of Directive 2008/98/EC on waste and the approximate date by which the disposal or recovery of waste will be completed.

48. **Block 19:** This block is to be completed by the disposer or recoverer to certify the completion of the disposal or recovery of the waste. According to Article 16(4) or, if appropriate, 15(4) of this Regulation and the OECD Decision, signed copies of the movement document with block 19 completed should be sent

to the notifier and competent authorities of dispatch, transit (not required by the OECD Decision) and destination as soon as possible, but no later than 30 days after the completion of the recovery or disposal and no later than one calendar year following the receipt of the waste. Some third countries which are not OECD member countries may require in accordance with the Basel Convention that signed copies of the document with block 19 completed must be sent to the notifier and the competent authority of dispatch. For disposal or recovery operations D13–D15 or R12 or R13, the information on the facility performing such an operation provided in block 10 is sufficient, and no further information on any subsequent facilities performing R12/R13 or D13–D15 operations and the subsequent facility(ies) performing the D1–D12 or R1–R11 operation(s) need be included in the movement document.

49. The disposal or recovery of waste must be certified by any facility performing any disposal or recovery operation, including a D13–D15 or R12 or R13 operation. Therefore, a facility performing any D13–D15 or R12/R13 operation or a D1–D12 or R1–R11 operation, subsequent to a D13–D15 or R12 or R13 operation in the same country, should not use block 19 to certify the recovery or disposal of the waste, since this block will already have been completed by the D13–D15 or R12 or R13 facility. The means of certifying disposal or recovery in this particular case must be ascertained by each country.

50. In case of waste shipped for preparation for re-use or recycling, the actual quantity of the waste that was recycled or prepared for re-use by the receiving facility must be provided in block 19. If the waste was shipped for other recovery operations, including energy recovery, the amount recovered must be provided in block 19. The applicable Union rules on the calculation, verification and reporting of data must be taken into account when completing this block¹.

51. **Blocks 20, 21 and 22:** The blocks must be used for control by customs offices at the borders of the Union.

¹ Commission implementing Decision (EU) 2019/1004 of 7 June 2019 laying down rules for the calculation, verification and reporting of data on waste in accordance with Directive 2008/98/EC of the European Parliament and of the Council and repealing Commission Implementing Decision C(2012) 2384; OJ L163, 20.6.2019, p.66

ANNEX II

INFORMATION AND DOCUMENTATION RELATED TO NOTIFICATION

Part 1: Information to be supplied when submitting the notification document:

1. Serial number or other accepted identifier of the notification document and intended total number of shipments.

In case the notifier has previously obtained consent(s) for the shipment of the same types of waste to the same facility, the serial number or other accepted identifier of notification document of these previously consented shipments may also be indicated.
2. Notifier's name, address, telephone number, e-mail address, registration number and contact person.
3. If the notifier is not the producer: producer's (producers') name, address, telephone number, e-mail address and contact person.
4. Dealer's (dealers') or broker's (brokers') name, address, telephone number, e-mail address and contact person, where the notifier has authorised him in accordance with Article 3(6).
5. Recovery or disposal facility's name, address, telephone number, fax number, e-mail address, registration number, contact person, technologies employed and possible status as pre-consented in accordance with Article 14.

If the waste is destined for an interim recovery or disposal operation, similar information regarding all facilities where subsequent interim and non-interim recovery or disposal operations are envisaged shall be indicated.

If the recovery or disposal facility is listed in Annex I, Category 5 of Directive 2010/75/EU, evidence (e.g. a declaration certifying its existence) of a valid permit issued in accordance with Articles 4 and 5 of that Directive shall be provided.
6. Consignee's name, address, telephone number, e-mail address, registration number and contact person.
7. Intended carrier's (carriers') and/or their agent's (agents') name, address, telephone number, e-mail address, registration number and contact person.
8. Country of dispatch and relevant competent authority.
9. Countries of transit and relevant competent authorities.
10. Country of destination and relevant competent authority.
11. Single notification or general notification. If general notification, period of validity requested.
12. Date(s) envisaged for start of the shipment(s).
13. Means of transport envisaged.
14. Intended routing (point of exit from and entry into each country concerned, including customs offices of entry into and/or exit from and/or export from the Union) and intended route (route between points of exit and entry), including possible alternatives, also in case of unforeseen circumstances.
15. Evidence of registration of the carrier(s) regarding waste transports (e.g. a declaration certifying its existence).

16. Designation of the waste on the appropriate list, the source(s), description, composition and any hazardous characteristics. In the case of waste from various sources, also a detailed inventory of the waste.
17. Estimated maximum and minimum quantities.
18. Type of packaging envisaged.
19. Specification of the recovery or disposal operation(s) as referred to in Annexes I and II to Directive 2008/98/EC.
20. 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.
21. Evidence of insurance against liability for damage to third parties (e.g. a declaration certifying its existence).
22. Evidence of a contract (or a declaration certifying its existence) between the notifier and consignee for the recovery or disposal of the waste that has been concluded and is effective at the time of the notification, as required in Article 6.
23. A copy of the contract or evidence of the contract (or a declaration certifying its existence) between the producer, new producer or collector and the broker or dealer, in the event that the broker or dealer acts as notifier.
24. Evidence of a financial guarantee or equivalent insurance (or a declaration certifying its existence if the competent authority so allows) that has been established and is effective at the time of the notification or, if the competent authority which approves the financial guarantee or equivalent insurance so allows, at the latest when the shipment starts, as required in Article 5(6) and Article 7.
25. Certification by the notifier that the information is complete and correct to the best of his/her knowledge.
26. When the notifier is not the producer in accordance with Article 3(6)(a)(i), the notifier shall ensure that the producer or one of the persons indicated in Article 3(6)(a)(ii) or (iii), where practicable, also signs the notification document provided for in Annex IA.

Part 2: Information to be supplied on, or annexed to, the movement document:

Supply all information listed in Part 1, updated in accordance with the points set out below, and the other additional information specified:

1. Serial and total number of shipments.
2. Date shipment started.
3. Means of transport.
4. Carrier's (carriers') name, address, telephone number, fax number and e-mail address.
5. Routing (point of exit from and entry into each country concerned, including customs offices of entry into and/or exit from and/or export from the Union) and route (route

between points of exit and entry), including possible alternatives, also in case of unforeseen circumstances.

6. Quantities.
7. Type of packaging.
8. Any special precautions to be taken by the carrier(s).
9. Declaration by the notifier that all necessary consents have been received from the competent authorities of the countries concerned. This declaration must be signed by the notifier.
10. Appropriate signatures for each custody transfer.

Part 3: Additional information and documentation that may be requested by the competent authorities:

1. The type and duration of the authorisation pursuant to which the recovery or disposal facility operates.
2. Copy of the permit issued in accordance with Articles 4 and 5 of Directive 2010/75/EU.
3. Information concerning the measures to be taken to ensure transport safety.
4. The transport distance(s) between the notifier and the 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.
5. Information about costs of transport between the notifier and the facility.
6. Copy or evidence of the registration of the carrier(s) regarding the waste transport.
7. Chemical analysis of the composition of the waste.
8. Description of the production process of the waste.
9. Description of the treatment process of the facility, which receives the waste.
10. The financial guarantee or equivalent insurance or a copy or evidence thereof.
11. Information concerning the calculation of the financial guarantee or equivalent insurance as required in Article 5(6) and in Article 7.
12. Copy of the contracts referred to in Part 1, points 22 and 23.
13. Copy of the policy of insurance against liability for damage to third parties.
14. Any other information, which is pertinent to the assessment of the notification in accordance with this Regulation and national legislation.

ANNEX III

LIST OF WASTES SUBJECT TO THE GENERAL INFORMATION REQUIREMENTS LAID DOWN IN ARTICLE 18 ('GREEN' LISTED WASTE)

Regardless of whether or not wastes are included on this list, they may not be subject to the general information requirements laid down in Article 18 if they are contaminated by other materials to an extent which

- (a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the procedure of prior written notification and consent, when taking into account the hazardous characteristics listed in Annex III to Directive 2008/98/EC; or
- (b) prevents the recovery of the wastes in an environmentally sound manner.

Part I:

Wastes listed in Annex IX of the Basel Convention¹.

For the purposes of this Regulation:

- (a) Any reference to list A in Annex VIII of the Basel Convention shall be understood as a reference to Annex IV of this Regulation;
- (b) In Basel entry B1020 the term “bulk finished form” includes all metallic non-dispersible² forms of the scrap listed therein;
- (c) Basel entry B1030 shall read: ‘Residues containing refractory metals’;
- (d) The part of Basel entry B1100 that refers to “Slags from copper processing” etc. does not apply and (OECD) entry GB040 in Part II applies instead;
- (e) Basel entry B1110 does not apply and (OECD) entries GC010 and GC020 in Part II apply instead.
- (f) Basel entry B2050 does not apply and (OECD) entry GG040 in Part II applies instead.
- (g) For waste shipped within the Union, Basel entry B3011 does not apply and the following entry applies instead:

EU3011 Plastic waste (note the related entry AC300 in part II of Annex IV, and the related entry EU48 in part I of Annex IV):

Plastic waste listed below, provided it is almost free from contamination and other types of wastes³ and destined for recycling:

— Plastic waste almost exclusively⁴ consisting of one non-halogenated polymer, including but not limited to the following polymers:

— Polyethylene (PE)

¹ Annex IX to the Basel Convention is listed in this Regulation in Annex V, Part 1, List B.

² “Non-dispersible” does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.

³ In relation to ‘almost free from contamination and other types of wastes’, international and national specifications may offer a point of reference.

⁴ In relation to ‘almost exclusively’, international and national specifications may offer a point of reference.

- Polypropylene (PP)
 - Polystyrene (PS)
 - Acrylonitrile butadiene styrene (ABS)
 - Polyethylene terephthalate (PET)
 - Polycarbonates (PC)
 - Polyethers
- Plastic waste almost exclusively¹ consisting of one cured resin or condensation product, including but not limited to the following resins:
- Urea formaldehyde resins
 - Phenol formaldehyde resins
 - Melamine formaldehyde resins
 - Epoxy resins
 - Alkyd resins
- Plastic waste almost exclusively¹ consisting of one of the following fluorinated polymers²:
- Perfluoroethylene/propylene (FEP)
 - Perfluoroalkoxy alkanes:
 - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
 - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
 - Polyvinylfluoride (PVF)
 - Polyvinylidene fluoride (PVDF)
 - Polytetrafluoroethylene (PTFE)
- Polyvinyl chloride (PVC).

Part II:

Metal bearing wastes arising from melting, smelting and refining of metals

GB040	7112 262030 262091	Slags from precious metals and copper processing for further refining
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Other wastes containing metals

GC010	Electrical assemblies consisting only of metals or alloys
GC020	Electronic scrap (e.g. printed circuit boards, electronic components, wire, etc.) and reclaimed electronic components suitable for base and precious metal recovery

¹ In relation to ‘almost exclusively’, international and national specifications may offer a point of reference.

² Post consumer wastes are excluded

- GC030** ex 890800 Vessels and other floating structures for breaking up, properly emptied of any cargo and other materials arising from the operation of the vessel which may have been classified as a dangerous substance or waste¹
- GC050** Spent Fluid Catalytic Cracking (FCC) Catalysts (e.g.: aluminium oxide, zeolites)

Glass waste in non-dispersible form

- GE020** ex 7001 Glass Fibre Waste
ex 701939

Ceramic wastes in non-dispersible form

- GF010** Ceramic wastes which have been fired after shaping, including ceramic vessels (before and/or after use)

Other wastes containing principally inorganic constituents, which may contain metals and organic materials

- GG030** ex 2621 Bottom ash and slag tap from coal fired power plants
- GG040** ex 2621 Coal fired power plants fly ash

Wastes arising from tanning and fellmongery operations and leather use

- GN010** ex 0502 Waste of pigs', hogs' or boars' bristles and hair or of badger hair and other brush making hair
- GN020** ex 051199 Horsehair waste, whether or not put up as a layer with or without supporting material
- GN030** ex 050590 Waste of skins and other parts of birds, with their feathers or down, of feathers and parts of feathers (whether or not with trimmed edges) and down, not further worked than cleaned, disinfected or treated for preservation

¹ The term "properly emptied" is understood as presuming full compliance with internationally recognised rules and guidelines on ship recycling.

ANNEX IIIA

MIXTURES OF TWO OR MORE WASTES LISTED IN ANNEX III AND NOT CLASSIFIED UNDER ONE SINGLE ENTRY AS REFERRED TO IN ARTICLE 4(2)

1. Regardless of whether or not mixtures are included on this list, they may not be subject to the general information requirements laid down in Article 18 if they are contaminated by other materials to an extent which:
 - (a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the procedure of prior written notification and consent, when taking into account the hazardous characteristics listed in Annex III to Directive 2008/98/EC; or
 - (b) prevents the recovery of the wastes in an environmentally sound manner.

2. The following mixtures of wastes are included in this Annex:
 - (a) mixtures of wastes classified under Basel entries B1010 and B1050;
 - (b) mixtures of wastes classified under Basel entries B1010 and B1070;
 - (c) mixtures of wastes classified under Basel entries B3040 and B3080;
 - (d) mixtures of wastes classified under (OECD) entry GB040 and under Basel entry B1100 restricted to hard zinc spelter, zinc-containing drosses, aluminium skimmings (or skims) excluding salt slag and wastes of refractory linings, including crucibles, originating from copper smelting;
 - (e) mixtures of wastes classified under (OECD) entry GB040, under Basel entry B1070 and under Basel entry B1100 restricted to wastes of refractory linings, including crucibles, originating from copper smelting.

The entries referred to in points (d) and (e) shall not apply for exports to countries to which the OECD Decision does not apply.

3. The following mixtures of wastes classified under separate indents or sub- indents of one single entry are included in this Annex:
 - (a) mixtures of wastes classified under Basel entry B1010;
 - (b) mixtures of wastes classified under Basel entry B2010;
 - (c) mixtures of wastes classified under Basel entry B2030;
 - (d) mixtures of wastes classified under Basel entry B3020 restricted to unbleached paper or paperboard or of corrugated paper or paperboard, other paper or paperboard, made mainly of bleached chemical pulp, not coloured in the mass, paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter);
 - (e) mixtures of wastes classified under Basel entry B3030;
 - (f) mixtures of wastes classified under Basel entry B3040;
 - (g) mixtures of wastes classified under Basel entry B3050.

4. The following mixtures of wastes classified under separate indents or sub- indents of one single entry are included in this Annex only for the purposes of shipments destined for recycling within the Union:
- (a) mixtures of wastes classified under entry EU3011 and listed under the indent referring to non-halogenated polymers;
 - (b) mixtures of wastes classified under entry EU3011 and listed under the indent referring to cured resins or condensation products;
 - (c) mixtures of wastes classified under entry EU3011 and listed under 'perfluoroalkoxy alkanes'.

ANNEX IIIB

ADDITIONAL GREEN LISTED WASTE

1. Regardless of whether or not wastes are included on this list, they may not be subject to the general information requirements laid down in Article 18 if they are contaminated by other materials to an extent which:
 - (a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the procedure of prior written notification and consent, when taking into account the hazardous characteristics listed in Annex III to Directive 2008/98/EC of the European Parliament and of the Council¹);
or
 - (b) prevents the recovery of the wastes in an environmentally sound manner.

2. The following wastes are included in this Annex:

BEU04 Composite packaging consisting of mainly paper and some plastic, not containing residues and not covered by Basel entry B3020

BEU05 Clean biodegradable waste from agriculture, horticulture, forestry, gardens, parks and cemeteries

3. The shipments of waste listed in this Annex are without prejudice to the provisions of Regulation (EU) 2016/2031.

¹ OJ L 312, 22.11.2008, p. 3.

ANNEX IV

LIST OF WASTES SUBJECT TO THE PROCEDURE OF PRIOR WRITTEN NOTIFICATION AND CONSENT ('AMBER' LISTED WASTE)¹

Part I

The following wastes will be subject to the procedure of prior written notification and consent:

Wastes listed in Annexes II and VIII to the Basel Convention².

For the purposes of this Regulation:

- (a) Any reference to list B in Annex IX to the Basel Convention shall be understood as a reference to Annex III to this Regulation.
- (b) In Basel entry A1010, the term 'excluding such wastes specifically listed on List B (Annex IX)' is a reference both to Basel entry B1020 and the note on B1020 in Annex III to this Regulation, Part I(b).
- (c) Basel entries A1180 and A2060 do not apply and OECD entries GC010, GC020 and GG040 in Annex III, Part II apply instead when appropriate.
- (d) Basel entry A4050 includes spent potlinings from aluminium smelting because they contain Y33 inorganic cyanides. If the cyanides have been destroyed, spent potlinings are assigned to Part II entry AB120 because they contain Y32, inorganic fluorine compounds excluding calcium fluoride.
- (e) Basel entry A3210 does not apply and entry AC300 in part II applies instead.
- (f) For waste shipped within the Union, Basel entry Y48 does not apply and the following entry applies instead:

EU48 Plastic waste not covered by entry AC300 in part II or by entry EU3011 in part I of Annex III, as well as mixtures of plastic waste not covered by point 4 of Annex IIIA.

¹ This list originates from the OECD Decision, Appendix 4.

² Annex VIII to the Basel Convention is listed in this Regulation in Annex V, Part 1, List A. Annex II to the Basel Convention contains the following entries: Y46 Waste collected from households unless appropriately classified under a single entry in Annex III. Y47 Residues arising from the incineration of household wastes.

Part II:

The following wastes will also be subject to the procedure of written notification and consent:

Metal bearing wastes

AA010	261900	Dross, scalings and other wastes from the manufacture of iron and steel ¹
AA060	ex 262099	Vanadium ashes and residues ¹
AA190	810420 ex 810430	Magnesium waste and scrap that is flammable, pyrophoric or emits, upon contact with water, flammable gases in dangerous quantities

Wastes containing principally inorganic constituents, which may contain metals and organic materials

AB030		Wastes from non-cyanide based systems which arise from surface treatment of metals
AB070		Sands used in foundry operations
AB120	ex 281290 ex 3824	Inorganic halide compounds, not elsewhere specified or included
AB130		Used blasting grit
AB150	ex 382499	Unrefined calcium sulphite and calcium sulphate from flue gas desulphurisation (FGD)

Wastes containing principally organic constituents, which may contain metals and inorganic materials

AC020		Bituminous materials (asphalt waste) not elsewhere specified or included
AC060	ex 381900	Hydraulic fluids
AC070	ex 381900	Brake fluids
AC080	ex 382000	Antifreeze fluids
AC150		Chlorofluorocarbons
AC160		Halons

¹ This listing includes wastes in the form of ash, residue, slag, dross, skimming, scaling, dust, powder, sludge and cake, unless a material is expressly listed elsewhere.

AC170	ex 440311 ex 440312	Treated cork and wood wastes
AC250		Surface active agents (surfactants)
AC260	ex 3101	Liquid pig manure; faeces
AC270		Sewage sludge
AC300		Plastic waste, including mixtures of such wastes, containing or contaminated with Annex I constituents, to an extent that it exhibits an Annex III characteristic (note the related entry EU3011 in part I of Annex III, and the related entry EU48 in part I)

Wastes which may contain either inorganic or organic constituents

AD090	ex 382499	Wastes from production, formulation and use of reprographic and photographic chemicals and materials not elsewhere specified or included
AD100		Wastes from non-cyanide based systems which arise from surface treatment of plastics
AD120	ex 391400 ex 3915	Ion exchange resins
AD150		Naturally occurring organic material used as a filter medium (such as bio-filters)

Wastes Containing Principally Inorganic Constituents, Which May Contain Metals and Organic Materials

RB020	ex 6815	Ceramic based fibres of physico-chemical characteristics similar to those of asbestos
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ANNEX V

WASTE LISTS FOR THE PURPOSE OF ARTICLE 36

Introductory notes

1. This Annex applies without prejudice to Directive 2008/98/EC.
2. This Annex consists of two parts. Article 36 further refers to the list of waste as referred to in Article 7 of Directive 2008/98/EC. For the purposes of this Regulation and to determine whether a specific waste is listed as referred to in Art. 36 of this Regulation, the list of waste as referred to in Article 7 of Directive 2008/98/EC applies only when Part 1 of this Annex is not applicable. If a waste is not listed in Part 1 of this Annex or in the list of waste as referred to in Article 7 of Directive 2008/98/EC , only then it should be checked if it is listed in Part 2 of this Annex.

Part 1 of this Annex is divided into two sub-sections: List A lists wastes which are classified as hazardous by Article 1(1)(a) of the Basel Convention, and therefore covered by the export prohibition, and List B lists wastes which are not covered by Article 1(1)(a) of the Basel Convention, and therefore not covered by the export prohibition.

Thus, if a waste is listed in Part 1, a check must be made to ascertain whether it is listed in List A or in List B. Only if a waste is not listed in either List A or List B of Part 1, must a check be made to ascertain whether it is listed either among the hazardous waste listed in the list of waste as referred to in Article 7 of Directive 2008/98/EC (i.e. types of waste marked with an asterisk) or in Part 2 of this Annex, and if this is the case, it is covered by the export prohibition.

3. Wastes listed in List B of Part 1 or which are among the non-hazardous waste listed in the list of waste as referred to in Article 7 of Directive 2008/98/EC (i.e. wastes not marked with an asterisk) are covered by the export prohibition if they are contaminated by other materials to an extent which
 - (a) increases the risks associated with the waste sufficiently to render it appropriate for submission to the procedure of prior written notification and consent, when taking into account the hazardous characteristics listed in Annex III to Directive 2008/98/EC; or
 - (b) prevents the recovery of the waste in an environmentally sound manner.

Part 1¹

List A (Annex VIII to the Basel Convention)

A1 Metal and metal bearing wastes

A1010 Metal wastes and waste consisting of alloys of any of the following:

- Antimony
- Arsenic
- Beryllium
- Cadmium
- Lead
- Mercury
- Selenium
- Tellurium
- Thallium

but excluding such wastes specifically listed on list B.

A1020 Waste having as constituents or contaminants, excluding metal waste in massive form, any of the following:

- Antimony; antimony compounds
- Beryllium; beryllium compounds
- Cadmium; cadmium compounds
- Lead; lead compounds
- Selenium; selenium compounds
- Tellurium; tellurium compounds

A1030 Wastes having as constituents or contaminants any of the following:

- Arsenic; arsenic compounds
- Mercury; mercury compounds
- Thallium; thallium compounds

A1040 Wastes having as constituents any of the following:

- Metal carbonyls
- Hexavalent chromium compounds

A1050 Galvanic sludges

A1060 Waste liquors from the pickling of metals

A1070 Leaching residues from zinc processing, dust and sludges such as jarosite, hematite, etc.

¹ References in Lists A and B to Annexes I, III and IV refer to Annexes of the Basel Convention

- A1080 Waste zinc residues not included on list B, containing lead and cadmium in concentrations sufficient to exhibit Annex III characteristics
- A1090 Ashes from the incineration of insulated copper wire
- A1100 Dusts and residues from gas cleaning systems of copper smelters
- A1110 Spent electrolytic solutions from copper electrorefining and electrowinning operations
- A1120 Waste sludges, excluding anode slimes, from electrolyte purification systems in copper electrorefining and electrowinning operations
- A1130 Spent etching solutions containing dissolved copper
- A1140 Waste cupric chloride and copper cyanide catalysts
- A1150 Precious metal ash from incineration of printed circuit boards not included on list B¹
- A1160 Waste lead-acid batteries, whole or crushed
- A1170 Unsorted waste batteries excluding mixtures of only list B batteries. Waste batteries not specified on list B containing Annex 1 constituents to an extent to render them hazardous.
- A1180 Waste electrical and electronic assemblies or scrap² containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or contaminated with Annex I constituents (e.g. cadmium, mercury, lead, polychlorinated biphenyl) to an extent that they possess any of the characteristics contained in Annex III (note the related entry on list B, B1110)³
- A1190 Waste metal cables coated or insulated with plastics containing or contaminated with coal tar, PCB⁴, lead, cadmium, other organohalogen compounds or other Annex I constituents, to the extent that they exhibit Annex III characteristics

A2 Wastes containing principally inorganic constituents, which may contain metals and organic materials

- A2010 Glass waste from cathode-ray tubes and other activated glasses
- A2020 Waste inorganic fluorine compounds in the form of liquids or sludges but excluding such wastes specified on list B
- A2030 Waste catalysts but excluding such wastes specified on list B
- A2040 Waste gypsum arising from chemical industry processes, when containing Annex I constituents to the extent that it exhibits an Annex III hazardous characteristic (note the related entry on list B, B2080)
- A2050 Waste asbestos (dusts and fibres)
- A2060 Coal-fired power plant fly-ash containing Annex I substances in concentrations sufficient to exhibit Annex III characteristics (note the related entry on list B, B2050)

¹ Note that mirror entry on list B (B1160) does not specify exceptions.

² This entry does not include scrap assemblies from electric power generation.

³ PCBs are at a concentration level of 50 mg/kg or more.

⁴ PCBs are at a concentration level of 50 mg/kg or more.

A3 Wastes containing principally organic constituents, which may contain metals and inorganic materials

- A3010 Waste from the production or processing of petroleum coke and bitumen
- A3020 Waste mineral oils unfit for their originally intended use
- A3030 Wastes that contain, consist of or are contaminated with leaded anti-knock compound sludges
- A3040 Waste thermal (heat transfer) fluids
- A3050 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives excluding such wastes specified on list B (note the related entry on list B, B4020)
- A3060 Waste nitrocellulose
- A3070 Waste phenols, phenol compounds including chlorophenol in the form of liquids or sludges
- A3080 Waste ethers not including those specified on list B
- A3090 Waste leather dust, ash, sludges and flours when containing hexavalent chromium compounds or biocides (note the related entry on list B, B3100)
- A3100 Waste paring and other waste of leather or of composition leather not suitable for the manufacture of leather articles containing hexavalent chromium compounds or biocides (note the related entry on list B, B3090)
- A3110 Fellingmongery wastes containing hexavalent chromium compounds or biocides or infectious substances (note the related entry on list B, B3110)
- A3120 Fluff - light fraction from shredding
- A3130 Waste organic phosphorous compounds
- A3140 Waste non-halogenated organic solvents but excluding such wastes specified on list B
- A3150 Waste halogenated organic solvents
- A3160 Waste halogenated or unhalogenated non-aqueous distillation residues arising from organic solvent recovery operations
- A3170 Wastes arising from the production of aliphatic halogenated hydrocarbons (such as chloromethane, dichloro-ethane, vinyl chloride, vinylidene chloride, allyl chloride and epichlorhydrin)
- A3180 Wastes, substances and articles containing, consisting of or contaminated with polychlorinated biphenyl (PCB), polychlorinated terphenyl (PCT), polychlorinated naphthalene (PCN) or polybrominated biphenyl (PBB), or any other polybrominated analogues of these compounds, at a concentration level of 50 mg/kg or more¹

¹ The 50 mg/kg level is considered to be an internationally practical level for all wastes. However, many individual countries have established lower regulatory levels (e.g. 20 mg/kg) for specific wastes.

- A3190 Waste tarry residues (excluding asphalt cements) arising from refining, distillation and any pyrolytic treatment of organic materials
- A3200 Bituminous material (asphalt waste) from road construction and maintenance, containing tar (note the related entry on list B B2130)
- A3210 Plastic waste, including mixtures of such waste, containing or contaminated with Annex I constituents, to an extent that it exhibits an Annex III characteristic (note the related entry B3011, in list B of this Part, and entry Y48, in list A of Part 2)

A4 Wastes which may contain either inorganic or organic constituents

- A4010 Wastes from the production, preparation and use of pharmaceutical products but excluding such wastes specified on list B
- A4020 Clinical and related wastes; that is wastes arising from medical, nursing, dental, veterinary, or similar practices, and wastes generated in hospitals or other facilities during the investigation or treatment of patients, or research projects
- A4030 Wastes from the production, formulation and use of biocides and phytopharmaceuticals, including waste pesticides and herbicides that are off-specification, out-dated ¹, or unfit for their originally intended use
- A4040 Wastes from the manufacture, formulation and use of wood-preserving chemicals ²
- A4050 Wastes that contain, consist of or are contaminated with any of the following:
 - Inorganic cyanides, excepting precious-metal-bearing residues in solid form containing traces of inorganic cyanides
 - Organic cyanides
- A4060 Waste oils/water, hydrocarbons/water mixtures, emulsions
- A4070 Wastes from the production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish excluding any such waste specified on list B (note the related entry on list B, B4010)
- A4080 Wastes of an explosive nature (but excluding such wastes specified on list B)
- A4090 Waste acidic or basic solutions, other than those specified in the corresponding entry on list B (note the related entry on list B, B2120)
- A4100 Wastes from industrial pollution control devices for cleaning of industrial off-gases but excluding such wastes specified on list B
- A4110 Wastes that contain, consist of or are contaminated with any of the following:
 - any congener of polychlorinated dibenzo-furan
 - any congener of polychlorinated dibenzo-dioxin
- A4120 Wastes that contain, consist of or are contaminated with peroxides
- A4130 Waste packages and containers containing Annex I substances in concentrations sufficient to exhibit Annex III hazard characteristics

¹ "Out-dated" means unused within the period recommended by the manufacturer.

² This entry does not include wood treated with wood-preserving chemicals.

- A4140 Waste consisting of or containing off-specification or out-dated¹ chemicals corresponding to Annex I categories and exhibiting Annex III hazard characteristics
- A4150 Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on human health and/or the environment are not known
- A4160 Spent activated carbon not included on list B (note the related entry on list B, B2060)

List B (Annex IX to the Basel Convention)

B1 Metal and metal bearing wastes

B1010 Metal and metal-alloy wastes in metallic, non-dispersible form:

- Precious metals (gold, silver, the platinum group, but not mercury)
- Iron and steel scrap
- Copper scrap
- Nickel scrap
- Aluminium scrap
- Zinc scrap
- Tin scrap
- Tungsten scrap
- Molybdenum scrap
- Tantalum scrap
- Magnesium scrap
- Cobalt scrap
- Bismuth scrap
- Titanium scrap
- Zirconium scrap
- Manganese scrap
- Germanium scrap
- Vanadium scrap
- Scrap of Hafnium, Indium, Niobium, Rhenium and Gallium
- Thorium scrap
- Rare earths scrap
- Chromium scrap

B1020 Clean, uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc):

¹ “Out-dated” means unused within the period recommended by the manufacturer.

- Antimony scrap
 - Beryllium scrap
 - Cadmium scrap
 - Lead scrap (but excluding lead-acid batteries)
 - Selenium scrap
 - Tellurium scrap
- B1030 Refractory metals containing residues
- B1031 Molybdenum, tungsten, titanium, tantalum, niobium and rhenium metal and metal alloy wastes in metallic dispersible form (metal powder), excluding such wastes as specified in list A under entry A1050, Galvanic sludges.
- B1040 Scrap assemblies from electrical power generation not contaminated with lubricating oil, PCB or PCT to an extent to render them hazardous
- B1050 Mixed non-ferrous metal, heavy fraction scrap, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics¹
- B1060 Waste Selenium and Tellurium in metallic elemental form including powder
- B1070 Waste of copper and copper alloys in dispersible form, unless they contain Annex I constituents to an extent that they exhibit Annex III characteristics
- B1080 Zinc ash and residues including zinc alloys residues in dispersible form unless containing Annex I constituents in concentration such as to exhibit Annex III characteristics or exhibiting hazard characteristic H4.3²
- B1090 Waste batteries conforming to a specification, excluding those made with lead, cadmium or mercury
- B1100 Metal-bearing wastes arising from melting, smelting and refining of metals:
- Hard zinc spelter
 - Zinc-containing drosses:
 - Galvanizing slab zinc top dross (>90 % Zn)
 - Galvanizing slab zinc bottom dross (>92 % Zn)
 - Zinc die casting dross (>85 % Zn)
 - Hot dip galvanizers slab zinc dross (batch) (>92 % Zn)
 - Zinc skimmings
 - Aluminium skimmings (or skims) excluding salt slag
 - Slags from copper processing for further processing or refining not containing arsenic, lead or cadmium to an extent that they exhibit Annex III hazard characteristics

¹ Note that even where low level contamination with Annex I materials initially exists, subsequent processes, including recycling processes, may result in separated fractions containing significantly enhanced concentrations of those Annex I materials.

² The status of zinc ash is currently under review and there is a recommendation with United Nations Conference on Trade and Development (UNCTAD) that zinc ashes should not be dangerous goods.

- Wastes of refractory linings, including crucibles, originating from copper smelting
- Slags from precious metals processing for further refining
- Tantalum bearing tin slags with less than 0.5 % tin

B1110 Electrical and electronic assemblies:

- Electronic assemblies consisting only of metals or alloys
- Waste electrical and electronic assemblies or scrap¹ (including printed circuit boards) not containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or not contaminated with Annex I constituents (e.g. cadmium, mercury, lead, polychlorinated biphenyl) or from which these have been removed, to an extent that they do not possess any of the characteristics contained in Annex III (note the related entry on list A, A1180)
- Electrical and electronic assemblies (including printed circuit boards, electronic components and wires) destined for direct re-use² and not for recycling or final disposal³

B1115 Waste metal cables coated or insulated with plastics, not included in entry A1190, excluding those destined for Annex IVA operations or any other disposal operations involving, at any stage, uncontrolled thermal processes, such as open-burning

B1120 Spent catalysts excluding liquids used as catalysts, containing any of:

- | | | |
|--|------------------------------------|------------|
| – Transition Metals, excluding waste catalysts (spent catalysts, liquid used catalysts or other catalysts) on list A | Scandium | Titanium |
| | Vanadium | Chromium |
| | Manganese | Iron |
| | Cobalt | Nickel |
| | Copper | Zinc |
| | Yttrium | Zirconium |
| | Niobium | Molybdenum |
| | Hafnium | Tantalum |
| | Tungsten | Rhenium |
| | – Lanthanides (rare earth metals): | Lanthanum |
| Praseodymium | | Neodymium |
| Samarium | | Europium |
| Gadolinium | | Terbium |
| Dysprosium | | Holmium |
| Erbium | | Thulium |
| Ytterbium | | Lutetium |

B1130 Cleaned spent precious-metal-bearing catalysts

B1140 Precious-metal-bearing residues in solid form, which contain traces of inorganic cyanides

¹ This entry does not include scrap from electrical power generation.

² Re-use can include repair, refurbishment or upgrading, but not major reassembly.

³ In some countries, these materials destined for direct re-use are not considered wastes.

- B1150 Precious metals and alloy wastes (gold, silver, the platinum group, but not mercury) in a dispersible, non-liquid form with appropriate packaging and labeling
- B1160 Precious-metal ash from the incineration of printed circuit boards (note the related entry on list A, A1150)
- B1170 Precious-metal ash from the incineration of photographic film
- B1180 Waste photographic film containing silver halides and metallic silver
- B1190 Waste photographic paper containing silver halides and metallic silver
- B1200 Granulated slag arising from the manufacture of iron and steel
- B1210 Slag arising from the manufacture of iron and steel including slags as a source of TiO₂ and Vanadium
- B1220 Slag from zinc production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g. DIN 4301) mainly for construction
- B1230 Mill scaling arising from the manufacture of iron and steel
- B1240 Copper oxide mill-scale
- B1250 Waste end-of-life motor vehicles, containing neither liquids nor other hazardous components

B2 Wastes containing principally inorganic constituents, which may contain metals and organic materials

- B2010 Wastes from mining operations in non-dispersible form:
 - Natural graphite waste
 - Slate waste, whether or not roughly trimmed or merely cut, by sawing or otherwise
 - Mica waste
 - Leucite, nepheline and nepheline syenite waste
 - Feldspar waste
 - Fluorspar waste
 - Silica wastes in solid form excluding those used in foundry operations
- B2020 Glass waste in non-dispersible form:
 - Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses
- B2030 Ceramic wastes in non-dispersible form:
 - Cermet wastes and scrap (metal ceramic composites)
 - Ceramic based fibres not elsewhere specified or included
- B2040 Other wastes containing principally inorganic constituents:
 - Partially refined calcium sulphate produced from flue-gas desulphurization (FGD)

- Waste gypsum wallboard or plasterboard arising from the demolition of buildings
 - Slag from copper production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g. DIN 4301 and DIN 8201) mainly for construction and abrasive applications
 - Sulphur in solid form
 - Limestone from the production of calcium cyanamide (having a pH less than 9)
 - Sodium, potassium, calcium chlorides
 - Carborundum (silicon carbide)
 - Broken concrete
 - Lithium-Tantalum and Lithium-Niobium containing glass scraps
- B2050 Coal-fired power plant fly-ash, not included on list A (note the related entry on list A, A2060)
- B2060 Spent activated carbon resulting from the treatment of potable water and processes of the food industry and vitamin production (note the related entry on list A, A4160)
- B2070 Calcium fluoride sludge
- B2080 Waste gypsum arising from chemical industry processes not included on list A (note the related entry on list A, A2040)
- B2090 Waste anode butts from steel or aluminium production made of petroleum coke or bitumen and cleaned to normal industry specifications (excluding anode butts from chlor alkali electrolyses and from metallurgical industry)
- B2100 Waste hydrates of aluminium and waste alumina and residues from alumina production excluding such materials used for gas cleaning, flocculation or filtration processes
- B2110 Bauxite residue ("red mud") (pH moderated to less than 11.5)
- B2120 Waste acidic or basic solutions with a pH greater than 2 and less than 11.5, which are not corrosive or otherwise hazardous (note the related entry on list A, A4090)

B3 Wastes containing principally organic constituents, which may contain metals and inorganic materials

- B3011 Plastic waste (note the related entry A3210, in list A of this Part, and entry Y48, in list A of Part 2)
- Plastic waste listed below, provided it is destined for recycling¹ in an environmentally sound manner and almost free from contamination and other types of wastes²:

¹ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B) or, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

² In relation to 'almost free from contamination and other types of wastes', international and national specifications may offer a point of reference.

- Plastic waste almost exclusively¹ consisting of one non-halogenated polymer, including but not limited to the following polymers:
 - Polyethylene (PE)
 - Polypropylene (PP)
 - Polystyrene (PS)
 - Acrylonitrile butadiene styrene (ABS)
 - Polyethylene terephthalate (PET)
 - Polycarbonates (PC)
 - Polyethers
- Plastic waste almost exclusively consisting of one cured resin or condensation product, including but not limited to the following resins:
 - Urea formaldehyde resins
 - Phenol formaldehyde resins
 - Melamine formaldehyde resins
 - Epoxy resins
 - Alkyd resins
- Plastic waste almost exclusively consisting of one of the following fluorinated polymers²:
 - Perfluoroethylene/propylene (FEP)
 - Perfluoroalkoxy alkanes:
 - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
 - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
 - Polyvinylfluoride (PVF)
 - Polyvinylidene fluoride (PVDF)
- Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling³ of each material and in an environmentally sound manner, and almost free from contamination and other types of wastes.

B3020 Paper, paperboard and paper product wastes

The following materials, provided they are not mixed with hazardous wastes:

Waste and scrap of paper or paperboard of:

- unbleached paper or paperboard or of corrugated paper or paperboard

¹ In relation to ‘almost exclusively’, international and national specifications may offer a point of reference.

² Post-consumer wastes are excluded.

³ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B), with prior sorting and, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

- other paper or paperboard, made mainly of bleached chemical pulp, not coloured in the mass
- paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter)
- other, including but not limited to
 - 1) laminated paperboard;
 - 2) unsorted scrap

B3026 The following waste from the pre-treatment of composite packaging for liquids, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics:

- Non-separable plastic fraction
- Non-separable plastic-aluminium fraction

B3027 Self-adhesive label laminate waste containing raw materials used in label material production

B3030 Textile wastes

The following materials, provided they are not mixed with other wastes and are prepared to a specification:

- Silk waste (including cocoons unsuitable for reeling, yarn waste and garnetted stock)
 - not carded or combed
 - other
- Waste of wool or of fine or coarse animal hair, including yarn waste but excluding garnetted stock
 - noils of wool or of fine animal hair
 - other waste of wool or of fine animal hair
 - waste of coarse animal hair
- Cotton waste (including yarn waste and garnetted stock)
 - yarn waste (including thread waste)
 - garnetted stock
 - other
- Flax tow and waste
- Tow and waste (including yarn waste and garnetted stock) of true hemp (*Cannabis sativa* L.)
- Tow and waste (including yarn waste and garnetted stock) of jute and other textile bast fibres (excluding flax, true hemp and ramie)
- Tow and waste (including yarn waste and garnetted stock) of sisal and other textile fibres of the genus *Agave*

- Tow, noils and waste (including yarn waste and garnetted stock) of coconut
- Tow, noils and waste (including yarn waste and garnetted stock) of abaca (Manila hemp or *Musa textilis* Nee)
- Tow, noils and waste (including yarn waste and garnetted stock) of ramie and other vegetable textile fibres, not elsewhere specified or included
- Waste (including noils, yarn waste and garnetted stock) of man-made fibres
 - of synthetic fibres
 - of artificial fibres
- Worn clothing and other worn textile articles
- Used rags, scrap twine, cordage, rope and cables and worn out articles of twine, cordage, rope or cables of textile
 - sorted
 - other

B3035 Waste textile floor coverings, carpets

B3040 Rubber wastes

The following materials, provided they are not mixed with other wastes:

- Waste and scrap of hard rubber (e.g. ebonite)
- Other rubber wastes (excluding such wastes specified elsewhere)

B3050 Untreated cork and wood waste:

- Wood waste and scrap, whether or not agglomerated in logs, briquettes, pellets or similar forms
- Cork waste: crushed, granulated or ground cork

B3060 Wastes arising from agro-food industries provided it is not infectious:

- Wine lees
- Dried and sterilized vegetable waste, residues and byproducts, whether or not in the form of pellets, or a kind used in animal feeding, not elsewhere specified or included
- Degras; residues resulting from the treatment of fatty substances or animal or vegetable waxes
- Waste of bones and horn-cores, unworked, defatted, simply prepared (but not cut to shape), treated with acid or degelatinised
- Fish waste
- Cocoa shells, husks, skins and other cocoa waste
- Other wastes from the agro-food industry excluding by-products which meet national and international requirements and standards for human or animal consumption

B3065 Waste edible fats and oils of animal or vegetable origin (e.g. frying oils), provided they do not exhibit an Annex III characteristic

B3070 The following wastes:

- Waste of human hair
 - Waste straw
 - Deactivated fungus mycelium from penicillin production to be used as animal feed
- B3080 Waste parings and scrap of rubber
- B3090 Paring and other wastes of leather or of composition leather not suitable for the manufacture of leather articles, excluding leather sludges, not containing hexavalent chromium compounds and biocides (note the related entry on list A, A3100)
- B3100 Leather dust, ash, sludges or flours not containing hexavalent chromium compounds or biocides (note the related entry on list A, A3090)
- B3110 Fellmongery wastes not containing hexavalent chromium compounds or biocides or infectious substances (note the related entry on list A, A3110)
- B3120 Wastes consisting of food dyes
- B3130 Waste polymer ethers and waste non-hazardous monomer ethers incapable of forming peroxides
- B3140 Waste pneumatic tyres, excluding those destined for Annex IVA operations

B4 Wastes which may contain either inorganic or organic constituents

- B4010 Wastes consisting mainly of water-based/latex paints, inks and hardened varnishes not containing organic solvents, heavy metals or biocides to an extent to render them hazardous (note the related entry on list A, A4070)
- B4020 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives, not listed on list A, free of solvents and other contaminants to an extent that they do not exhibit Annex III characteristics, e.g. water based, or glues based on casein starch, dextrin, cellulose ethers, polyvinyl alcohols (note the related entry on list A, A3050)
- B4030 Used single use cameras, with batteries not included on list A

Part 2

List A (Annex II to the Basel Convention)

- Y46** Waste collected from households¹
- Y47** Residues arising from the incineration of household wastes
- Y48** Plastic waste, including mixtures of such waste, with the exception of the following:
- Plastic waste that is hazardous waste (see entry A3210 in list A of part 1 in Annex V)

¹ Unless appropriately classified under a single entry in Annex III.

- Plastic waste listed below, provided it is destined for recycling¹ in an environmentally sound manner and almost free from contamination and other types of wastes²:
- Plastic waste almost exclusively³ consisting of one non-halogenated polymer, including but not limited to the following polymers:
 - Polyethylene (PE)
 - Polypropylene (PP)
 - Polystyrene (PS)
 - Acrylonitrile butadiene styrene (ABS)
 - Polyethylene terephthalate (PET)
 - Polycarbonates (PC)
 - Polyethers
- Plastic waste almost exclusively⁴ consisting of one cured resin or condensation product, including but not limited to the following resins:
 - Urea formaldehyde resins
 - Phenol formaldehyde resins
 - Melamine formaldehyde resins
 - Epoxy resins
 - Alkyd resins
- Plastic waste almost exclusively⁵ consisting of one of the following fluorinated polymers⁵:
 - Perfluoroethylene/propylene (FEP)
 - Perfluoroalkoxy alkanes:
 - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
 - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
 - Polyvinylfluoride (PVF)
 - Polyvinylidene fluoride (PVDF)
- Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for

¹ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B) or, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation

² In relation to ‘almost free from contamination and other types of wastes’, international and national specifications may offer a point of reference.

³ In relation to ‘almost exclusively’, international and national specifications may offer a point of reference.

⁴ In relation to ‘almost exclusively’, international and national specifications may offer a point of reference.

⁵ Post-consumer wastes are excluded.

separate recycling¹ of each material and in an environmentally sound manner and almost free from contamination and other types of wastes².

List B (Waste from Appendix 4, Part II of the OECD Decision)³

Metal bearing wastes

AA 010	261900	Dross, scalings and other wastes from the manufacture of iron and steel ⁴
AA 060	262099	Vanadium ashes and residues
AA 190	810420 ex 810430	Magnesium waste and scrap that is flammable, pyrophoric or emits, upon contact with water, flammable gases in dangerous quantities

Wastes containing principally inorganic constituents, which may contain metals and organic materials

AB 030		Wastes from non-cyanide based systems which arise from surface treatment of metals
AB 070		Sands used in foundry operations
AB 120	ex 281290 ex 3824	Inorganic halide compounds, not elsewhere specified or included
AB 150	ex 382499	Unrefined calcium sulphite and calcium sulphate from flue gas desulphurisation (FGD)

Wastes containing principally organic constituents, which may contain metals and inorganic materials

AC 060	ex 381900	Hydraulic fluids
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¹ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B), with prior sorting and, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

² In relation to 'almost free from contamination and other types of wastes', international and national specifications may offer a point of reference.

³ The wastes numbered AB130, AC250, AC260 and AC270 have been deleted since they have been considered, in accordance with the procedure laid down in Article 18 of Directive 2006/12/EC of the European Parliament and of the Council of 5 April 2006 on waste (OJ L 114, 27.4.2006, p. 9, as repealed by Directive 2008/98/EC), to be non-hazardous and therefore not subject to the export prohibition in Article 36 of this Regulation. The waste numbered AC300 has been deleted since the waste in question is covered by entry A3210 in List A of part 1.

⁴ This listing includes wastes in the form of ash, residue, slag, dross, skimming, scaling, dust, powder, sludge and cake, unless a material is expressly listed elsewhere.

AC 070	ex 381900	Brake fluids
AC 080	ex 382000	Antifreeze fluids
AC 150		Chlorofluorocarbons
AC 160		Halons
AC 170	ex 440311 ex 440312	Treated cork and wood wastes

Wastes which may contain either inorganic or organic constituents

AD 090	ex 382499	Wastes from production, formulation and use of reprographic and photographic chemicals and materials not elsewhere specified or included
AD 100		Wastes from non-cyanide based systems which arise from surface treatment of plastics
AD 120	ex 391400 ex 3915	Ion exchange resins
AD 150		Naturally occurring organic material used as a filter medium (such as bio-filters)

Wastes containing principally inorganic constituents, which may contain metals and organic materials

RB 020	ex 6815	Ceramic based fibres of physico-chemical characteristics similar to those of asbestos
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ANNEX VI

Form for pre-consented facilities (Article 14)

Competent authority	Recovery facility				Waste identification (code)	Period of validity		Total pre-authorized quantity (tonnes (Mg))
	Name and no. of the recovery facility	Address	Recovery operation (+ R-code)	Technologies employed		From	to	

ANNEX VII
INFORMATION ACCOMPANYING SHIPMENTS OF WASTE
AS REFERRED TO IN ARTICLE 4(3) AND (4)

Consignment information¹

1. Person who arranges the shipment Name: Address: Contact person: Tel: E-mail:		2. Importer/consignee Name: Address: Contact person: Tel: E-mail:	
3. Actual quantity: Tonnes (Mg): m ³ :		4.(a) Actual date of shipment : 4.(b) (if applicable) container identification number:	
5.(a) First carrier² Name: Address: Contact person: Tel: E-mail: Means of transport: Date of transfer: Signature:	5.(b) Second carrier Name: Address: Contact person: Tel: E-mail: Means of transport: Date of transfer: Signature:	5.(c) Third carrier Name: Address: Contact person: Tel: E-mail: Means of transport: Date of transfer: Signature:	
6. Waste generator³ Name: Address: Contact person: Tel: E-mail:		8. Recovery operation (or if appropriate disposal operation in the case of waste referred to in Article 4(3)) R-code/D-code:	
7. Recovery facility <input type="checkbox"/> Laboratory <input type="checkbox"/> Name: Address: Contact person: Tel: E-mail:		9. Usual description of the waste	
10. Waste identification (fill in relevant codes): i. Basel Annex IX: ii. OECD (if different from (i)): iii. Annex IIIA ⁴ : iv. Annex IIIB ⁵ : v. EU list of wastes: vi. National code: vii. Other (please specify):			
11. Countries/states concerned:			
Export/dispatch	Transit	Import/destination	
12. Declaration of the person who arranges the shipment: I certify that the above information is complete and correct to my best knowledge. I also certify that effective written obligations have been entered into with the consignee (not required in the case of waste referred to in Article 4(3)): Name: _____ Date: _____ Signature: _____			
13. Signature upon receipt of the waste by the consignee: Name: _____ Date: _____ Signature: _____			
TO BE COMPLETED BY THE RECOVERY FACILITY OR BY THE LABORATORY:			
14. Shipment received at recovery facility <input type="checkbox"/> or laboratory <input type="checkbox"/> Quantity received: Tonnes (Mg): m ³ : Name: _____ Date: _____ Signature: _____			
15. Waste recovered at the recovery facility: Quantity prepared for re-use or recycled <input type="checkbox"/> other recovery <input type="checkbox"/> Tonnes (Mg): m ³ : Name: _____ Date: _____ Signature: _____			

¹ Information accompanying shipments of green listed waste and destined for recovery or waste destined for laboratory analysis pursuant to [new Regulation number]

² Provide information for all carriers involved in the concerned shipment.

³ When the person who arranges the shipment is not the waste producer or collector, information about the waste producer or collector shall be provided.

⁴ The relevant code(s) as indicated in Annex IIIA to Regulation [new] are to be used, as appropriate in sequence. Certain Basel entries such as B1100 and B3020 are restricted to particular waste streams only, as indicated in Annex IIIA.

⁵ The BEU codes listed in Annex IIIB to Regulation [new] are to be used.

ANNEX VIII

REQUEST FOR INCLUSION IN THE LIST OF COUNTRIES TO WHICH THE EXPORT OF NON-HAZARDOUS WASTE DESTINED FOR RECOVERY FROM THE EUROPEAN UNION ARE AUTHORISED

Part 1

Request to receive waste(s) from the European Union

Hereby, (name and contact details of competent authority)....., on behalf of (country) (hereafter 'the country') declares that the country wishes to receive the wastes(s) specified in Part 2, point 1, of this request from the European Union and declares that the country has an adequate waste management regulatory framework and strategy in place, and is taking adequate enforcement measures to manage the waste(s) concerned in an environmentally sound manner.

Place.....Date:.....Signature:.....

Part 2

Information and supporting evidence

1. List of wastes covered by the request

Description of the waste	Relevant classification code ¹

2. Please provide, in annex to this request, a detailed description of the national waste management strategy or plan of the country, including the following elements:

(a) the amount of total waste generated in the country on a yearly basis, as well as the amount of waste(s) covered by the scope of this request (“waste concerned by the request”), and estimations on how these amounts would develop in the next 10 years;

¹ Codes used in Annex IX of the Basel Convention or, if the waste is not listed in that Annex, waste codes or descriptions referred to in Annexes III, IIIA or IIIB of this Regulation, or in part 2 of Annex V

<ul style="list-style-type: none"> (b) an estimation of the country's current treatment capacity for waste in general, as well as an estimation of the country's treatment capacity for the waste(s) concerned by the request, and an evaluation of how these capacities would develop in the next 10 years; (c) the proportion of domestically generated waste that is separately collected, as well as possible objectives and measures to increase this rate in the future. Please provide this information for each of the most important types of domestic waste; (d) the proportion of domestic waste(s) concerned by the request that is landfilled, as well as possible objectives and measures to decrease this rate in the future; (e) the proportion of domestic waste(s) concerned by the request that is recycled, and any objectives and measures to increase this rate in the future; (f) information on the amount of waste that is littered and on measures taken to prevent and clean up litter; (g) a strategy on how to ensure the environmentally sound management of waste imported into its territory, including the possible impact of the management of imported waste on the management of waste generated domestically; (h) information on the methodology used to calculate the data referred to in points (a) to (f).
<p>3. Please provide, in annex to this request, a description of domestic legal framework for waste management in place, including at least the following elements:</p> <ul style="list-style-type: none"> (a) permitting or licensing system(s) for waste treatment facilities; (b) permitting or licensing system(s) for transport of waste; (c) provisions designed to ensure that the residual waste generated through the recovery operation for the waste(s) concerned is managed in an environmentally sound manner; (d) pollution controls applying to waste treatment operations, including in particular emission limits for the protection of air, soil and water and measures to reduce the emissions of greenhouse gases from these operations; (e) provisions on enforcement, inspection and penalties designed to ensure the implementation of domestic and international requirements on waste management and waste shipment.
<p>4. Please provide, in annex to this request, a description of any other related legislation on the protection of the environment and public health applicable to waste management operations.</p>
<p>5. Please provide, in annex to this request, a description of the domestic legislation on the import and export of the waste concerned by the request, and in particular on any specific control procedure applying to such import or export, such as prior written notification and consent as referred to in Article 6 of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal.</p>
<p>6. Please provide a list of facilities authorised under the domestic legislation of the country to recover the waste(s) covered by this request (including at least the name and address of these facilities, their permit number, the types of waste(s) that they are authorised to recover and their authorised treatment capacity). This should preferably be provided through a website link where information on the concerned facilities is publicly and electronically accessible (e.g. website link of the competent authority).</p>

<p>7. Please provide information on the status of the country with regard to its membership to the following multilateral environmental agreements:</p>	
<p>Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>Stockholm Convention on Persistent Organic Pollutants</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>Minamata Convention on Mercury</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>UN Framework Convention on Climate Change</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>Paris Agreement</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>Montreal Protocol on substances that deplete the ozone layer</p>	<p>Signed: yes <input type="checkbox"/> no <input type="checkbox"/></p> <p>Ratified: yes <input type="checkbox"/> no <input type="checkbox"/></p>
<p>8. Please provide, in annex to this request, a description of how the country complies with its obligations under the multilateral environmental agreements listed in point 7, in particular as regards the relevant reporting obligations thereof.</p>	
<p>9. Please provide, in annex to this request, a description of how the Framework for the environmentally sound management (ESM) of hazardous wastes and other wastes, technical guidelines and other guidance on the environmentally sound management of waste adopted under the Basel Convention are taken into consideration in the regime for the management of the waste concerned by the request.</p>	
<p>10. Please provide, in annex to this request, a detailed description of the country's strategy for enforcement of domestic legislation on waste management and waste shipment, covering in particular control and monitoring measures, including information on the</p>	

number of inspections of shipments of waste and of waste management facilities carried out and on penalties imposed in cases of infringements to the relevant domestic rules.

ANNEX IX

POINTS OF REFERENCE FOR THE ASSESSMENT PERFORMED BY THE COMMISSION PURSUANT TO ARTICLE 40(1)

Part 1

EU legislation designed to ensure the environmentally sound management of waste

1. Directive 2008/98/EC of the European Parliament and of the Council of 19 November 2008 on waste and repealing certain Directives (Waste Framework Directive).
2. In addition to the EU Waste Framework Directive, the following pieces of EU legislation, which set out requirements for waste treatment operations, are relevant for the purpose of ensuring environmentally sound management of waste:
 - (a) Council Directive 1999/31/EC of 26 April 1999 on the landfill of waste¹,
 - (b) Directive 2010/75/EU of the European Parliament and of the Council of 24 November 2010 on industrial emissions.
3. The following pieces of EU legislation, which set out requirements for specific waste streams, are also relevant for the purpose of ensuring environmentally sound management of waste:
 - (a) European Parliament and Council Directive 94/62/EC of 20 December 1994 on packaging and packaging waste;
 - (b) Council Directive 96/59/EC of 16 September 1996 on the disposal of polychlorinated biphenyls and polychlorinated terphenyls;
 - (c) Directive 2000/53/EC of the European Parliament and of the Council of 18 September 2000 on end-of-life vehicles;
 - (d) Directive 2006/66/EC of the European Parliament and of the Council of 6 September 2006 on batteries and accumulators and waste batteries and accumulators and repealing Directive 91/157/EEC;
 - (e) Directive 2012/19/EU of the European Parliament and of the Council of 4 July 2012 on waste electrical and electronic equipment (WEEE);
 - (f) Regulation (EU) 2019/1021 of the European Parliament and of the Council of 20 June 2019 on persistent organic pollutants.

Part 2

International guidance on environmentally sound management of waste

1. Guidelines and guidance documents adopted under the Basel Convention:
 - (a) Technical guidelines for the environmentally sound management of wastes subject to the Basel Convention, including on incineration on land (D10) and on specially engineered landfill (D5)¹

¹ Relevant for the treatment of residual waste that is generated during a recovery operation

- (b) Technical guidelines on the environmentally sound recycling/reclamation of metals and metal compounds (R4)²
- (c) General technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants³
- (d) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexabromocyclododecane (HBCD)⁴
- (e) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF)⁵
- (f) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with pentachlorophenol and its salts and esters (PCP)⁶
- (g) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexabromodiphenyl ether and heptabromodiphenyl ether, or tetrabromodiphenyl ether and pentabromodiphenyl ether or decabromodiphenyl ether (POP-BDEs)⁷
- (h) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexachlorobutadiene³
- (i) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with short-chain chlorinated paraffins⁸
- (j) Technical guidelines for the environmentally sound management of used and waste pneumatic tyres⁹
- (k) Guidance document on the environmentally sound management of used and end-of-life computing equipment¹

¹ Adopted by the third meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, September 1995.

² Adopted by the seventh meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, October 2004.

³ Adopted by the fourteenth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, May 2019.

⁴ Adopted by the twelfth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, May 2015.

⁵ Adopted by the eighth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, December 2006.

⁶ Adopted by the thirteenth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, May 2017.

⁷ Adopted by the twelfth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, May 2015.

⁸ Adopted by the seventh meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, October 2004.

⁹ Adopted by the tenth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, October 2011.

- (l) Guidance document on environmentally sound management of used and end-of-life mobile phones³
- (m) Framework for the environmentally sound management of hazardous wastes and other wastes²
- (n) Practical manuals for the promotion of the environmentally sound management of wastes³

2. Guidelines adopted by the OECD:

- (a) Technical guidance for the environmentally sound management of specific waste streams: Used and scrap personal computers³

¹ Adopted by the thirteenth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, May 2017.

² Adopted by the eleventh meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, October 2013

³ Adopted by the Environment Policy Committee of the OECD in February 2003 (document ENV/EPOC/WGWPR(2001)3/FINAL).

ANNEX X

CRITERIA DESIGNED TO DEMONSTRATE THAT A FACILITY MANAGES WASTE EXPORTED FROM THE UNION IN AN ENVIRONMENTALLY SOUND MANNER

1. The audit referred in Article 43(2) verifies that the facility managing the waste in the country of destination complies with the following conditions:
 - (a) it is authorised by its competent authorities to import and treat this waste (evidence to be provided notably through production of corresponding permits or licences) and is carrying out its activities in accordance with relevant applicable domestic legislation on environmental protection;
 - (b) it is designed, constructed and operated in a safe and environmentally sound manner and, in particular, it has the required processes, organisation and infrastructure in place to treat the waste in question, and insurances covering potential risks and liabilities. To this end, as a minimum, information on the waste treatment methods, including how they deal with residual waste, notably through downstream traceability, must be checked;
 - (c) it establishes management and monitoring systems, procedures and techniques that have the purpose of preventing, reducing, minimising and to the extent practicable eliminating:
 - (i) health and safety risks to workers concerned and to the population in the vicinity of the facility, and
 - (ii) adverse effects on the environment caused by its activities (in particular through adequate measures taken to monitor and address soil, water and air pollution, and other nuisances (odour, noise));
 - (d) it ensures the traceability of all waste received and treated at the facility, including ensuring that all residual waste generated from their activities are documented and are only transferred to waste management facilities that are authorised to deal with their further treatment. To this end, as a minimum, information should be checked on:
 - the amount of waste that the facility is entitled to treat according to its permit/licences,
 - the amount of waste that they receive and recover annually,
 - the amount of residual waste generated by their activities, as well evidence that this residual waste is shipped to and treated in an authorised waste treatment facility;
 - (e) it has taken measures designed to save energy and limit the emissions of greenhouse gases linked to its activities;

- (f) it establishes and is able to provide records of its waste management and waste shipment activities for the last five years;
 - (g) it has not been convicted of illegal activities linked to waste shipment or waste management.
2. Upon verifying compliance of a facility against the above criteria, the independent third party performing the audit must in particular take into account, as a point of reference and where relevant:
- (a) specific requirements for the treatment of certain waste and on the calculation of the amount of waste treated, which are mandatory under EU legislation;
 - (b) the Best Available Techniques conclusions adopted for certain activities under the regime of Directive 2010/75/EU of the European Parliament and of the Council of 24 November 2010 on industrial emissions¹.
3. In addition, the guidelines referred to in Part 2 of Annex IX may also be taken into consideration as guidance.

¹ OJ L 334, 17.12.2010, p. 17.

ANNEX XI

**ADDITIONAL QUESTIONNAIRE FOR MEMBER STATES REPORTING
OBLIGATION PURSUANT TO ARTICLE 69(2)**

<p>Art. 11(2)</p>	<p>Information on consents given to a notification for a shipment of waste destined for disposal, where the conditions in Article 11(2) were fulfilled</p> <p>Has this provision been applied? Yes No <i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If yes, complete Table 1</p> <p>Additional remarks:</p> <p>----- ----- ----- -----</p>
<p>Art. 12(5)</p>	<p>Information on objections to planned shipments for recovery on the basis of them not being in accordance with Directive 2008/98/EC</p> <p>Has this provision been applied? Yes No <i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If yes, please complete Table 2.</p>
<p>Art. 14</p>	<p>Information on decisions by competent authorities to issue pre-consents for certain recovery facilities and on consent to shipments to such facilities</p> <p>Has there been any case? Yes No <i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If yes, please complete Tables 3.</p> <p>Has there been any consent/objections to shipment to such facilities?</p> <p align="center">Yes No</p> <p><i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If yes, please complete Table 4.</p>
<p>Art. 33</p>	<p>Information on the Member States' system for the supervision and control of shipments of waste within their territory</p> <p>Is there a system for the supervision and control of shipments of waste within the national territory? Yes No <i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If there is such a system, do you apply the system provided for in Titles II and VII of the Regulation? Yes No <i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If you apply a different system from that provided for in Titles II and VII of the Regulation, please give details of the system applied:</p> <p>-----</p>

	<p>-----</p> <p>-----</p> <p>-----</p>
<p>Art. 44</p>	<p>Information on the Member States' actions to verify that waste was only exported from the Union in case it is treated in an environmentally sound manner.</p> <p>Please give details on the regular verifications undertaken to ensure that natural and legal persons exporting waste from the Union comply with the obligations referred to in Article 40:</p> <p>-----</p> <p>-----</p> <p>-----</p>
<p>Art. 60(1)</p>	<p>Information on illegal shipments of waste</p> <p>Has there been any case? Yes No</p> <p><i>(please tick ✓ as appropriate)</i> <input type="checkbox"/> <input type="checkbox"/></p> <p>If yes, please complete Table 5</p> <p>Please, provide information on how illegal shipments of waste is prohibited and punished under national legislation.</p> <p>-----</p> <p>-----</p> <p>-----</p>
<p>► Art. 57(1)</p>	<p>Summary information on the outcome of the inspections carried out pursuant to Article 54(1), including:</p> <ul style="list-style-type: none"> - number of inspections, including physical checks, of establishments, undertakings, brokers and dealers, related to shipments of waste - number of inspections of shipments of waste, including physical checks: - number of supposed illegalities concerning establishments, undertakings, brokers and dealers, related to shipments of waste: - number of supposed illegal shipments ascertained during the inspections: <p>Additional remarks:</p> <p>-----</p> <p>-----</p> <p>-----</p> <p style="text-align: right;">◀</p>

Note for completion of the Tables:

D and R codes are those referred to in Annexes I and II to Directive 2008/98/EC, as amended.

Waste codes are those referred to in Annexes III, IIIB, IV and where relevant, V of this Regulation.

► *The link where the information made publicly available via the internet by Member States in accordance with Article 69(2) can be accessed electronically* ◀

Table 1

Information on consents given to a notification for a shipment of waste destined for disposal, where the conditions in Article 11(2) were fulfilled

Waste Code	Quantity (kg/litres)	Country of dispatch/ Country of destination	Disposal Operation (Final disposal) D Code	Specific conditions in Article 11 that necessitated the shipment

Table 2

Information on objections to planned shipments for recovery based on them not being in accordance with Directive 2008/98/EC (Article 12(5))

Waste Code	Quantity (kg/litres)	Country of transit/ Country of dispatch	REASONS FOR THE OBJECTION <i>(please tick ✓ as appropriate)</i>				INSTALLATION (Final disposal)	
			Art. 12(1) (d)(i)	Art. 12(1) (d)(ii)	Art. 12(1) (d) (iii)	Art. 12(1) (e)	Name <i>(in case of Art.12(1)(e)(ii))</i>	Disposal Operation D Code

Table 3

Information on decisions by competent authorities to issue pre-consents (Article 14)

Competent Authority	Recovery Facility				Waste identification (code)	Period of validity		Revocation (date)
	Name and No	Address	Recovery operation R Code	Technologies employed		From	To	

Table 4

Information on consents or objections to shipments to pre-consented facilities (Article 14)

Waste Code	Quantity (kg/litres)	Country of dispatch/ Country of destination	Recovery operation (Code)	In case of objection: reason for this objection

Table 5

Information on illegal shipments of waste (Article 60(1))

Waste identification (Code)	Quantity (kg/litres)	Country of destination/ Country of dispatch	Identification of the reason for illegality (possible reference to violated Articles)	Responsible for illegality <i>(please tick ✓ as appropriate)</i>			Measures taken including any penalties imposed or take back actions undertak en
				Notifier	Consignee	Other	

ANNEX XII

Correlation table

Regulation (EC) No 1013/2006	This Regulation
--	Article 1
Article 1	Article 2
Article 2(1), 2(2), 2(4), 2(6), 2(7a), 2(9), 2(10), 2(11), 2(12) and 2(13)	Article 3, last subparagraph
Article 2(3)	Article 3(1)
Article 2(5)	Article 3(2)
Article 2(7)	Article 3(3)
Article 2(8)	Article 3(4)
Article 2(14)	Article 3(5)
Article 2(15)	Article 3(6)
Article 2(16)	Article 3(7)
Article 2(17)	Article 3(8)
Article 2(18)	Article 3(9)
Article 2(19)	Article 3(10)
Article 2(20)	Article 3(11)
Article 2(21)	Article 3(12)
Article 2(22)	Article 3(13)
Article 2(23)	Article 3(14)
Article 2(24)	Article 3(15)
Article 2(25)	Article 3(16)
Article 2(26)	Article 3(17)
Article 2(27)	Article 3(18)
Article 2(28)	Article 3(19)
Article 2(29)	Article 3(20)

Article 2(30)	Article 3(21)
Article 2(31)	Article 3(22)
Article 2(32)	Article 3(23)
Article 2(33)	Article 3(24)
Article 2(34)	Article 3(25)
Article 2(35)	Article 3(26)
Article 2(35a)	Article 3(27)
--	Article 3(28)
Article 3	Article 4
Article 4	Article 5
Article 5	Article 6
Article 6	Article 7
Article 7	---
Article 8	Article 8
Article 9	Article 9
Article 10	Article 10
Article 11	Article 11
Article 12	Article 12
Article 13	Article 13
Article 14	Article 14
Article 15	Article 15
Article 16	Article 16
Article 17	Article 17
Article 18	Article 18
Article 19	Article 19
Article 20	Article 20

Article 21	Article 21
Article 22	Article 22
Article 23	Article 23
Article 24	Article 24
Article 25	Article 25
Article 26	Article 26
Article 27	Article 27
Article 28	Article 28
Article 29	Article 29
Article 30	Article 30
Article 31	Article 31
Article 32	Article 32
Article 33	Article 33
Article 34	Article 34
Article 35	Article 35
Article 36	Article 36
Article 37	Articles 37-40
Article 38	Article 41
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---	Article 44
Article 39	Article 45
Article 40	Article 46
Article 41	Article 47
Article 42	Article 48
Article 43	Article 49

Article 44	Article 50
Article 45	Article 51
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Article 46	Article 53
Article 47	Article 54
Article 48	Article 55
Article 49	Article 56
Article 50(1)	Article 60
Article 50(2) and (3)	Article 57
Article 50(2a)	Article 59
Article 50(4), (4a), (4b), (4c), (4d) and (4e)	Article 58
Article 50(5), (6) and (7)	Article 61
---	Article 62
---	Article 63
---	Article 64
---	Article 65
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Article 51	Article 69
Article 52	Article 70
Article 53	Article 71
Article 54	Article 72
Article 55	Article 73
Article 56	Article 74
Article 57	---

Article 58	Article 75
Article 58a	Article 76
Article 59a	Article 77
---	Article 78
---	Article 79
Article 60	Article 80
Articles 61 to 63	Article 81
Article 64	Article 82
Annex IA, IB and IC	Annex IA, IB and IC
Annex II	Annex II
Annex III	Annex III
Annex IIIA and Annex IIIB	Annex IIIA and Annex IIIB
Annex IV	Annex IV
Annex IVA	---
Annex V	Annex V
Annex VI	Annex VI
Annex VII	Annex VII
---	Annex VIII
Annex VIII	Annex IX
---	Annex X
Annex IX	Annex XI
---	Annex XII