THE OECD CONTROL SYSTEM

FOR TRANSFRONTIER MOVEMENTS OF WASTES DESTINED FOR RECOVERY OPERATIONS

GUIDANCE MANUAL
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THE OECD CONTROL SYSTEM
FOR TRANSFRONTIER MOVEMENTS OF WASTES DESTINED
FOR RECOVERY OPERATIONS
GUIDANCE MANUAL

ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

Paris 1995

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TABLE OF CONTENTS

1.0 INTRODUCTION .......................................................... 7
1.1 Background .......................................................... 8
1.2 Development of the OECD System ............................... 8
1.3 Amendments to the OECD System .............................. 9

2.0 GENERAL DESCRIPTION OF THE OECD SYSTEM ................. 10

3.0 OPERATION OF THE OECD SYSTEM ............................... 12
3.1 Who is Affected by the OECD System? ......................... 12
3.2 The Document for the Transfrontier Movement of Wastes .... 13
3.3 Contracts .......................................................... 13
3.4 International Shipping Standards ............................. 14

4.0 IDENTIFICATION OF WASTES SUBJECT TO CONTROL BY THE OECD SYSTEM .................................................. 15
4.1 What is a Waste? .................................................... 15
4.2 The OECD Lists of Wastes ........................................ 15

5.0 DEALING WITH EXCEPTIONS ........................................ 17
5.1 Exceptions to the OECD Lists ................................... 17
5.2 Procedures for Modifying Green, Amber and Red Tier Lists - the OECD Review Mechanism ................................. 17
5.3 Movements which Cannot be Completed as Intended ........ 18

6.0 TRANSFRONTIER MOVEMENTS OF GREEN TIER WASTES .......... 19
6.1 How Green Tier Wastes Are Handled Under the OECD System 19
6.2 Example 1 - Movement of a Green Tier Waste ............... 19

7.0 TRANSFRONTIER MOVEMENTS OF AMBER TIER WASTES .......... 21
7.1 How Amber Tier Wastes are Handled Under the OECD System 21
7.2 Case 1 - Movement Requiring Specific Consent ................ 21
   7.2.1 Notification Procedure for Movement Requiring Specific Consent - Single Shipment ........................................ 21
   Step 1 - Contract .................................................. 21
   Step 2 - Notification ............................................. 21
   Step 3 - Acknowledgement ....................................... 23
   Step 4A - Consent ................................................. 23
   Step 4B - Objection ................................................ 23
   Step 5 - Shipment .................................................. 24
   Step 6 - Return of Tracking Form ............................... 24
   7.2.2 Movement Requiring Specific Consent - Multiple Shipments .. 25


8.0 TRANSFRONTIER MOVEMENTS OF RED TIER WASTES ........................................ 34
8.1 How Red Tier Wastes Are Handled Under the OECD System .......................... 34
8.2 Notification Procedure for Red Tier Listed Wastes ..................................... 34
8.3 Examples of Movements of Red Tier Wastes .................................................. 34

9.0 SPECIFIC NATIONAL PROVISIONS OF MEMBER COUNTRIES AND OTHER RELEVANT INFORMATION .......................................................... 38

10.0 INDEX ............................................................................................................. 39

END NOTES .......................................................................................................... 41

FIGURES

Figure 1 - Identification of Wastes to be Controlled by the OECD System ............ 16
Figure 2 - General Procedure for Notification of Wastes to be Controlled .......... 22
Figure 3 - Procedure for Amber Tier Wastes Destined for Recovery Operations ..... 27

ANNEXES

ANNEX A OECD Council Decision C(92)39/FINAL - Including Green, Amber, & Red Lists ................................................................................................................. 43
ANNEX B OECD Council Decision C(88)90(Final) - Including Definition and Classification of Hazardous Wastes ................................................................. 75
ANNEX C OECD Document for Transfrontier Movement of Wastes - The Notification and Movement/Tracking Forms ..................................................... 97
ANNEX D Instructions for filling out the Notification and Movement/Tracking Forms 103
ANNEX E Guidelines for the Preparation of Contracts ............................................. 113

ISSUED SEPARATELY

ANNEX F List of Competent Authorities, Specific National Regulations and Other Relevant Information (also including the amendments to the lists of wastes set out in Decision C(92)39/FINAL, adopted after 1st January 1995).
1.0 INTRODUCTION

Improper handling and disposal of hazardous wastes can lead to serious risks to human health and the environment. Countries have implemented large and costly systems of control to mitigate the potential hazards created by the improper disposal of such wastes. One aspect of this problem concerns hazardous wastes that are generated in one country and exported to another country.

Many countries are already making efforts to cooperate and to minimize the possibilities of problems occurring from the transfrontier movements of waste. The Member countries of the Organisation for Economic Cooperation and Development (OECD) have unanimously resolved to create and fully implement an international mechanism to control transfrontier movements of wastes intended for recovery within the OECD area. They adopted on March 30, 1992, the Decision Concerning the Control of Transfrontier Movements of Wastes Destined for Recovery Operations C(92)39/FINAL. The Decision contains the provisions of this mechanism, hereafter referred to as the OECD System. The Decision is appended in its entirety in ANNEX A.

The Decision designates three "tiers" of wastes according to their potential to create a hazard: the Green, Amber, and Red Tiers. The Decision requires control of transfrontier movements of Amber and Red Tier wastes - which are defined as hazardous, but requires no controls for Green Tier wastes destined for recovery operations other than those normally applied to commercial transactions. The Decision creates a system of notification of the "concerned countries" (exporting and importing countries and any countries of transit involved in a transfrontier movement of wastes) for any movement of controlled wastes in the OECD area. The OECD System ensures that sufficient information is provided to importing and transit countries, in order that they may decide to allow or forbid designated wastes to be imported or transported through their territory.

Formal implementation of the OECD System can only be through national legislation which has to be promulgated in Member countries. This Guidance Manual has been written as an aide to the use of the System, to provide an understanding of the way that the System is intended to function, and to support the regulatory authorities ("competent authorities") who have jurisdiction over transfrontier movements in OECD Member countries, thereby ensuring a uniform application of the OECD System in Member countries.

It is intended that this Manual will aid the competent authorities of Member countries to determine who is subject to the requirements, and will define the responsibilities of regulated parties for transfrontier movements of wastes destined for recovery. The Manual identifies the types of wastes subject to the OECD System and the major provisions and requirements of the System. Examples are provided to illustrate applications of the provisions. The Annexes contain useful references concerning implementation of the System, including: the two major Council Decisions relating to the OECD System - one of which contains the Green, Amber, and Red lists of wastes; a sample contract; and the notification and movement/tracking forms with instructions on their completion. The list of competent authorities in OECD countries, specific national regulations and other relevant information are included in an Annex issued separately.

A brief treatment of the background and purpose of the OECD System and its consequent development are presented.
1.1 **Background**

The OECD has concerned itself with the issue of transfrontier movement of hazardous wastes since the early 1980's and has worked to develop appropriate measures to exercise control over such movements. The OECD has also contributed to the creation of relevant European Community directives, and to the preparation of the United Nations Environment Programme global convention adopted in Basel in March of 1989.

The Basel Convention is of particular relevance since it seeks to formalize a baseline of appropriate measures concerning the transfrontier movements of hazardous wastes throughout the world. It incorporates the essence of the early OECD efforts in exercising control over transfrontier movements of hazardous waste and reaffirms that transfrontier movements of hazardous wastes may create serious hazards to human health and the environment if not properly monitored and controlled.

1.2 **Development of the OECD System**

The OECD System entered into force on March 30, 1992, to control the movements of hazardous waste across international boundaries within the OECD area that are intended for recovery. The System is to be implemented in Member countries through the enactment of national legislation. Consequently, some difficulties may arise in the initial stages of implementation of the System depending on the varying effective dates of the legislation.

Four OECD Council Acts were crucial in laying the groundwork for and establishing principles which were later incorporated into the OECD System. They are described below.

On 1 February 1984 the OECD Council adopted the Decision-Recommendation C(83)180, which instructs Member countries to control transfrontier movements of hazardous waste. Member countries "shall ensure that the competent authorities of the countries concerned are provided with adequate and timely information" regarding the type of waste and planned movement of the waste, to ensure sound management of such movements. This Decision did not provide for operational action for OECD Member countries, but did establish many of the principles on which the Basel Convention was based.

On 5 June 1986 the OECD Council adopted the Decision-Recommendation C(86)64, which binds Member countries to empower their competent authorities to prohibit the export of hazardous wastes to non-OECD countries in appropriate instances. The Decision instructs that controls on such transfrontier movements to non-Member countries must be at least as strict as controls governing movements to Member countries. Such movements must be formally approved by the importing (non-Member) country. Finally, the Decision provides that movements of hazardous wastes to non-Member countries must be prohibited if the waste disposal facility within the jurisdiction of the non-Member country is considered to be unsuitable.

The Council adopted Decision C(88)90 on 27 May 1988, in which the terms "waste" and "disposal" are defined in the context of transfrontier movements of hazardous waste. Member countries agreed to control a certain number of wastes which all of them considered hazardous. A "core list" of hazardous wastes to be controlled was thus developed and is an essential part of this Decision. The Decision further provided that all other wastes, not mentioned in the "core list", but considered to be hazardous in the exporting or importing Member country, are also subject to controls. Decision C(88)90 preceded the Basel Convention, and its major elements were incorporated into the Convention. Due to its importance and frequent reference in this Manual, this Decision is appended in its entirety in ANNEX B.
The Council adopted Decision-Recommendation C(90)178, on 31 January 1991. This Decision requires that wastes which are not destined for recovery operations be disposed of to the extent possible in the territory of the Member country in which the waste is generated, "consistent with environmentally sound and efficient management practices." The Decision provided that Member countries should develop disposal capacity for wastes that currently can not be managed within their territory. Where this is not possible, countries are encouraged to provide for environmentally sound management of these wastes through bilateral or regional plans agreed at governmental level. The Decision also called for a system that controls transfrontier movements of wastes being transported to recovery facilities. This Decision was the legal basis for Decision C(92)39, which established the OECD System.

1.3 Amendments to the OECD System

Since its adoption by the OECD Council on 30 March 1992, Decision C(92)39 was amended twice: on 23 July 1993 and on 28-29 July 1994 with respect to the lists of wastes [Decisions C(93)74 and C(94)153], and on 28-29 July 1994 to include the Document for Transfrontier Movements of Wastes [Decision C(94)154].

Council Decision C(88)90 was also amended on 28-29 July 1994 [with Decision C(94)152] to make its definition Tables conform to those in the Basel Convention.

These various amendments are incorporated in the version of C(92)39 and C(88)90 given in Annex A and Annex B respectively.

Amendments to the OECD Control System occurring subsequent to the publication of this Guidance Manual will be reported through the separately issued ANNEX F.
2.0 GENERAL DESCRIPTION OF THE OECD SYSTEM

The OECD System is applicable to all transfrontier movements of wastes destined for recovery operations within the OECD Area. The System does not apply to wastes destined for disposal and applies only to OECD Member countries. The wastes destined for recovery operations must go to a facility which is operating or is authorized to operate in the importing country under applicable domestic law. All such transfrontier movements shall be carried out under the terms of applicable international transport agreements.

The OECD System does not apply to the movement of hazardous waste outside of the OECD area. However, any such movements shall be subject to all relevant international and national laws and regulations (e.g. Basel Convention), as well as the OECD Decision C(86)64 mentioned in Section 1.2.

Those wastes that are subject to the OECD System are described in Sections 4, 6, 7 and 8 of this Manual. The OECD System has created three lists of wastes which are intended to be exclusive and which have been set up according to the degree of hazard they could present. Hence, if a waste is listed "Green" it is considered not to be hazardous and thus is not controlled by the OECD System. Green listed waste are only subject to existing controls for commercial transactions.

If a waste is listed "Amber" or "Red", it is considered to be hazardous, and thus is subject to the OECD System. In such cases all parties involved in the movement have prescribed responsibilities that must be met for the movement to be approved by the countries concerned. The parties that may be affected include: waste generators, waste exporters and importers, waste transporters, operators of recovery facilities, competent authorities for waste of exporting, importing and transit countries and the OECD Secretariat. They are described in Section 3.1.

Specific details relating to planned transfrontier movement of Amber or Red listed waste to recovery facilities, must be transmitted to the appropriate competent authorities of concerned countries using the OECD notification form. This form requires information, in particular, on:

- the nature of the waste;
- details regarding the generator and the notifier;
- details regarding the waste recipient;
- the proposed fate of the waste; and
- the existence of a legal contract between parties, including arrangements for any required insurance or financial guarantees.

The competent authorities can use this information to identify the parties involved in the shipment and to decide whether the proposed transfrontier movement is in accord with existing national legislation. If no difficulties are identified, then either tacit or written consent may be granted for the transfrontier movement. However, if an objection is raised by one of the competent authorities of the concerned countries, the transfrontier movement cannot legally be carried out until the objection is satisfactorily resolved.

If the transfrontier movement is approved by the competent authorities of the concerned countries, then shipment may proceed. A tracking form which contains specific details relating to the consignment, must accompany it until it reaches the recovery facility. The tracking form is used to confirm that wastes that have been shipped, actually arrive at the designated recovery facility.
Upon acceptance of the consignment by the recovery facility, an authorized representative has the responsibility of sending the completed and signed tracking form to all competent authorities and the notifier. This provides them with a record of the fate of all hazardous wastes legally exported from, transported through, or imported into their country.

A simplified procedure for pre-consent has also been established for designated recovery facilities which regularly receive a specific type of waste. In this case, movements of this particular type of waste to the designated facility can proceed without any further consent from the importing country. A notification form must however be received by the competent authorities of all concerned countries prior to dispatch of the consignment. Authorization for this "pre-consent" procedure may be granted by the competent authority of any importing country.
3.0 OPERATION OF THE OECD SYSTEM

Once the OECD Decision has been incorporated into national legislation of OECD Member countries, the modus operandi of the System becomes the next important priority. The fundamental basis for the application of the System is the procedure for the notification of transfrontier movements of waste. However, before describing this procedure in detail, it is essential to understand the responsibilities of parties, the contractual obligations required, the document used in the procedure, and other shipping requirements that are necessary for the smooth operation of the System. These components are described in this section.

3.1 Who is Affected by the OECD System?

Those persons or parties within the jurisdiction of an OECD Member country who are involved with a transfrontier movement of waste destined for recovery, are legally bound to comply with national laws which reflect the requirements of the OECD System and all other applicable laws and regulations.

The generator or original producer whose activities create waste that is intended for transfrontier movement going to recovery, is the first party that may be subject to the System. If two or more batches of wastes are mixed before being moved and recovered, and/or otherwise subjected to physical or chemical operations which render the original wastes indistinguishable or inseparable in the resulting mixture, the party or parties who perform(s) these operations is (are) considered to be the generator of the new wastes resulting from these operations. The generator may or may not be the notifier. Note that generators have obligations to comply with procedural requirements of the System if acting as the notifier.

The notifier or exporter, is regarded as the key party under the OECD System. The notifier, who must be under the legal jurisdiction of the state or country of export or dispatch, is the person who has or will have at the time that the planned transfrontier movement commences, possession or other forms of legal control of the wastes. The notifier is the party who proposes transfrontier movement of wastes for the ultimate purpose of submitting them to recovery operations in another OECD country. In some Member countries, according to national legislation, the competent authority may transmit the notification in lieu of the notifier.

The consignee or importer, is the party to whom possession or some other form of legal control of the waste is assigned at the time the waste is received in the state or country of import or destination. The consignee arranges for hazardous wastes to be imported and must be under the legal jurisdiction of the country of import. The consignee may also be the operator of a recovery facility.

A recognized trader is the party who, with appropriate authorization of concerned countries, acts in the role of principal to purchase and subsequently sell wastes. This party has legal control of such wastes and may act to arrange and facilitate transfrontier movements of wastes destined for recovery operations. A recognized trader may act as the notifier, the carrier (the party that transports hazardous wastes), or the consignee and must comply with the respective procedural requirements.

The competent authorities of the exporting, importing and transit countries are the regulatory authorities appointed by national governments, who have jurisdiction over transfrontier movements of wastes destined for recovery operations in their respective countries. A list of national competent authorities within the OECD System appears in ANNEX F. The competent authorities will receive and process the notification forms, and object to any movements that are contrary to their national legislation. The competent authority of the country of import has the extra responsibility of returning an acknowledgement of receipt of the duly completed notification form to the notifier and the competent authorities of the countries of export and transit.
The Review Mechanism is a body made up of representatives of Member countries that is charged with recommending possible modifications to the Green, Amber and Red lists of wastes. This includes the reassignment of wastes that are already listed and the addition of new wastes to these lists (see section 5.2).

The OECD Secretariat acts as a repository and a distributor of information regarding the System.

3.2 The Document for the Transfrontier Movement of Wastes

The OECD System requires prior notification of each movement of hazardous waste that is destined for recovery within the OECD Area. The OECD Document for Transfrontier Movement of Wastes is to be used to notify competent authorities in concerned OECD Member countries of all such movements and, subsequently, to accompany the movement. Competent authorities in countries will issue this document which consists of two forms: the notification form and the movement/tracking form (hereafter referred to as the tracking form). An example of the two page document is included as Annex C with instructions for its completion being included in Annex D. Only one type of waste is intended to be notified per form. However, some countries allow the use of a single notification form to cover a number of different wastes. In this case, the required information is to be provided as described in the instructions (ANNEX D).

The notification form and its annexes are designed to provide detailed, accurate and complete information on the parties involved with the movement, on the waste itself, on the recovery operations to be performed, and on other details relating to the proposed movement. This information will allow the competent authorities to make informed judgement on whether to object or consent to the movement according to their national legislation.

3.3 Contracts

The OECD System requires the existence of a valid written contract or chain of contracts, starting with the notifier and terminating at the recovery facility, prior to any transfrontier movement of hazardous waste. Contracts should confirm that the transporters, traders, and recovery facilities operate under the legal jurisdiction of OECD Member countries and have appropriate legal status. They must be licensed or otherwise authorized, approved, or "recognized" by the competent authorities in those OECD Member countries to transport, trade, or perform required recovery operations on the waste.

The parties to a contract must ensure that the contract complies with the minimum OECD and national requirements. The involved parties must be aware that in some OECD Member countries competent authorities may impose additional requirements concerning the contracts. For example, the involved parties may be required to submit the contracts (or portions thereof) to the competent authorities for review. Refer to ANNEX F for the list of competent authorities and other relevant information.

In cases where the competent authorities are required by national legislation to review contracts between parties participating in such agreements, these authorities must inform the OECD Secretariat. In the case of movements to a pre-authorised facility, notification information and the contracts or portions of contracts for which review is required, must arrive at least seven (7) days prior to the dispatch of the consignment to allow proper review of the document(s).

The assignment of legal responsibility and liability in contracts for any adverse consequences resulting from mishandling, accidents or any other unforeseen events, assists the competent authorities in identifying the responsible parties at any given moment, in accordance with national and international regulations. The contract should also specify which party shall assume responsibility for alternative
management in cases where the original terms of the contract are not fulfilled. Such alternative management could include alternate transport, recycling, disposal or other means for environmentally sound management of the waste.

Contracts shall include provisions for financial guarantees in accordance with applicable national and international law requirements. These guarantees are intended to provide funds for alternative management of the waste in cases where shipment and recovery cannot be carried out as originally intended. These guarantees may take the form of an insurance policy, bank letters, bonds, or other promise of compensation for damage.

Guidelines for the preparation of contracts for transfrontier movements of waste destined for recovery operations are included in ANNEX E. However, national regulations may apply different requirements with regard to the contents of the contract.

3.4 International Shipping Standards

For all wastes subject to the OECD System packing, labelling, and transport of the wastes must be arranged in accordance with generally accepted and recognized international rules, standards and practices, and any applicable international transport agreements. The UN publication, "Recommendations of the United Nations Concerning Transport of Dangerous Goods" (the so-called Orange Book), provides basic details on these requirements. A list of international transport agreements for various modes of transport, is included as Appendix 1 in ANNEX A.
4.0 IDENTIFICATION OF WASTES SUBJECT TO CONTROL BY THE OECD SYSTEM

The OECD System applies only to wastes which are destined for recovery operations\textsuperscript{11} within the OECD area. Wastes destined for final disposal - including those described on the OECD lists - are not subject to this System. Those wastes destined for final disposal are subject to different legal control. Similarly, radioactive wastes which are subject to other legislation specifically designed to control radioactive materials are not subject to the System.

Identification of wastes to be controlled by the System is schematically shown in Figure 1.

This section defines and describes those wastes which are subject to the OECD System and the formulation of the Green, Amber and Red Lists of wastes.

4.1 What is a Waste?

In the context of transfrontier movements, OECD Council Decision C(88)/90 broadly defines wastes as materials intended for disposal operations. This is shown in Table 2 of the Decision where "disposal" is separated into operations of final disposal and resource recovery.

The OECD Decision does not apply to products\textsuperscript{12}. If there is any doubt as to whether a material should be regarded as a waste destined for recovery operations or a product, such questions should be directed to the competent authorities listed in ANNEX F.

4.2 The OECD Lists\textsuperscript{13} of Wastes

The OECD System separates wastes into three tiers of progressively prescriptive procedures for transfrontier movements. They are referred to as the Green, Amber and Red Tiers, which are listed in appendices 3, 4 and 5 to Decision C(92)39 (see ANNEX A). The choice to classify these wastes in one of these "tiers" is based on the examination by the Review Mechanism of specific criteria\textsuperscript{14} such as the physical and chemical properties of the waste, its hazardous characteristics and hence the management regime required.

Green Tier wastes destined for recovery operations typically do not show hazardous characteristics and no control is required from the OECD System, which establishes procedures only for transfrontier movements of hazardous wastes.

On the other hand, both Amber and Red Tier wastes have been determined by OECD Member countries typically to exhibit characteristics which are regarded as hazardous. Consequently, they are subject to the OECD Control System and their transfrontier movements have to be notified to the competent authorities of concerned countries. Amber Tier wastes, however, are treated less stringently than Red Tier wastes by the OECD System; this is due to the fact that Amber Tier wastes present a lower degree of risk than Red Tier wastes. Also, considerable experience in recovery operations has been gained for Amber Tier wastes which are frequently subject to transfrontier movements.
FIGURE 1

Identification of Wastes to be controlled by the OECD System

Is consignment a waste destined for recovery in the OECD area?

Yes

Is waste on the Green List?

No

Is waste on the Amber List?

Yes

Is waste mixed or contaminated by Amber or Red Tier wastes?

No

Follow General Procedure for Wastes to be controlled
FIGURE 2

Is waste on the Red List?

Yes

Control as if on the Red List

Is waste considered hazardous by any concerned country?

No

Movement not controlled by OECD System

No
5.0 DEALING WITH EXCEPTIONS

5.1 Exceptions to the OECD Lists

Allowances have been made in the Decision for Member countries to classify wastes in a different manner than the OECD lists if this is required by their national legislation or according to their national testing procedures. The following examples show how such cases are dealt with under the System. Regional agreements, e.g. EC Regulation, may however contain different requirements.

Exception 1 - OECD List : Green - Importing Country List : Red or Amber

Green Tier wastes may be controlled as Amber or Red Tier wastes by some countries. The country which imports a Green Tier waste (therefore not subject to the OECD Control System) but which defines it as a hazardous waste, is responsible for the notification of the movement. This means that the importer/consignee assumes the role of the notifier either by sending the notification form to the competent authorities of concerned countries, or by requesting\(^{15}\) that the party responsible for exporting the waste fills out the notification form and sends it.

Exception 2 - OECD List : Red or Amber - Exporting/Importing Country List : Green

In some cases, wastes listed as Amber or Red in the OECD System when subjected to national testing procedures applicable in the exporting or importing country may not exhibit any hazardous characteristics. In such cases the notification duties are to be undertaken by parties in the country where the wastes are considered hazardous.

The OECD Secretariat must be kept informed of the two preceding exceptions so that it can promptly circulate this information to all Member countries (see ANNEX F).

Exception 3 - Waste Not Appearing on any List

Pending assignment to a list, national legislation of the concerned countries shall regulate the transfrontier movement. However, if the waste is considered hazardous by the competent authorities of any of the concerned countries, then any movements of that waste will fall under the control of the Red Tier of the OECD System until it has been evaluated and listed by the OECD Review Mechanism (see Section 5.2). As in the case of exceptions 1 & 2, if only one country considers the waste to be hazardous, the notification responsibility shifts to the relevant parties in that country.

5.2 Procedures for Modifying Green, Amber and Red Tier Lists - the OECD Review Mechanism

A Review Mechanism has been established by the OECD in order to evaluate the current placement of some wastes on the Green, Amber, or Red lists, and to assess the placement of "new" wastes to one of these three lists. A temporary working party struck from the OECD Member countries reviews applications for listing modifications. Detailed information in support of such modifications are submitted to the OECD by Member governments, or by any interested party if supported by a Member government, preferably on a specific application form. This form is based on the criteria set out in Annex 2 to Decision C(92)39 (see ANNEX A) and is available from the OECD Secretariat. Modifications to the lists of wastes are effective when approved by the OECD Council.
5.3 Movements which Cannot be Completed as Intended

In cases where the movement cannot be completed as intended, the party that has possession of the waste must immediately inform the notifier and the competent authorities of the countries of import and export. If the consignment is located in a country of transit, then the competent authority of that country must also be immediately informed.

In such cases, alternative management and control arrangements, or return of the wastes to the generator if necessary, must be arranged. The basic principle is to hold the generator responsible for his or her waste until recovery takes place. However, there may be a chain of responsible parties specified in the contract for such alternative management.

On a case by case basis, the competent authorities of the concerned countries shall cooperate to ensure that all necessary arrangements are made, transport documents are obtained, and action taken, within a limited time period, in order to ensure the best alternative management of the waste. Concerned countries must not oppose, hinder or prevent the return of the consignment to the country of export.
6.0 TRANSFRONTIER MOVEMENTS OF GREEN TIER WASTE

Green Tier wastes are listed in Appendix 3 to Decision C(92)39 (see ANNEX A). Details on the management of Green Tier wastes under the OECD System are given below.

6.1 How Green Tier Wastes Are Handled Under the OECD System

Green Tier wastes destined for recovery operations typically do not exhibit hazardous characteristics and have been deemed to pose negligible risks during transfrontier movement. Also Green Tier wastes must not be contaminated by other materials at a concentration which would cause them to exhibit hazardous characteristics and thereby require that they be handled under Amber or Red Tier procedures. Green Tier wastes therefore are not controlled directly under the OECD System, which establishes procedures only for transfrontier movements of hazardous wastes. However, Green Tier wastes must go only to a facility which, under applicable national law, is operating or is authorized to operate in the importing country. Their movement is also subject to terms of applicable international transport agreements and other existing controls normally applied in commercial transactions.

6.2 Example 1 - Movement of a Green Tier Waste

Example 1 gives data and information for a hypothetical movement of Wine Lees, which is listed as a Green Tier waste, between two OECD Member countries.

Green Valley Vineyards, which is within the legal jurisdiction of Country A wishes to send wine lees, to Agro Waste Ltd. which is within the legal jurisdiction of Country B. Wine lees is a waste produced in the wine-making process, which can be processed to allow its use for agricultural purposes. Country A shares a common border with Country B, so the waste will be transported by truck directly from Country A to Country B. Green Valley Vineyards selects Independent Shipping Company, a company operating within the legal jurisdiction of Country A, as the transporter and agent for the consignment. Since the consignment has been declared not to have been mixed with any other materials containing hazardous constituents, and consequently is not covered by the OECD System, only national and international controls for normal commercial transactions apply.
<table>
<thead>
<tr>
<th>Exporting Country:</th>
<th>Country A (OECD Member)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Importing Country:</td>
<td>Country B (OECD Member)</td>
</tr>
<tr>
<td>Transit Countries:</td>
<td>None</td>
</tr>
<tr>
<td>Waste Description:</td>
<td>Wine lees</td>
</tr>
<tr>
<td>Physical State:</td>
<td>Wet solid material</td>
</tr>
<tr>
<td>Transfrontier Transport:</td>
<td>Truck</td>
</tr>
<tr>
<td>Generator:</td>
<td>Green Valley Vineyards (Country A)</td>
</tr>
<tr>
<td>Carrier:</td>
<td>Independent Shipping Company (Country A)</td>
</tr>
<tr>
<td>Consignee:</td>
<td>Agro Waste Ltd. (Country B)</td>
</tr>
<tr>
<td>Recovery Facility:</td>
<td>Agro Waste Ltd. (Country B)</td>
</tr>
<tr>
<td>Recovery Technology:</td>
<td>Land treatment for agricultural purposes</td>
</tr>
<tr>
<td>Contact with other substances:</td>
<td>Not contaminated or mixed with any materials that would cause the waste to be classified as Amber or Red</td>
</tr>
</tbody>
</table>
7.0 TRANSFRONTIER MOVEMENTS OF AMBER TIER WASTE

Amber Tier wastes consist of substances that typically exhibit one or more hazardous characteristics. As with the analogy of Amber signal lights in traffic control, Amber Tier wastes destined for recovery operations may proceed across borders with due caution, within the specified notification rules of the OECD System. Amber Tier wastes are listed in Appendix 4 to Decision C(92)39 (see ANNEX A).

7.1 How Amber Tier Wastes are Handled Under the OECD System

Within the OECD area, all transfrontier movements of OECD Amber Tier listed wastes require written notification of the competent authorities of all concerned countries. This notification procedure allows national competent authorities to object to a transfrontier movement in accordance with their domestic laws.

Two "cases" exist within the Amber control system:

Case 1) Movement requiring specific consent; and

Case 2) Movement for which pre-consent has already been granted (pre-authorised facility).

For each case, the notification can be a single one if it covers a single shipment, or a general one if it covers a series of shipments of wastes which have similar physical and chemical characteristics, which are sent by the same notifier, and which are destined to the same recovery facility. These two main cases are further illustrated below.

7.2 Case 1 - Movement Requiring Specific Consent

7.2.1 Notification Procedure for Movement Requiring Specific Consent - Single Shipment

Every single movement of Amber Tier wastes sent to a recovery facility is governed by specific requirements for the concerned parties (see Figure 2 for general procedure for wastes to be controlled). The notification procedure for a single movement of Amber Tier waste is as follows:

Step 1 - Contract

Movements of Amber Tier wastes may occur only under the terms of a valid written contract or chain of contracts starting with the notifier and terminating at the recovery facility. Contracts must have been entered into prior to sending the notification to concerned countries (see Section 3.3).

Step 2 - Notification

Before the transfrontier movement can take place, the notifier must have provided written notification of the proposed movement to the competent authorities of the concerned countries. Notification is effected using the OECD notification form illustrated in ANNEX C and described in Section 3.2. Instructions on how to fill it out are provided in ANNEX D. The notification form must be completed by the notifier and delivered to the competent authorities of all concerned countries for each proposed transfrontier movement of waste going to recovery.
FIGURE 2
General Procedure for Notification of Wastes to be Controlled

1. Authorities of Importing, Exporting, and possibly Transit countries.
2. In some Member countries the competent authority may transmit notification form in lieu of the notifier.
4. Until objection is lifted or an alternative route is found in case of objection by a transit country.
5. Accompanied by a tracking form.
The notifier submits a notification form in triplicate to the competent authority of the importing country, and in duplicate to the competent authorities of the exporting country and, if applicable, any transit country.

According to national laws in some OECD Member countries, the notifier may be required to submit the notification only to the competent authority of the exporting country. The exporting country competent authority will then transmit the notification to the competent authorities of the other concerned countries.

Step 3 - Acknowledgement

The acknowledgement consists of the return of the notification form with Block 24 completed. The competent authority of the importing country must transmit this acknowledgement of receipt of the duly completed notification form to the notifier, with copies to the competent authorities of the other concerned countries, within three (3) working days of receiving the notification.

If the notification form is deemed unacceptable due to errors or omissions, the competent authority informs the notifier within three (3) working days, that the acknowledgement will be delayed until such time that the notifier provides the essential information.

Step 4A - Consent

A movement may proceed only if it has received consent from the competent authorities of all concerned countries. This consent may be given in one of the following two ways for Amber Tier wastes. Either:

4A-1 Tacit Consent
If no objection has been lodged by any of the concerned countries within thirty days, this is referred to as tacit consent. This thirty day period begins with the date of the issuance of the acknowledgement by the importing country (see Step 3).

4A-2 Written Consent
If written authorization is received from all concerned countries within the 30-day period, this is referred to as written consent. Written consent is effected by the competent authority returning a copy of the notification form with block 25 completed, thus indicating a consent to the proposed movement. Conditions to the consent of a movement may be given in Block 26 or in an annexed letter by the competent authorities of concerned countries.

Step 4B - Objection

If competent authorities decide to prohibit a movement of an Amber Tier waste, they MUST submit a written objection to the notifier within thirty days of the date that the acknowledgement was returned. If a written objection to the movement has been lodged by any of the concerned countries during the thirty-day period, shipment may not proceed until this objection has been lifted or, in the case of an objection by a transit country, an alternative route is found and accepted.
A competent authority may submit a written objection to a transfrontier movement within thirty days by returning a copy of the notification form to the notifier and the competent authorities of the countries concerned, with block 25 crossed out and marked "OBJECTION". Block 26 on the reverse of the form or an annexed letter may be used to give explanations regarding the objection.

Step 5 - Shipment

Once the necessary consent has been granted, shipment may proceed after the notifier completes the tracking form. This form is illustrated in ANNEX C with instructions on how to fill it out in ANNEX D. The tracking form must accompany the consignment at all times until it reaches the recovery facility. Shipment must be completed within one calendar year of the date of tacit or written consent, unless otherwise specified in the written consent.

If more than one carrier is used for a shipment, transfer of the consignment to the new carrier must be recorded on the tracking form. Each successive carrier must retain a photocopy of the tracking form giving appropriate information on the carrier to whom the consignment was released.

Unless otherwise stated on the notification form, it is not expected that the consignment will need to be stored during its transport to the recovery facility. However, if the consignment needs to be stored for unexpected reasons during transport, the carrier is to advise the notifier immediately. In turn the notifier will advise the competent authorities of concerned countries of the unforeseen need for temporary storage and the estimated date of onward movement.

Step 6 - Return of Tracking Form

On receipt of a consignment at the designated recovery facility, a duly authorised representative of the facility must acknowledge receipt of the consignment by completing Block 24 of the tracking form which accompanies the waste. A signed copy of the completed form must be handed to the last carrier. Within three (3) working days of receipt of the consignment, individually signed copies of the tracking form must be forwarded to the notifier and the competent authorities of concerned countries. The recovery facility must retain the original of the tracking form for three (3) years.

When waste is not consigned to a recovery facility, but is being accumulated for subsequent recovery elsewhere, the consignee will complete Block 23 of the tracking form. The last carrier is given a signed copy and within three (3) working days individually signed copies are to be sent to the notifier and to the competent authorities in concerned countries. When, subsequently, the waste is sent for recovery the tracking form will accompany it and the procedure described in the previous paragraph will apply.

Where certification that recovery has been completed is required, Block 25 of the tracking form can be used.

N.B.1. If the wastes are to be re-exported from the importing country to another OECD Member country, consent for re-export must be obtained from the original exporting country. The second movement of the wastes must follow the same rules as specified above.
N.B.2. The rules and delays specified above are valid only if all the countries concerned by the movement are OECD countries. If the consignment is to be transported through a non-OECD country, consent may be delayed due to the procedures and timing requirements set out in the Basel Convention.

7.2.2 Notification Procedure for Movement Requiring Specific Consent - Multiple Shipments

For multiple shipments of similar wastes from the same notifier, going to the same recovery facility, a simplified notification procedure has been produced. In such cases several shipments may be notified at the same time using one notification form.

This procedure is called general notification. It can be valid for a period of up to one year from the date of issuance of written or tacit consent, and may be renewed for subsequent one-year periods in accord with national legislation. Such an arrangement may be revoked by any of the competent authorities concerned. The revoking country advises the notifier and the competent authorities of the other concerned countries of its decision.

For multiple shipments the notification procedure is the same as that described in Section 7.2.1. However, each consignment for shipment must be accompanied by its own tracking form with Block 22 being completed individually for each shipment.

For control purposes, some countries may require that the consignment be accompanied at all times by evidence that the transfrontier movement is authorised. To do so, the carrier must be in possession of a signed copy of the notification form (or a copy of it) with Block 24 completed (tacit consent), or with Blocks 24 and 25 completed (written consent). For multiple shipments through countries where the competent authorities require that the original of the signed notification form accompany each consignment, the notifier must ensure that as many officially signed copies as shipments are obtained from the concerned competent authorities.

7.3 Case 2 - Movement to a Pre-authorised Recovery Facility

The competent authority in an importing country may grant pre-consent for quantities of certain wastes to be accepted by one or more designated recovery facilities within its jurisdiction. Under such an authorisation, a consignment may be transported directly to a recovery facility thus avoiding the required time delays for consent which are built into the OECD notification procedure.

The competent authorities of importing countries that elect to adopt this option for certain recovery facilities must inform the OECD Secretariat of any such consent they grant. Those facilities currently granted pre-consent are given in ANNEX F, with the information on competent authorities. However, such agreements may carry a specific period of validity, and may be revoked at any time. The competent authorities of the exporting and transit country may, in accord with their domestic laws, prohibit or otherwise restrict any such transfrontier movements. The Secretariat must be notified of any such revocations, prohibition, or restrictions by Member countries.

N.B. Some countries require that they review individual contracts (see section 3.3), and may need an additional period of seven days to undertake this review prior to the transfrontier movement of a consignment to a pre-authorised recovery facility.
7.3.1 Notification Procedure for Movement to a Pre-authorised Recovery Facility - Single Shipment

Although case-by-case consent is not required, the notifier must 1) enter into a valid written contract or chain of contracts with the consignee or recovery facility and 2) submit a notification form to the competent authorities of concerned countries. Notification must be received by all competent authorities before the dispatch of any consignments to a pre-authorised facility can take place. See Figure 3 for the notification procedure for Amber waste destined for a pre-authorised recovery facility.

The notification procedure for wastes destined for pre-authorised facilities requires the delivery of a duly completed notification form to the competent authorities in concerned countries. Notification does not require the competent authority of the importing country to send an acknowledgement or provide consent, since pre-consent has already been granted. However, it is suggested that notification be sent by registered mail. The consignment must be accompanied at all times by a duly completed tracking form and will follow the same procedure as in Step 6 of 7.2.1, once it reaches the recovery facility.

7.3.2 Notification Procedure for Movement to a Pre-authorised Recovery Facility - Multiple Shipments

In the case of multiple shipments of similar wastes going to the same "pre-authorised" recovery facility, movements may be eligible for similar procedures established for multiple movements of an Amber Tier waste described in Case 1 (see section 7.2.2). In this instance, the competent authorities of the concerned countries may accept one notification for multiple shipments of similar wastes from the same notifier, going to a pre-authorised facility.

Provided a valid written contract or chain of contracts exists between the notifier and the consignee or recovery facility, the first movement may proceed once a notification form has been submitted to the competent authorities of concerned countries.

The notification should follow the steps described in section 7.3.1. Every consignment must be accompanied at all times by a duly completed tracking form and will follow the procedure described in Step 6 of 7.2.1, once it reaches the consignee or the recovery facility.

7.4 Examples of Movements of Amber Tier Wastes

The following examples of hypothetical movements demonstrate a number of possible situations and responses concerning transfrontier movement of Amber Tier wastes.

Example 2 - Single Amber Tier Waste Movement with Tacit Consent through a Transit Country with the Exporting Competent Authority Transmitting the Notification in Lien of the Notifier

Ace Battery Distributors, in Country C, accepts large quantities of discarded lead-acid batteries under negotiated special arrangements from companies who supply customers with replacement new batteries. Ace Battery Distributors drains the sulfuric acid from the used batteries and already sends it to an acid recovery facility located nearby in Country C, in accordance with national regulations. Ace Battery Distributors also wishes to send the lead for recovery. Profitable Smelting Company operates a licensed facility for the recycling/reclamation of metals and metal compounds in Country E. Ace Battery Distributors enters into a written contract with Profitable Smelting Company and also with Premier Waste Transport to transport the waste from Ace Battery Distributors through Country D to Profitable Smelting Company.

Lead-acid batteries (whole or crushed) are on the Amber List of Wastes. Therefore the OECD System will apply.
FIGURE 3
Procedure for Notification of Amber Wastes Destined for a Pre-authorised Recovery Facility

Waste determined as Amber

Contract to be entered into between notifier and recovery facility

Notification of competent authorities by notifier

Receipt of duly completed notification form from notifier by all competent authorities

Consignment is transported to and received by recovery facility

Return of tracking form by recovery facility to notifier and competent authorities

Recovery of waste at recovery facility

1. Authorities of Importing, Exporting, and possibly Transit countries.
2. In some Member countries the competent authority may transmit notification form in lieu of the notifier.
3. In some Member countries a 7 day contract review period may be required prior to movement.
4. Pre-consent procedure is not applicable for Red Tier wastes.
5. Accompanied by a tracking form.
**Example 2**

<table>
<thead>
<tr>
<th>Exporting Country:</th>
<th>Country C (OECD Member)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Importing Country:</td>
<td>Country E (OECD Member)</td>
</tr>
<tr>
<td>Transit Countries:</td>
<td>Country D (OECD Member)</td>
</tr>
<tr>
<td>Waste Description:</td>
<td>Lead-acid batteries (drained)</td>
</tr>
<tr>
<td>Physical State:</td>
<td>Solid</td>
</tr>
</tbody>
</table>
| Mode of Transport: | By ship from Country C to Country D  
|                    | By truck from Country D to Country E |
| Generator/Notifier:| Ace Battery Distributors  
|                    | (Country C) |
| Carrier:           | Premier Waste Transport  
|                    | (licensed in Country C)  
|                    | Kwikship International  
|                    | (licensed in Country C and Country D)  
|                    | Au Quai Transport  
|                    | (licensed in Country D and Country E) |
| Consignee:         | Profitable Smelting Company  
|                    | (Country E) |
| Recovery Facility: | Profitable Smelting Company  
|                    | (Country E) |
| Recovery Technology:| Smelting/lead recovery |
| Hazardous Characteristics: | Hazardous by virtue of lead content and possible residual acid |
| Contact with other substances: | Not contaminated or mixed with any materials in the Red Tier list |
| Special Agreements: | None |
| Intended Shipping Date: | April 20 |
Ace Battery Distributors would normally provide written notification of the intended movement, to the competent authorities of Countries C, D, and E (the names and contact information for OECD countries can be found in ANNEX F). However, in this instance the national legislation of Country C (the exporting country) states that the competent authority will make all notifications of transfrontier movements of wastes destined for recovery facilities. Therefore, the competent authority of Country C submits the notification to Countries D and E in lieu of Ace Battery Distributors. All countries receive the notification form on March 12. The competent authority of Country E (the importing country) then returns the notification with Block 24 completed, on March 15 to the notifier (in this case the competent authority of Country C), with a copy of it to the competent authority of Country D (the transit country).

Written or tacit consent from the importing, and transit countries to this movement must be given before the movement may proceed. By April 20, the intended date of movement, no objections have been received from any of the countries. The 30 day objection period has expired. In this case, tacit consent for these concerned countries applies, and is valid up to one calendar year from the expiration of the 30-day period, (April 15).

The truck driver for Premier Waste Transport fills out Block 10 of the tracking form and leaves a signed copy with the notifier. The consignment is then transported from Ace Battery to a port in Country C on April 20. Premier Waste Transport is a company registered and licensed to operate in Country C and has two affiliated transporters who are licensed in Countries C, D, and E. The consignment is then transferred to Kwikship International so that it may be loaded onto a ship for transport to Country D on April 22. Upon transfer to Kwikship, a representative fills out Block 11 of the tracking form and leaves a copy with the Premier driver. The consignment is shipped and arrives in country D on April 23 where it is transferred to "Au quai" Transport for movement by truck through Country D to Profitable Smelting in Country E. A representative of "Au quai" fills in the information in Block 12 and gives a photocopy to Kwikship. Following a short wait in customs in Country D and Country E, the consignment is dispatched to Profitable Smelting and arrives on May 1.

A representative of Profitable Smelting Company fills in Block 24 of the tracking form and immediately gives a photocopy to "Au quai" Transport. Profitable Smelting sends a photocopy of the tracking form on May 3 to Ace Battery Distributors as well as to the competent authorities of countries C, D, and E. The batteries are recovered. Subsequently, Profitable must keep the original of the tracking form which accompanied the consignment for 3 years after receipt of the waste.

Example 3 - Single Amber Tier Waste Movement to a Pre-authorised Facility through a Transit Country

Custom Electroplating, a company under the legal jurisdiction of Country F, generates spent pickling solution as waste from one of its metal finishing operations. It finds that Universal Solvents, a licensed recovery facility in Country H, has the most reliable process for recovering spent nitric acid solutions, as well as the best specifications and price for reconditioned acid. Universal Solvents has been granted a pre-consent agreement issued by Country H to accept up to 750 tons of nitric acid waste solutions per year. Custom Electroplating, wishes periodically to send its nitric acid waste to Universal Solvents for recovery and signs a contract to do so with the facility.

These acidic solutions are listed on the Amber Tier and therefore are subject to the OECD System. To export its wastes, Custom Electroplating contracts with Safe Waste Transport, a transporter under the legal jurisdiction of Country F, but licensed to operate in Country F, Country G, and Country H, to undertake the transportation.
The pre-consent agreement granted to Universal Solvents by Country H has been duly registered with the OECD Secretariat. Also registered with the Secretariat is a requirement by Country F (export country) to review all contracts for wastes exported for recovery. The notification form must be received by the competent authority of country F at least seven days prior to the planned transfrontier movement of the waste.

Custom Electroplating, acting as notifier, delivers copies of the duly completed notification form on September 6, to the competent authorities of countries F, G, and H. Since Country F requires a contract review period, Custom Electroplating must wait 7 days after the notification has been received by Country F before dispatching the consignment. Country F receives the notification and contract for the movement by registered mail on September 9. Therefore, unless objected to, the movement may commence any time after September 16.

<table>
<thead>
<tr>
<th>Exporting Country:</th>
<th>Country F (OECD Member)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Importing Country:</td>
<td>Country H (OECD Member)</td>
</tr>
<tr>
<td>Transit Countries:</td>
<td>Country G (OECD Member)</td>
</tr>
<tr>
<td>Waste Description:</td>
<td>Spent nitric acid pickling solution</td>
</tr>
<tr>
<td>Physical State:</td>
<td>Liquid</td>
</tr>
<tr>
<td>Transfrontier Transport:</td>
<td>By truck from Country F to Country G then to Country H</td>
</tr>
<tr>
<td>Notifier/Generator:</td>
<td>Custom Electroplating Co. (Country F)</td>
</tr>
<tr>
<td>Consignee:</td>
<td>Universal Solvents Co. (Country H)</td>
</tr>
<tr>
<td>Recovery Facility:</td>
<td>Universal Solvents Co. (Country H)</td>
</tr>
<tr>
<td>Recovery Technology:</td>
<td>Acid recovery</td>
</tr>
<tr>
<td>Hazardous Characteristics:</td>
<td>Hazardous by virtue of acidity and possible trace metals</td>
</tr>
<tr>
<td>Contact with other substances:</td>
<td>Not contaminated or mixed with any materials on the Red Tier List</td>
</tr>
<tr>
<td>Special Agreements:</td>
<td>Pre-consent by competent authority of Country H to Universal Solvents Co. to receive this type of waste</td>
</tr>
</tbody>
</table>
The consignment is dispatched on September 20 by truck by Safe Way Transport Co. who is licensed to operate in Countries F, G, and H. A representative of Safe Way fills in Block 10 of the tracking form and leaves a copy with the notifier. The consignment reaches Universal Solvents Co. (the recovery facility), on September 25 and a representative of the facility fills in Block 24 of the tracking form and gives a photocopy to the Safe Way truck driver. He then sends a photocopy of the tracking form to the competent authorities of countries F, G, and H, and to Custom Electroplating on September 27.

Example 4 - Multiple Movements of Green Tier waste contaminated with Different Amber Tier Waste where the Importer (Consignee) is not the Recovery Facility

Spent Activated Carbon is regarded as a Green tier waste unless it is contaminated by other materials to an extent which render it appropriate for being considered as an Amber or Red tier waste.

In this example Clean-all Supply Ltd., a supplier of activated carbon located in Country E, operates an international exchange system whereby activated carbon is supplied for use by companies who need to use it in purification processes. When the sorptive capacity of the material becomes exhausted Clean All will take back the used activated carbon in exchange for recycled materials which has been processed to satisfy specification requirements. Clean All is authorized to operate as an interim storage facility for wastes destined for recovery in Country E.

Agents, operating as recognized traders, are appointed in each country. As agents for Clean All Supply, they are required to maintain stocks of recycled activated carbon for sale to customers. Also, they are required to accept used material for recycling. The returned material subsequently will be sent to Clean All for recycling. Used activated carbon is accepted by the agents for return to Clean All only if it is packaged in designated sealed containers and is specifically labelled to identify if, and with what, the carbon is contaminated.

Eco-Carbon International is licensed in Country C to act as an agent for Clean All and operates as a recognized trader to export activated carbon for recycling. Country C has a transport labelling system for the containers such that the hazard class of contaminants they contain can be readily recognized. This is especially useful for Eco-Carbon since there are many processes for gas or liquid purification where activated carbon can be used and there are potentially many varied contaminants.

In Country C, there are three major industries which use this exchange system for their activated carbon requirements. Eco-Carbon projects that they will receive fifty tons of activated carbon for recycling with the following break down of contaminants and projected number of shipments:

<table>
<thead>
<tr>
<th>Contaminant Type</th>
<th>Projected Amount (tons)</th>
<th>No of Shipments to be Notified</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contaminant X (amber tier)</td>
<td>30</td>
<td>30</td>
</tr>
<tr>
<td>Contaminant Y (amber tier)</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Green Tier only</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>Other contaminants as yet unspecified</td>
<td>3</td>
<td>9</td>
</tr>
</tbody>
</table>

31
| **Example 4** |
|-------------------|-----------------------------|
| **Exporting Country:** | Country C (OECD Member) |
| **Importing Country:** | Country E (OECD Member) |
| **Transit Countries:** | None |
| **Waste Description:** | Contaminated activated carbon |
| **Physical State:** | Solid granules and powder |
| **Mode of Transport:** | Truck, Ship and Rail |
| **Notifer:** | Eco-Carbon International |
| **Generator:** | various companies in exporting country |
| **Carrier:** | various |
| **Consignee:** | Clean-all Supply Ltd. |
| **Recovery Facility:** | ACME Recycling Ltd. |
| **Recovery Technology:** | Stripping processes |
| **Hazardous Characteristics:** | Hazardous by virtue of volatile contaminants (Contaminants X, and Y which are both Amber Tier listed waste) |
| **Contact with other substances:** | Not contaminated or mixed with any materials in the Red Tier list |
| **Special Arrangements:** | Temporary Storage prior to recovery |
Eco-Carbon submits separate notification forms concerning contaminant X and contaminant Y on January 1. In Country C, originals of the notification form are required to accompany each consignment. Therefore included with the notification for X, there are 30 copies of the notification form to correspond with the 30 planned movements. Similarly, 7 copies of the notification form are submitted with the notification for Y so that an original may accompany each consignment. No notification is submitted for the 10 tons of un-contaminated waste since it is considered a Green Tier waste under the OECD System. The 3 tons of carbon contaminated with other types of contaminants will be notified on a case by case basis.

An acknowledgement is sent by Country E on January 3 for X, and includes the 30 officially signed copies of the notification form with Block 24 completed on each one. For Y, the acknowledgement is also sent on January 3 with the 7 copies of the notification form included having Block 24 completed by the competent authority of Country E. No written objections are received by Eco-carbon, before February 3, therefore these 37 movements may take place up until February 2 of the following year.

When a sufficient number of containers of activated carbon contaminated by a certain contaminant have been accumulated, Eco-Carbon arranges for the used material to be exported to Clean-all. Clean-all then stores the activated carbon on its premises until it in turn has received enough from other agents to send to ACME Recycling. ACME is a recovery facility in Country E that is licensed to remove the contaminants contained in the activated carbon, and to refurbish it to a laid down specification, before it is returned to Clean-all and onward to the agents located in other countries.

By February 10, Eco-carbon has accumulated 1 tonne of activated carbon contaminated with X. A tracking form and one of the 30 signed copies of the notification form for X are included with the consignment and it is immediately dispatched. The means of transport to be used is by road transport to the docks in Country C, then by ship to Country E, and thereafter by rail to the premises of Clean All for onward transport by truck to ACME recycling. As the consignment is transferred between different carriers, Blocks 10, 11 and 12 of the tracking form are successively completed and each carrier is provided with a photocopy of the document once it has been completed by the next carrier when taking possession of the consignment.

The consignment arrives on February 25 at Clean All where it will be stored until 20 tonnes contaminated with X from various agents that supply recycled activated carbon in different countries have been accumulated. A representative from Clean All completes Block 23 of the tracking form, gives a copy to the last carrier and sends copies to the notifier and the competent authorities of the concerned countries.

The 20 tonnes is accumulated at Clean All by June 1 from where it is then transported to ACME on June 5. Recovery of the activated carbon is completed by July 10. Since this movement is within Country E, it is not controlled by the OECD System but rather the national legislation of Country E. However, since the waste was imported for recovery under the OECD System, Clean All must forward the tracking forms associated with the material being sent to ACME. On receipt of the waste, ACME is required to complete Block 24 on each tracking form, give a copy of each to Clean All and forward copies to the competent authorities in concerned countries within three working days of receipt of the consignment.
8.0 TRANSFRONTIER MOVEMENTS OF RED TIER WASTES

The Red Tier list of wastes contains substances that typically exhibit one or more hazardous characteristics and that have been deemed by Member countries to require stricter control that Amber Tier wastes. Red Tier wastes are listed in Appendix 5 to Decision C(92)39 (see ANNEX A). All transfrontier movements of these wastes require written consent from the importing and any transit country before the movement may proceed.

8.1 How Red Tier Wastes Are Handled Under the OECD System

All the rules of the notification procedure for Case 1 (Section 7.2) for Amber Tier wastes (single or multiple shipments) apply to Red Tier wastes, except that the importing country and any countries of transit must provide written consent prior to transfrontier movement (see Figure 2).

Pre-consent cannot be granted to facilities to recover Red Tier wastes. Therefore, Case 2, for Amber Tier wastes (Section 7.3), is not applicable to Red Tier wastes.

8.2 Notification Procedure for Red Tier Listed Wastes

Every movement of Red Tier wastes sent to a recovery facility is governed by specific requirements for the concerned parties. The requirements for Red Tier wastes are exactly the same as those described for case 1 Amber Tier wastes in section 7.2.1 in step 1 on contract, step 2 on notification, step 3 on acknowledgement, step 4B on objection, step 5 on shipment, and step 6 on the return of the tracking form. However, the notification procedure for Red Tier wastes differs from Section 7.2.1 as follows:

STEP 4A - Consent

This step is the same, except that "tacit consent" cannot be used for Red Tier wastes (step 4A-1). A Red Tier waste may cross an international boundary in the OECD area, only when written consent has been obtained from the importing and any transit countries.

8.3 Examples of Movements of Red Tier Wastes

The following examples of transfrontier movements are based on hypothetical data and information.

Example 5: Single Movement of Red Tier Waste - Notified by a Recognized Trader

National Refining Company, a firm under the legal jurisdiction of Country I, uses simple processes to reclaim off-specification mineral transformer oil to allow its reuse. A utility company, a regular customer of National Refining Company, inadvertently included in a consignment of oil sent for recovery, the contents of a tank containing tarry residues contaminated with asbestos fibers resulting from a major fire in high voltage switchgear. Having discovered the error, the two companies mutually agreed to appoint International Exporters, which is licensed in Country I to export wastes, to act as the agent and arrange for the mineral oil content to be separated and refined since National Refining Co. is not licensed to handle oil contaminated with asbestos. International Exporters contracts with Hydrocarbon Recycling Company, who under the legal jurisdiction of Country I, operates a facility which processes and separates tarry residues from other fluids.
<table>
<thead>
<tr>
<th><strong>Exporting Country:</strong></th>
<th>Country I (OECD Member)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Importing Country:</strong></td>
<td>Country J (OECD Member)</td>
</tr>
<tr>
<td><strong>Transit Countries:</strong></td>
<td>None</td>
</tr>
<tr>
<td><strong>Waste Description:</strong></td>
<td>Mineral oil contaminated with refinery storage tank bottoms</td>
</tr>
<tr>
<td><strong>Physical State:</strong></td>
<td>Sludge</td>
</tr>
<tr>
<td><strong>Transfrontier Transport:</strong></td>
<td>Tanker truck</td>
</tr>
<tr>
<td><strong>Generator:</strong></td>
<td>National Refining Co. (Country I)</td>
</tr>
<tr>
<td><strong>Notifier:</strong></td>
<td>International Exporters Ltd. (Country I)</td>
</tr>
<tr>
<td><strong>Carrier:</strong></td>
<td>International Exporters Ltd. (Country I)</td>
</tr>
<tr>
<td><strong>Consignee:</strong></td>
<td>Hydrocarbon Recycling Ltd. (Country J)</td>
</tr>
<tr>
<td><strong>Recovery Facility:</strong></td>
<td>Hydrocarbon Recycling Ltd. (Country J)</td>
</tr>
<tr>
<td><strong>Recovery Technology:</strong></td>
<td>Solvent extraction of leaded compounds; organic material converted to fuel for energy recovery</td>
</tr>
<tr>
<td><strong>Hazardous Characteristics:</strong></td>
<td>Presence of asbestos fibers</td>
</tr>
<tr>
<td><strong>Contact with Other Substances:</strong></td>
<td>None</td>
</tr>
<tr>
<td><strong>Special Agreements:</strong></td>
<td>None</td>
</tr>
</tbody>
</table>
International Exporters acting as the notifier sends the required copies of the duly completed notification form to the competent authority in Countries I and J on Friday November 5. Country J returns a copy of the form with Block 24 completed to International Exporters and to the competent authority in Country I on November 10. Country J returns another copy of the notification form to International Exporters and Country I with Block 25 signed indicating a consent to the movement on November 29. Once the form giving consent has been received by International Exporters dispatch of the consignment may proceed for up to one calendar year, accompanied by the corresponding tracking form.

On receipt of the consignment, Hydrocarbon Recycling Company completes Block 24 of the tracking form, gives a copy to International Exporters Ltd. and within three working days sends a signed copy to the competent authority in both Country I and J.

Example 6: Movement of Amber Tier Waste Contaminated with Red Tier Waste

Quick Lube, located in Country K, generates used oil and used transmission fluid from oil changes on private automobiles. As there is no recovery facility for this waste in Country K, Quick Lube sells these used oils to Waste Oil Transporters, a recognized trader in Country K. Waste Oil Transporters also handles liquid wastes from other facilities, all of them being listed on the OECD Amber List of wastes. Waste Oil Transporters has entered into a contract with the recovery facility Last Chance Re-refining, which is located in Country L and to which it periodically sends waste oils on a general notification for multiple shipments. Both Country K (the exporting country) and Country L (the importing country), are OECD Member countries, so the rules of the OECD System will apply for general notification.

For this movement, the notifier reported that this consignment had been inadvertently mixed with spent transformer oil, which had evidence of substantial contamination with polychlorinated biphenyls (PCBs), a previously-used transformer fluid. This accidental mixing occurred while Waste Oil Transporters had possession of the consignment.

Although the primary waste (waste oils unfit for their originally intended use) is an Amber Tier waste, the inadvertent mixing with oil contaminated significantly with PCBs (greater than 50ppm) resulted in this consignment being considered as a Red Tier waste. Consequently, this consignment from Quick Lube may not be submitted under the procedure for the general notification as the content of the waste has changed. Furthermore, since Waste Oil Transporters performed the mixing prior to movement, they become the generator of the waste under the OECD System.

A new notification form is submitted to Countries K and L by Waste Oil Transporters on June 6. Since it is now a Red Tier waste, written consent for transfrontier movement must be obtained from the competent authority of Country L prior to movement. Country L acknowledges receipt of the completed notification form on June 9 to the notifier and Country K.

By July 16, no further reply has been received from Country L. Consequently, the consignment may not be dispatched. Waste Oil Transporters contacts the Competent Authority in Country L and is told that all imports of PCBs have been banned under recent national legislation. Waste Oil Transporters must now seek alternative means to manage the consignment.
### Example 6

<table>
<thead>
<tr>
<th>Exporting Country:</th>
<th>Country K (OECD Member)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Importing Country:</td>
<td>Country L (OECD Member)</td>
</tr>
<tr>
<td>Transit Countries:</td>
<td>None</td>
</tr>
<tr>
<td>Waste Description:</td>
<td>Used lubricating and hydraulic oils from automobiles and trucks</td>
</tr>
<tr>
<td>Physical State:</td>
<td>Liquid</td>
</tr>
<tr>
<td>Generator:</td>
<td>Waste Oil Transporters Co. (Country K)</td>
</tr>
<tr>
<td>Notifier:</td>
<td>Waste Oil Transporters Co. (Country K)</td>
</tr>
<tr>
<td>Carrier:</td>
<td>Waste Oil Transporters Co. (Country K)</td>
</tr>
<tr>
<td>Transfrontier Transport:</td>
<td>Tank truck</td>
</tr>
<tr>
<td>Consignee:</td>
<td>Last Chance Re-Refining Co. (Country L)</td>
</tr>
<tr>
<td>Recovery Facility:</td>
<td>Last Chance Re-Refining Co. (Country L)</td>
</tr>
<tr>
<td>Recovery Technology:</td>
<td>Filtration, distillation, clay bed treatment</td>
</tr>
<tr>
<td>Hazardous Characteristics:</td>
<td>Hazardous by virtue of acidity and trace metals</td>
</tr>
<tr>
<td>Contact with other substances:</td>
<td>Mixed with spent transformer fluid containing evidence of substantial contamination with PCB's (greater than 50 ppm) by Waste Oil Transporters Co. in Country K prior to intended shipment</td>
</tr>
<tr>
<td>Special Agreements:</td>
<td>None</td>
</tr>
<tr>
<td>Contract Period:</td>
<td>One year</td>
</tr>
</tbody>
</table>
9.0 SPECIFIC NATIONAL PROVISIONS OF MEMBER COUNTRIES AND OTHER RELEVANT INFORMATION

The OECD System includes a number of provisions which may differ between countries according to specific national regulations. Member countries have been requested to provide, and keep updated, the OECD Secretariat with information on such national provisions enacted to facilitate implementation of the System.

1) **Classification:** Information on any wastes that are determined by a Member country to be on the Green list whereas the OECD has classified them to the Amber or Red lists. Information on any wastes listed by the OECD as Green but controlled by a Member country as if they had been assigned to the Amber or Red list. Information on any national tests or procedures that are used to determine the classification of these wastes.

2) **Pre-authorised facilities:** Any facilities that have been authorized to operate with pre-consent, detailing the facility with which the agreement is made i.e. name, address, technologies employed, waste types to which the pre-consent applies, the period covered by the pre-consent agreement, and if review of contracts prior to the movement of waste to such a facility is required.

3) **Provisions for Export:** Information on provisions for export in case consent for export is to be provided by the competent authority of the exporting country, or domestic legislation requires that the competent authority of the exporting country acts as a notifier for all transfrontier movements of waste destined for recovery.

4) **Other Provisions:** Information regarding specific regulations for provisions relating to recognized traders, recovery facilities, amber tier control procedures, contractual agreements, and wastes designated for exchange or accumulation.

5) **Review of Contracts or Insurance Guarantees:** Information regarding those countries which require that contracts be reviewed at the time of notification.

***

Information which has been submitted by Member Countries to the OECD Secretariat, together with the information on their respective Competent Authorities is included in ANNEX F (issued separately).
<table>
<thead>
<tr>
<th>Topic</th>
<th>Page Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acknowledgement, Procedure for,</td>
<td>7.2.1 Step 3</td>
</tr>
<tr>
<td>Activities generating potentially hazardous waste</td>
<td>Table 6, ANNEX B</td>
</tr>
<tr>
<td>Amber Tier List</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Amber Tier Shipment Examples,</td>
<td>7.4</td>
</tr>
<tr>
<td>Bonds</td>
<td>3.3</td>
</tr>
<tr>
<td>Carrier, Definition of,</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Compensation for Damage</td>
<td>3.3</td>
</tr>
<tr>
<td>Competent Authority, Definition of,</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>List of</td>
<td>ANNEX F</td>
</tr>
<tr>
<td>Concerned Country, Definition of,</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Consent, Procedure for,</td>
<td>7.2.1 Step 4</td>
</tr>
<tr>
<td>Consignee, Definition of,</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Constituents of potentially hazardous waste</td>
<td>Table 4, ANNEX B</td>
</tr>
<tr>
<td>Contracts, requirement of,</td>
<td>3.3</td>
</tr>
<tr>
<td>Guidance for Completion of,</td>
<td>ANNEX E</td>
</tr>
<tr>
<td>Core List</td>
<td>Table Y, ANNEX B</td>
</tr>
<tr>
<td>Council Decision</td>
<td>1.2</td>
</tr>
<tr>
<td>C(83) 180</td>
<td>1.2</td>
</tr>
<tr>
<td>C(86)64</td>
<td>1.2</td>
</tr>
<tr>
<td>C(88)90,</td>
<td>ANNEX B</td>
</tr>
<tr>
<td>C(88)90, in its entirety</td>
<td>1.2</td>
</tr>
<tr>
<td>C(90)178</td>
<td>ANNEX A</td>
</tr>
<tr>
<td>C(92)39, in its entirety</td>
<td>3.1</td>
</tr>
<tr>
<td>Country of Destination</td>
<td>3.1</td>
</tr>
<tr>
<td>Country of Dispatch</td>
<td>3.1</td>
</tr>
<tr>
<td>Country of Import, Definition</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Country of Export, Definition</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Country of Transit, Definition</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Criteria for Waste Subject to OECD System</td>
<td>Annex 2, ANNEX A</td>
</tr>
<tr>
<td>Definition of Waste</td>
<td>Annex, ANNEX B or 4.1</td>
</tr>
<tr>
<td>Disposal Operations</td>
<td>Table 2A, ANNEX B</td>
</tr>
<tr>
<td>Financial Guarantees</td>
<td>3.3</td>
</tr>
<tr>
<td>General Notification</td>
<td>7.3.2</td>
</tr>
<tr>
<td>Generator of Waste</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Generic Types of potentially hazardous wastes</td>
<td>Table 3, ANNEX B</td>
</tr>
<tr>
<td>Green Tier List</td>
<td>Annex 1, ANNEX A</td>
</tr>
<tr>
<td>Green Tier Shipment Example</td>
<td>6.2</td>
</tr>
<tr>
<td>Hazardous Characteristics</td>
<td>Table 5, ANNEX B</td>
</tr>
<tr>
<td>Exporter</td>
<td>3.1</td>
</tr>
<tr>
<td>Importer</td>
<td>3.1</td>
</tr>
<tr>
<td>International Waste Identification Code (also IWIC)</td>
<td>Annex, ANNEX B</td>
</tr>
<tr>
<td>International Shipping Standards</td>
<td>3.4</td>
</tr>
<tr>
<td>list of agreements</td>
<td>Appendix 1, ANNEX A</td>
</tr>
<tr>
<td>Issue of Acknowledgement</td>
<td>7.2.1 Step 3</td>
</tr>
<tr>
<td>IWIC</td>
<td>Annex, ANNEX B</td>
</tr>
<tr>
<td>Modification of lists (see Review Mechanism)</td>
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</tr>
</tbody>
</table>
Notification, single notification
  single notification for movement to a pre-authorised facility
  general notification
  general notification for movement to a pre-authorised facility
Notification Forms examples of,
  explanations of,
  instructions for,
Notifier
Objected to Transfrontier Movement
OECD area
OECD System
Original Producer of Waste
Person, Definition
Pre-consent
Pre-authorised Facilities
Recognized trader
  provisions relating to,
Recovery Facility, Definition
Recovery Operations, Definition of,
  Codes of,
Red Tier List
Red Tier Shipment Examples
Re-export of Waste
Review Mechanism
Shipment, Procedure for
  unable to be completed as foreseen
State of Destination
State of Dispatch
State of Import, Definition
State of Export, Definition
State of Transit, Definition
Storage of Waste During Movement
Tacit Consent for Amber Waste Movement
Tracking forms, attachment to shipment
  example of,
  explanation of,
  return of,
Transfrontier movement, Definition
Waste, Definition

7.2.1 Step 2
7.3.1
7.2.2
7.3.2
ANNEX C
3.2
ANNEX D
Annex 1, ANNEX A and 3.1
7.2.1 Step 5
3.1
1.
3.1
Annex 1, ANNEX A
7.4
ANNEX F
Annex 1, ANNEX A
Annex 1, ANNEX A
Annex 1, ANNEX A
Annex 1, ANNEX A
Table 2B, ANNEX B
Annex 1, ANNEX A
8.3
Annex 1, ANNEX A and 7.2.1 Step 6
5.2
7.2.1 Step 5
5.3
3.1
3.1
Annex 1, ANNEX A
Annex 1, ANNEX A
Annex 1, ANNEX A
Annex 1, ANNEX A and 7.2.1 Step 5
7.2.1 Step 4
7.2.1 Step 6
ANNEX C
3.2
7.2.1 Step 6
Annex 1, ANNEX A
Annex, ANNEX B or 4.1
1. The designation of "EC" or "EC Regulation" is used for the Council of European Communities regulation entitled, Regulation on the Supervision and Control of Shipments of Waste Within, into, and out of the European Community, OJ N°L30, 6.2. 1993.


3. Recovery operations are defined in Table 2B of ANNEX B.

4. Member countries as of December 1994: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Japan, Luxemburg, Mexico, the Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States.

5. The person designated as the generator by the OECD and the Basel Convention, is indicated by the European Community to be the original producer.

6. The person designated as the notifier by the OECD and the European Community is defined as the exporter under the Basel Convention.

7. The designation of a state or country as that of export by the OECD and the Basel Convention is defined by the European Community as the state or country of dispatch.

8. The person designated as the consignee by the OECD and the European Community is defined as the importer under the Basel Convention.

9. The designation of a state or country as that of import by the OECD and Basel, is defined by the European Community as the state or country of destination.

10. This authorization is contingent upon requirements of national legislation and regulations.

11. OECD has developed a reference list of 13 possible recovery operations which is included in Table 2B of Decision C(88)90(Final). (See Annex B of this document).

12. As indicated in footnote "+" of Appendix 3 of ANNEX A.

13. See ANNEX A for Green, Amber and Red lists.

14. These criteria are shown in Annex 2 of the Decision C(92)39/FINAL which is reproduced in ANNEX A of this document.

15. However this cannot be enforced by the exporting country as it is not prescribed by the System.

16. For exception to this, see section 5.1.

17. In some Member countries, national legislation require that the exporting country also provide written consent for transfrontier movement of Red Tier waste.
ANNEX A

OECD Council Decision C(92)39/FINAL - Including Green, Amber, & Red Lists
DECISION OF THE COUNCIL

concerning the control of transfrontier movements of wastes destined for recovery operations*

(adopted by the Council at its 778th Session on 30th March 1992)

THE COUNCIL,

Having regard to Article 5a) of the Convention on the Organisation for Economic Co-operation and Development of 14 December 1960;

Having regard to the Decision and Recommendation of the Council of 1 February 1984 on Transfrontier Movements of Hazardous Waste [C(83)180(Final)] which requires Member countries to control transfrontier movements of hazardous wastes;

Having regard to the Decision of the Council of 27 May 1988 on Transfrontier Movements of Hazardous Wastes [C(88)90(Final)] which defines "wastes", identifies those wastes referred to as hazardous wastes in relevant Council Acts, and sets out a classification system for wastes subject to transfrontier movements;

Having regard to the Decision-Recommendation of the Council of 31 January 1991 on the Reduction of Transfrontier Movements of Wastes [C(90)178/FINAL] which, inter alia, calls for delineation of such controls as may be appropriate for the transfrontier movement of wastes destined for recovery operations, clarification of the definition of such wastes and characterization of those wastes which may require differing levels of control;

Having regard to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, adopted on 22 March 1989, and noting that most Member countries and the European Economic Community have become signatories to this Convention;

Desiring to conclude an arrangement or agreement under Article 11 of that Convention;

Noting that recovery of valuable raw materials from wastes has been an integral part of the international economic system and that well established international markets exist for the collection and processing of such wastes;

Noting further that many industrial sectors are already implementing waste recovery techniques in an economically and environmentally satisfactory manner, thus protecting limited virgin sources of raw materials, and convinced that further efforts in this direction are necessary and should be encouraged;

Recognising that efficient and environmentally sound management of wastes may justify some transfrontier movements of such wastes in order to make use of adequate recovery facilities in other countries;

Convinced however that, pursuant to the obligations set forth in the relevant Council Acts and compatible with the provisions of the Basel Convention, an appropriate system should be implemented to control transfrontier movements of those wastes destined for recovery operations;

Convinced that all persons involved in any contracts or arrangements for transfrontier movements of wastes destined for recovery operations must have the appropriate legal status to ensure environmentally sound management of these wastes; and

Recognizing that work is now in progress within the United Nations Environment Programme concerning the environmentally sound management of hazardous wastes.

On the proposal of the Environment Committee:

I. DECIDES that Member countries shall control transfrontier movements of wastes destined for recovery operations within the OECD area as specified in Annex 1 which is an integral part of this Decision.

II. INSTRUCTS the Environment Committee in co-operation with other relevant OECD bodies, in particular the Trade Committee, to review periodically the control system and the lists of wastes set out in Annex 1, taking into account the criteria listed in Annex 2, and to make any proposals it deems necessary for revisions of Annex 1.

III. INSTRUCTS the Environment Committee in co-operation with other relevant OECD bodies to review annually action taken by Member countries in pursuance of this Decision.

IV. REQUESTS the Secretary General to transmit this Decision to the Executive Director of the United Nations Environment Programme and the Interim Secretariat of the Basel Convention.
Annex 1

I. DEFINITIONS

For the purposes of this Decision:

WASTES are as defined in OECD Council Decision C(88)90(Final) of 27 May 1988.

RECOVERY OPERATIONS mean activities leading to resource recovery, recycling, reclamation, direct re-use or alternative uses as listed in Table 2B of the Annex of OECD Council Decision C(88)90(Final) of 27 May 1988.

TRANSFRONTIER MOVEMENT means any shipment of wastes destined for recovery operations from an area under the national jurisdiction of one OECD Member country to an area under the national jurisdiction of another OECD Member country.

RECOVERY FACILITY means an entity which, under applicable domestic law, is operating or is authorized to operate in the importing country to receive wastes and to perform recovery operations on them.

INTERNATIONAL WASTE IDENTIFICATION CODE ("IWIC") is the classification system specified and described in OECD Council Decision C(88)90(Final) of 27 May 1988.

EXPORTING COUNTRY means any OECD Member country from which a transfrontier movement of wastes is planned or has commenced.

IMPORTING COUNTRY means any OECD Member country to which a transfrontier movement of wastes is planned or takes place for the purpose of submitting the wastes to recovery operations therein.

COUNTRY OF TRANSIT means any OECD Member country other than the exporting or importing country across which a transfrontier movement of wastes is planned or takes place.

CONCERNED COUNTRIES means the exporting and importing OECD Member countries and any OECD Member countries of transit.

OEC AREA means all land or marine areas under the national jurisdiction of any OECD Member country.

COMPETENT AUTHORITIES means the regulatory authorities of concerned countries having jurisdiction over transfrontier movements of wastes destined for recovery operations.

PERSON means any natural or legal person whether public or private.

NOTIFIER means the person under the jurisdiction of the exporting country who has, or will have at the time the planned transfrontier movement commences, possession or other forms of legal control of the wastes and who proposes their transfrontier movement for the ultimate purpose of submitting them to recovery operations.
CONSIGNEE means the person to whom possession or other form of legal control of the waste is assigned at the time the waste is received in the importing country.

RECOGNISED TRADER means a person who, with appropriate authorisation of concerned countries, acts in the role of principal to purchase and subsequently sell wastes; this person has legal control of such wastes from time of purchase to time of sale; such a person may act to arrange and facilitate transfrontier movements of wastes destined for recovery operations.

GENERATOR means a person whose activities create wastes.

II. GENERAL PROVISIONS

(1) All of the following conditions shall apply to transfrontier movements of wastes subject to this Decision:

(a) The wastes shall be destined for recovery operations within a facility which, under applicable domestic law, is operating or is authorized to operate in the importing country;

(b) The transfrontier movements shall be carried out under terms of applicable international transport agreements. (Appendix I contains an illustrative list of such agreements);

(c) Any transit of wastes through a non-member country shall be subject to all applicable international and national laws and regulations.

(2) A three-tiered system serves to delineate controls to be applied to such transfrontier movements:

(a) "Green" tier

Wastes destined for recovery operations included on the green list shall move among OECD Member countries toward recovery operations subject to all existing controls normally applied in commercial transactions. These provisions shall not apply to wastes on this list which are contaminated by other materials to an extent which increases the risks associated with the wastes sufficiently to render them appropriate for inclusion in the amber or red lists, when taking into account the criteria in Annex 2.

(b) "Amber" tier

Wastes destined for recovery operations included in the amber list shall be subject to the control system set out in Section IV of this Annex.

(c) "Red" tier

Wastes destined for recovery operations included in the red list shall be subject to the controls indicated in Section V of this Annex.
(3) The criteria listed in Annex 2 must be taken into account for evaluating wastes for inclusion on the green, amber or red lists. In accord with provisions of this Decision, items may be added, altered or deleted periodically. Subject to Section III (2) no single criterion shall be used in isolation in assigning wastes to the lists.

(4) While the lists are intended to be exclusive, a specific waste included in either the amber or red lists might not be legally defined or considered to be a hazardous waste in the exporting country because the competent authorities of that country are satisfied that it does not exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final) as determined using national procedures*. If, however, this waste is legally defined or considered to be a hazardous waste by the importing country, then all of the requirements set forth in Section IV or Section V - whichever is applicable - shall apply as follows: the importing country shall assume the obligations of the exporting country under these Sections, in particular as regards the notification requirements. A copy of the notification form must be transmitted to the competent authorities of the exporting country. Member countries operating under provisions of this paragraph shall promptly inform the OECD Secretariat of the waste(s) involved and applicable legislative requirements.

(5) Member countries who prescribe the use of certain tests and testing procedures in order to determine whether a waste exhibits one or more of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final) shall inform the OECD Secretariat concerning which tests and testing procedures are being so utilized; and, if possible, which wastes would or would not be legally defined or considered to be hazardous wastes based upon application of these national procedures.

(6) This Decision does not prejudice the right of Member countries to control certain wastes which have been assigned to the green list as if those wastes had been assigned to one of the other lists, in conformity with domestic legislation and the rules of international law, in order to protect human health and the environment. In such cases, Member countries exercising this right shall immediately inform the OECD secretariat citing the specific waste(s) and applicable legislative requirements.

(7) Wastes which are destined for recovery operations but have not yet been assigned to the green, amber or red lists shall be eligible for transfrontier movements pursuant to this Decision subject to the following conditions:

i) Member countries shall identify such wastes and bring them to the attention of the review mechanism established by operative paragraphs II and III of this Decision;

ii) such wastes shall be promptly examined by the Review Mechanism in order to assign them to the appropriate list;

* The potential hazards posed by certain types of wastes are not yet fully documented; tests to define quantitatively these hazards do not exist. Further research is necessary in order to develop means to characterise potential hazards posed to man and/or the environment by these wastes. Standardized tests have been derived with respect to pure substances and materials. Many Member countries have developed tests which can be applied to materials destined for disposal by means of operations listed in Table 2 of OECD Council Decision C(88)90(Final) in order to decide if these materials exhibit any of the hazardous characteristics listed in Table 5 of that Decision.
pending assignment to a list, such wastes shall be subject to the controls required for the transfrontier movements of wastes by the domestic legislation of the concerned countries in order that no country is obliged to enforce laws other than its own;

however, if such wastes exhibit a hazardous characteristic listed in Table 5 of OECD Council Decision C(88)90(Final) as determined using national procedures and any applicable international agreements, such wastes shall be subject to controls applicable to the red tier.

(8) If two or more lots of wastes are mixed and/or otherwise subjected to physical or chemical transformation operations, the person who performs these operations shall be deemed to be the generator of the new wastes resulting from these operations.

III. GREEN TIER

(1) Specific items included in the green list are shown under their corresponding main categories. Only the items specified under a main category and not the main categories themselves are part of the green list.

(2) Wastes may not be included in the green list if they exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final). The procedures in force in each Member country for determining whether a specific waste does or does not exhibit one or more of these characteristics are taken into account in placing or not placing a waste onto the green list.

(3) If green list wastes are re-exported, responsibilities of the exporting country under other relevant agreements or conventions shall transfer to the country initiating the re-export, and shall not apply to the original exporting country.

(4) Green list of wastes

The green list of wastes is set out at Appendix 3.
IV. AMBER TIER

(1) Conditions

Transfrontier movements of wastes under the amber control system may only occur under the terms of a valid written contract, or chain of contracts, or equivalent arrangements between facilities controlled by the same legal entity, starting with the notifier and terminating at the recovery facility. All persons involved in the contracts, or arrangements shall have appropriate legal status.

Such contracts shall include provisions for financial guarantees in accordance with applicable national or international law requirements. Financial guarantees so required are intended to provide for alternate recycling, disposal or other means of sound management of the wastes in cases where arrangements for the shipment and the recovery operations cannot be carried out as foreseen. These contracts shall also specify which party to the contract shall assume responsibility for alternate management of the wastes. These contracts shall also specify and, as the case may be, require from the consignee the notification required in 3(a) below (Re-export to a Third Country).

In such cases:

i) the person having actual possession or physical control over the wastes shall immediately inform the notifier and the competent authorities of the exporting and importing countries and, if the wastes are located in a country of transit, the competent authorities of that country;

ii) the person specified in the contract shall assume responsibility for the adequate management of the wastes in compliance with applicable laws and regulations including, if necessary, their return. The competent authorities of the concerned countries shall require that the necessary actions are carried out within a limited period of time, and shall not oppose, hinder or prevent the return of those wastes to the exporting country.

(2) Control System

Procedures are provided under the amber control system for the following two cases:

i) transactions which require consent for specific shipments to a recovery facility; and

ii) transactions involving specific recovery facilities to which the competent authorities having jurisdiction over such recovery facilities have granted general pre-consent concerning the reception of certain wastes.


(a) Prior to commencement of the transfrontier movement, the notifier shall provide written notification to the competent authorities of the concerned countries; this notification shall include all of the information listed in Appendix 2.A. The competent authorities of the exporting country may, in accord with domestic laws, decide to transmit this notification instead of the notifier.
(b) The competent authorities of the importing country, upon receipt of the completed notification referred to in paragraph (a) above, shall transmit an acknowledgement to the notifier with a copy to the competent authorities of other concerned countries within three (3) working days of their receiving the notification.

(c) The competent authorities of the exporting and importing countries shall have thirty (30) days to object in accord with their respective domestic laws to the proposed transfrontier movement. The 30-day period shall commence upon issuance of the acknowledgement referred at paragraph (b) above.

(d) Countries of transit may, in accord with domestic laws, object to the transfrontier movement entering their territory.

(e) Any objection by any of the concerned countries must be provided in writing to the notifier and to the competent authorities of other concerned countries within the 30-day period.

(f) If no objection has been lodged, the transfrontier movement may commence after the 30-day period has passed. Tacit consent, however, expires within one (1) calendar year from that date.

(g) The competent authorities of the concerned countries may decide to provide written consent in a period less than the 30 days. The transfrontier movement may commence immediately after all necessary consents are received.

(h) Written consent or objection may be provided by post, or by telefax followed by post. Such consent shall expire within one (1) calendar year unless otherwise specified.

(i) Each transfrontier movement shall be accompanied by a tracking document which includes the information listed in Appendix 2.

(j) Within three (3) days of the receipt of the wastes by the recovery facility, the recovery facility shall provide a signed copy of the tracking document to the notifier and to the competent authorities of the concerned countries. The recovery facility shall retain the original of the tracking document for three (3) years.

(k) In cases where essentially similar wastes (e.g. those having essentially similar physical and chemical characteristics) are to be sent periodically to the same recovery facility by the same notifier, the competent authorities of the concerned countries may elect to accept one notification for these wastes for a period of up to one year:

i) Such acceptance may be renewed for further periods of up to one year each;

ii) Revocation of this acceptance may be accomplished by means of official notice to the notifier from any of the competent authorities of the concerned countries. Notice of revocation of acceptance for shipments previously granted under this provision shall be given to the competent authorities of all concerned countries by the competent authorities of the country that revokes such acceptance.
Case (2): Provisions relating to pre-consent by competent authorities for shipments to specific recovery facilities.

(a) Competent authorities having jurisdiction over specific recovery facilities may decide not to raise objections concerning shipments of certain types of wastes to a specific recovery facility. Such decisions can be limited to a specified period of time; however, they may be revoked at any time.

(b) Competent authorities who elect this option shall inform the OECD Secretariat of the recovery facility name, address, technologies employed, waste types to which the pre-consent applies, and the period covered. Any revocations must also be notified to the OECD Secretariat.

(c) All proposed transfrontier movements to such facilities shall require notification; the notifier shall provide to the competent authorities of the concerned countries the information listed in Appendix 2.A. Such notification shall arrive prior to the time the shipment is dispatched.

(d) The competent authorities of the exporting and transit country may, in accord with their domestic laws, prohibit or otherwise restrict any such transfrontier movement.

(e) In instances where competent authorities acting under terms of their domestic laws are required to review the contracts referred to in (1) above (Conditions), these authorities shall so inform the OECD Secretariat. In such cases, the notification information plus the contract(s) or portions thereof to be reviewed must arrive seven (7) days prior to the time the shipment is dispatched in order that such review may be appropriately performed.

(f) Paragraphs (i), (j) and (k) of Case (1) shall apply.

(3) Additional provisions relating to re-export to a third country

(a) Re-export from an importing country of wastes subject to the amber control system may only occur following notification by a notifier in the importing country to the competent authorities of the initial exporting country, which shall be acknowledged within three (3) working days of receipt. The competent authorities of the initial exporting country shall have thirty (30) days to object to the proposed movement. The 30-day period shall commence upon issue of the acknowledgement referred to above. If no objection has been lodged, the transfrontier movement may commence after the 30-day period has passed. The competent authorities may decide to provide written consent in a period of less than 30 days. The transfrontier movement may commence immediately after such consent is received. Written consent may be provided by telefax in the first instance, followed by post if required.

(b) Re-export to a country outside the OECD area shall be fully subject to, and in accord with, all international agreements and arrangements to which the importing OECD Member country is a party.
(4) **Provisions relating to recognised traders**

(a) A recognised trader who takes physical custody of the wastes and intends to perform any of the operations in Table 2 B of OECD Council Decision C(88)90(Final) shall require appropriate authorisation from its competent authorities to act as a recovery facility.

(b) A recognised trader may act as a notifier or consignee for wastes with all the responsibilities associated with being a notifier or consignee.

(c) The contracts referred to in (1) above (Conditions) shall:

i) clearly identify: the generator of each type of waste; each person who shall have physical custody of the wastes; each person who shall have legal control of the wastes; and the recovery facility;

ii) provide that all requirements of this Decision are taken into account and are legally binding on all parties to the contracts.

(d) The notification information called for at Appendix 2A shall include a signed declaration by the notifier that the appropriate contracts are in place and are legally enforceable in all concerned countries.

(e) Competent authorities of the exporting and importing countries may under terms of their domestic laws require the notifier to provide copies of such contracts or portions thereof.

(f) Any information contained in the contracts provided under terms of paragraph (e) above shall be held as strictly confidential in accordance with, and to the extent allowable by, domestic laws.

(5) **Provisions relating to wastes designated for exchange or accumulation prior to submission to recovery operations designated R1-R11 in Table 2B of OECD Council Decision C(88)90(Final)**

(a) The notification information included in Appendix 2A shall also indicate that exchange or storage is foreseen for the wastes covered by the notification.

(b) The competent authorities of concerned countries may request that the recovery facility where operations designated R1-R11 in Table 2B of Council Decision C(88)90(Final) will occur be identified.

(c) The tracking document referred to in Appendix 2B shall accompany the wastes to the recovery facility noted in paragraph (b) above which shall then comply with paragraph (j) of (2) above (Control System).

(6) **Amber list of wastes**

The amber list of wastes is set out at Appendix 4.
V. RED TIER

(1) The red list represents certain specific substances which, even moved in an adequately managed way, nevertheless must be controlled in a more stringent way than provided for by the amber control system. Wastes included in the red list shall be subject to the same controls as applied to wastes included in the amber list (see Section IV), and shall move in accord with Case (1), except that the importing and any transit countries must provide written consent prior to commencement of the transfrontier movement.

(2) **Red list of wastes**

The red list of wastes is set out at Appendix 5.

VI. ACTIONS TO PROMOTE HARMONISED IMPLEMENTATION

(1) Member countries individually, and as a group acting through the Review Mechanism established in this Decision, shall take appropriate steps toward improving the green, amber and red lists of wastes and toward uniform application of this Decision.

(2) Member countries shall cooperate in efforts aimed at:

i) developing procedures for evaluating the criteria in Annex 2 to determine to which list a waste should be assigned; and

ii) harmonising procedures for determining whether a waste exhibits any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final).

(3) Member countries shall cooperate to identify and assess steps taken toward optimization of environmentally sound and economically efficient practices for recovery operations of each waste.

(4) When Sections II(4), II(6) and II(7) must be resorted to, Member countries shall cooperate to ensure that the provisions of this Decision are fully complied with.

(5) The OECD Secretariat shall circulate to all Member countries the information provided in accordance with this Decision, in particular under Sections II(4), II(5), II(6) and II(7).
Appendix 1

INTERNATIONAL TRANSPORT AGREEMENTS


2. ADR: European Agreement concerning the International Carriage of Dangerous Goods by Road (1957);

3. ADNR: Regulations of the Carriage of Dangerous Substances on the Rhine (1970);


5. SOLAS Convention: International Convention for the Safety of Life at Sea (1974);

6. IMDG Code: International Maritime Dangerous Goods Code; (incorporated into SOLAS since 1985)

7. COTIF: Convention concerning the International Carriage of Goods by Rail (1985);

8. RID: Regulation on the International Carriage by Rail of Dangerous Goods (1985) [Annex I to COTIF];
Appendix 2

NOTIFICATION AND TRACKING INFORMATION

A. INFORMATION TO BE SUBMITTED UPON NOTIFICATION

1) Serial number or other accepted identifier of notification form.

2) Notifier name, address, telephone, telefax.

3) Recovery facility name, address, telephone, telefax, and technologies employed

4) Consignee if not the recovery facility, address, telephone, telefax

5) Intended carrier(s) and/or their agents.

6) Country of export and relevant competent authority

7) Countries of transit and relevant competent authorities.

8) Country of import and relevant competent authority.

9) Is this a single notification or a general notification? If general, period of validity requested.

10) Date foreseen for commencement of transfrontier movement.

11) Certification that any applicable insurance or other financial guarantee is or shall be in force covering the transfrontier movement.

12) Designation of waste type(s) on the appropriate list (amber or red) and their description(s), probable total quantity of each, and an accepted uniform classification code (such as the IWIC) for each.

13) Certification of the existence of written contract or chain of contracts or equivalent arrangement as required by this Decision.

14) Certification by notifier that the information is complete and correct to the best of his knowledge.

B. TRACKING DOCUMENT

Include all information at A. above plus

(a) Date shipment was dispatched

(b) Shipper (if not notifier), address, telephone, telefax

(c) Actual carrier(s)

(d) Means and mode of transport including types of packaging
(e) Any special precautions to be taken by carrier(s)

(f) Declaration by notifier that no objection has been lodged by the competent authorities of all concerned countries. This declaration requires signature of the notifier.

(g) Appropriate signatures for each custody transfer.

C. It is recommended that Member countries use the Document hereafter for Transfrontier Movement of Wastes, comprising a Notification Form and a Movement/tracking Form, to provide the information required to control transfrontier movements of wastes destined for recovery operations within the OECD area.*

D. **NOTE.** Under terms of domestic legislation, some Member countries require information in addition to that included in A and B above in order to assess aspects of the environmentally sound management of wastes. Affected countries shall inform the OECD Secretariat and provide a list of the additional information needed.

* The Document for Transfrontier Movements of Wastes is reproduced in Annex C.
Appendix 3

GREEN LIST OF WASTES
(revised May 1994)

Regardless of whether or not wastes are included on this list, they may not be moved as Green Tier wastes 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 inclusion in the amber or red lists, when taking into account the criteria in Annex 2, or (b) prevents the recovery of the waste in an environmentally sound manner.

GA. METAL AND METAL-ALLOY WASTES IN METALLIC, NON DISPERSIBLE FORM++

The following waste and scrap of precious metals and their alloys:

<table>
<thead>
<tr>
<th>Code</th>
<th>Ex</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GA010</td>
<td></td>
<td>711210 - of gold</td>
</tr>
<tr>
<td>GA020</td>
<td></td>
<td>711220 - of platinum (the expression &quot;platinum&quot; includes platinum, iridium, osmium, palladium, rhodium and ruthenium)</td>
</tr>
<tr>
<td>GA030</td>
<td></td>
<td>711290 - of other precious metal, e.g., silver</td>
</tr>
</tbody>
</table>

N.B. Mercury is specifically excluded as a contaminant of these metals or their alloys or amalgams.

The following ferrous waste and scrap of iron or steel:

<table>
<thead>
<tr>
<th>Code</th>
<th>Ex</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GA040</td>
<td></td>
<td>720410 - Waste and scrap of cast iron</td>
</tr>
<tr>
<td>GA050</td>
<td></td>
<td>720421 - Waste and scrap of stainless steel</td>
</tr>
<tr>
<td>GA060</td>
<td></td>
<td>720429 - Waste and scrap of other alloy steels</td>
</tr>
<tr>
<td>GA070</td>
<td></td>
<td>720430 - Waste and scrap of tinned iron or steel</td>
</tr>
<tr>
<td>GA080</td>
<td></td>
<td>720441 - Turnings, shavings, chips, milling waste, filings, trimmings and stampings, whether or not in bundles</td>
</tr>
<tr>
<td>GA090</td>
<td></td>
<td>720449 - Other ferrous waste and scrap</td>
</tr>
<tr>
<td>GA100</td>
<td></td>
<td>720450 - Remelting scrap ingots</td>
</tr>
<tr>
<td>GA110</td>
<td></td>
<td>730210 - Used iron and steel rails</td>
</tr>
</tbody>
</table>

+ Whenever possible, the code number of the Harmonized Commodity Description and Coding System, established by the Brussels Convention of 14th June 1983 under the auspices of the Customs Co-operation Council (Harmonized System Code) is listed opposite an entry. This code may apply to both wastes and products. This Decision does not include items which are not wastes. Therefore, the code - used by customs officials in order to facilitate their procedures as well as by others - is only provided here to help in identifying wastes that are listed and subject to this Decision. However, corresponding official Explanatory Notes as issued by the Customs Co-operation Council should be used as interpretative guidance to identify wastes covered by generic headings. The indicative "ex" identifies a specific item contained within a heading of the Harmonized System Code.

The code in bold in the first column is the OECD code: it consists of two letters (one for the list: Green, Amber or Red and one for the category of waste: A,B,C,...) followed by a number.

++ "Non-dispersible" does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.
The following waste and scrap of non-ferrous metals and their alloys:

**GA120**  740400  Copper waste and scrap
**GA130**  750300  Nickel waste and scrap
**GA140**  760200  Aluminium waste and scrap
**GA150**  780200  Lead waste and scrap
**GA160**  790200  Zinc waste and scrap
**GA170**  800200  Tin waste and scrap
**GA180**  ex 810191  Tungsten waste and scrap
**GA190**  ex 810291  Molybdenum waste and scrap
**GA200**  ex 810310  Tantalum waste and scrap
**GA210**  810420  Magnesium waste and scrap
**GA220**  ex 810510  Cobalt waste and scrap
**GA230**  ex 810600  Bismuth waste and scrap
**GA240**  ex 810710  Cadmium waste and scrap
**GA250**  ex 810810  Titanium waste and scrap
**GA260**  ex 810910  Zirconium waste and scrap
**GA270**  ex 811000  Antimony waste and scrap
**GA280**  ex 811100  Manganese waste and scrap
**GA290**  ex 811211  Beryllium waste and scrap
**GA300**  ex 811220  Chromium waste and scrap
**GA310**  ex 811230  Germanium waste and scrap
**GA320**  ex 811240  Vanadium waste and scrap

ex 811291  Wastes and scrap of
**GA330**  - Hafnium
**GA340**  - Indium
**GA350**  - Niobium
**GA360**  - Rhenium
**GA370**  - Gallium
**GA380**  - Thallium

59
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GA390</td>
<td>ex 284430 Thorium waste and scrap</td>
</tr>
<tr>
<td>GA400</td>
<td>ex 280490 Selenium waste and scrap</td>
</tr>
<tr>
<td>GA410</td>
<td>ex 280450 Tellurium waste and scrap</td>
</tr>
<tr>
<td>GA420</td>
<td>ex 280530 Rare earths waste and scrap</td>
</tr>
</tbody>
</table>

**GB. METAL BEARING WASTES ARISING FROM MELTING, SMELTING AND REFINING OF METALS**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GB010</td>
<td>262011 Hard zinc spelter</td>
</tr>
<tr>
<td>GB020</td>
<td>Zinc containing drosses:</td>
</tr>
<tr>
<td>GB021</td>
<td>Galvanizing slab zinc top dross ( &gt; 90% Zn)</td>
</tr>
<tr>
<td>GB022</td>
<td>Galvanizing slab zinc bottom dross ( &gt; 92% Zn)</td>
</tr>
<tr>
<td>GB023</td>
<td>Zinc die casting dross ( &gt; 85% Zn)</td>
</tr>
<tr>
<td>GB024</td>
<td>Hot dip galvanizers slab zinc dross (batch) ( &gt; 92% Zn)</td>
</tr>
<tr>
<td>GB025</td>
<td>Zinc skimmings</td>
</tr>
<tr>
<td>GB030</td>
<td>Aluminium skimmings</td>
</tr>
<tr>
<td>GB040</td>
<td>ex 262090 Slags from precious metals and copper processing for further refining</td>
</tr>
<tr>
<td>GB050</td>
<td>ex 262090 Tantalum bearing tin slags with less than 0.5 % tin</td>
</tr>
</tbody>
</table>

**GC. OTHER WASTES CONTAINING METALS**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GC010</td>
<td>Electrical assemblies consisting only of metals or alloys</td>
</tr>
<tr>
<td>GC020</td>
<td>Electronic scrap (e.g. printed circuit boards, electronic components, wire, etc.) and reclaimed electronic components suitable for base and precious metal recovery</td>
</tr>
<tr>
<td>GC030</td>
<td>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 waste</td>
</tr>
<tr>
<td>GC040</td>
<td>Motor vehicle wrecks, drained of liquids</td>
</tr>
<tr>
<td>GC050</td>
<td>Spent catalysts:</td>
</tr>
<tr>
<td>GC051</td>
<td>- fluid catalytic cracking (FCC) catalysts</td>
</tr>
<tr>
<td>GC052</td>
<td>- precious metal bearing catalysts</td>
</tr>
<tr>
<td>GC053</td>
<td>- transition metal catalysts (e.g. chromium, cobalt, copper, iron, nickel, manganese, molybdenum, tungsten, vanadium, zinc).</td>
</tr>
</tbody>
</table>
GC060 261800 Granulated slag arising from the manufacture of iron and steel.

GC070 ex 261900 Slag arising from the manufacture of iron and steel*.

**GD.** **WASTES FROM MINING OPERATIONS: THESE WASTES TO BE IN NON-DISPERSIBLE FORM**

GD010 ex 250490 Natural graphite waste

GD020 ex 251400 Slate waste, whether or not roughly trimmed or merely cut, by sawing or otherwise

GD030 252530 Mica waste

GD040 ex 252930 Leucite, nepheline and nepheline syenite waste

GD050 ex 252910 Feldspar waste

GD060 ex 252921 Fluorspar waste

GD070 ex 281122 Silica wastes in solid form excluding those used in foundry operations

**GE.** **GLASS WASTE IN NON-DISPERSIBLE FORM**

GE010 ex 700100 Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses

GE020 Fibre glass wastes

**GF.** **CERAMIC WASTES IN NON-DISPERSIBLE FORM**

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

GF020 ex 811300 Cermet wastes and scrap (metal ceramic composites)

GF030 Ceramic based fibres not elsewhere specified or included

* This entry covers the use of such slags as a source of titatium dioxide and vanadium.
GG. OTHER WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND ORGANIC MATERIALS

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GG010</td>
<td>Partially refined calcium sulphate produced from flue gas desulphurisation (FGD)</td>
</tr>
<tr>
<td>GG020</td>
<td>Waste gypsum wallboard or plasterboard arising from the demolition of buildings</td>
</tr>
<tr>
<td>GG030</td>
<td>ex 2621 Bottom ash and slag tap from coal fired power plants</td>
</tr>
<tr>
<td>GG040</td>
<td>ex 2621 Coal fired power plants fly ash</td>
</tr>
<tr>
<td>GG050</td>
<td>Anode butts of petroleum coke and/or bitumen</td>
</tr>
<tr>
<td>GG060</td>
<td>ex 2803 Spent activated carbon</td>
</tr>
<tr>
<td>GG070</td>
<td>310320 Basic slag arising from the manufacture of iron or steel suitable for phosphate fertiliser and other use</td>
</tr>
<tr>
<td>GG080</td>
<td>ex 262100 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</td>
</tr>
<tr>
<td>GG090</td>
<td>Sulphur in solid form</td>
</tr>
<tr>
<td>GG100</td>
<td>Limestone from the production of calcium cyanamide (having a pH less than 9)</td>
</tr>
<tr>
<td>GG110</td>
<td>ex 262100 Neutralized red mud from alumina production</td>
</tr>
<tr>
<td>GG120</td>
<td>Sodium, potassium, calcium chlorides</td>
</tr>
<tr>
<td>GG130</td>
<td>Carborundum (silicon carbide)</td>
</tr>
<tr>
<td>GG140</td>
<td>Broken concrete</td>
</tr>
<tr>
<td>GG150</td>
<td>ex 262090 Lithium-Tantalum and Lithium-Niobium containing glass scraps</td>
</tr>
</tbody>
</table>

GH. SOLID PLASTIC WASTES:

Including, but not limited to:

<table>
<thead>
<tr>
<th>Code</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GH010</td>
<td>3915</td>
<td>Waste, parings and scrap of plastics of :</td>
</tr>
<tr>
<td>GH011</td>
<td>ex 391510</td>
<td>- polymers of ethylene</td>
</tr>
<tr>
<td>GH012</td>
<td>ex 391520</td>
<td>- polymers of styrene</td>
</tr>
<tr>
<td>GH013</td>
<td>ex 391530</td>
<td>- polymers of vinyl chloride</td>
</tr>
<tr>
<td>GH014</td>
<td>ex 391590</td>
<td>- polymers or co-polymers e.g.:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>. polypropylene</td>
</tr>
<tr>
<td></td>
<td></td>
<td>. polyethylene terephthalate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>. acrylonitrile copolymer</td>
</tr>
<tr>
<td></td>
<td></td>
<td>. butadiene copolymer</td>
</tr>
</tbody>
</table>
. styrene copolymer
. polyamides
. polybutylene terephthalate
. polycarbonates
. polyphenylene sulphides
. acryllic polymers
. paraffins (C10-C13) *
. polyurethane (not containing chlorofluorocarbons)
. polysiloxanes (silicones)
. polymethyl methacrylate
. polyvinyl alcohol
. polyvinyl butyral
. polyvinyl acetate
. polymers of fluorinated ethylene (Teflon, PTFE)

GH015  ex 391590  - resins or condensation products e.g.:
. urea formaldehyde resins
. phenol formaldehyde resins
. melamine formaldehyde resins
. epoxy resins
. alkyd resins
. polyamides

GI.  PAPER, PAPERBOARD AND PAPER PRODUCT WASTES:

GI010  4707  Waste and scrap of paper or paperboard:
GI011  470710  - of unbleached kraft paper or paperboard or of corrugated paper or paperboard
GI012  470720  - of other paper or paperboard, made mainly of bleached chemical pulp, not colored in the mass
GI013  470730  - of paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter)
GI014  470790  - other, including but not limited to:
. 1) laminated paperboard
. 2) unsorted waste and scrap

GJ.  TEXTILE WASTES:

GJ010  5003  Silk waste (including cocoons unsuitable for reeling, yarn waste and garnetted stock)
GJ011  500310  - not carded or combed
GJ012  500390  - other

* These cannot be polymerised and are used as plasticisers.
GJ020  5103  Waste of wool or of fine or coarse animal hair, including yarn waste but excluding garnetted stock
GJ021  510310  -  noils of wool or of fine animal hair
GJ022  510320  -  other waste of wool or of fine animal hair
GJ023  510330  -  waste of coarse animal hair
GJ030  5202  Cotton waste (including yarn waste and garnetted stock)
GJ031  520210  -  yarn waste (including thread waste)
GJ032  520291  -  garnetted stock
GJ033  520299  -  other
GJ040  530130  Flax tow and waste
GJ050  ex  530290  Tow and waste (including yarn waste and garnetted stock) of true hemp (Cannabis sativa L.)
GJ060  ex  530390  Tow and waste (including yarn waste and garnetted stock) of jute and other textile bast fibres (excluding flax, true hemp and ramie)
GJ070  ex  530490  Tow and waste (including yarn waste and garnetted stock) of sisal and other textile fibres of the genus Agave
GJ080  ex  530519  Tow, noils and waste (including yarn waste and garnetted stock) of coconut
GJ090  ex  530529  Tow, noils and waste (including yarn waste and garnetted stock) of abaca (Manila hemp or Musa textilis Nee)
GJ100  ex  530599  Tow, noils and waste (including yarn waste and garnetted stock) of ramie and other vegetable textile fibres, not elsewhere specified or included
GJ110  5505  Waste (including noils, yarn waste and garnetted stock) of man-made fibres
GJ111  550510  -  of synthetic fibres
GJ112  550520  -  of artificial fibres
GJ120  630900  Worn clothing and other worn textile articles
GJ130  ex  6310  Used rags, scrap twine, cordage, rope and cables and worn out articles of twine, cordage, rope or cables of textile materials
GJ131  ex  631010  -  sorted
GJ132  ex  631090  -  other

GK.  RUBBER WASTES:

GK010  400400  Waste, parings and scrap of rubber (other than hard rubber) and granules obtained therefrom
GK020  401220  Used pneumatic tyres
GK030  ex  401700  Waste and scrap of hard rubber (for example, ebonite)
GL. **UNTREATED CORK AND WOOD WASTES:**

**GL010**  ex  440130  Wood waste and scrap, whether or not agglomerated in logs, briquettes, pellets or similar forms

**GL020**  450190  Cork waste; crushed, granulated or ground cork

GM. **WASTES ARISING FROM AGRO-FOOD INDUSTRIES**

**GM070**  ex  2307  Wine lees

**GM080**  ex  2308  Dried and sterilized vegetable waste, residues and byproducts, whether or not in the form of pellets, of a kind used in animal feeding, not elsewhere specified or included

**GM090**  152200  Degras; residues resulting from the treatment of fatty substances or animal or vegetable waxes

**GM100**  050690  Waste of bones and horn-cores, unworked, defatted, simply prepared (but not cut to shape), treated with acid or degelatinised

**GM110**  ex  051191  Fish waste

**GM120**  180200  Cocoa shells, husks, skins and other cocoa waste

**GM130**  Wastes from the agro-food industry excluding by-products which meet national and international requirements and standards for human or animal consumption

GN. **WASTES ARISING FROM TANNING AND FELLMONGERY OPERATIONS AND LEATHER USE**

**GN010**  ex  050200  Waste of pigs’, hogs’ or boars’ bristles and hair or of badger hair and other brush making hair

**GN020**  ex  050300  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

**GN040**  ex  411000  Parings and other waste of leather or of composition leather, not suitable for the manufacture of leather articles, excluding leather sludges
GO. **OTHER WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND INORGANIC MATERIALS**

<table>
<thead>
<tr>
<th>Code</th>
<th>Subcode</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GO010</td>
<td>ex 050100</td>
<td>Waste of human hair</td>
</tr>
<tr>
<td>GO020</td>
<td></td>
<td>Waste straw</td>
</tr>
<tr>
<td>GO030</td>
<td></td>
<td>Deactivated fungus mycelium from penicillin production to be used as animal feed</td>
</tr>
<tr>
<td>GO040</td>
<td></td>
<td>Waste photographic film base and waste photographic film not containing silver</td>
</tr>
<tr>
<td>GO050</td>
<td></td>
<td>Single use cameras without batteries</td>
</tr>
</tbody>
</table>
### Appendix 4

**AMBER LIST OF WASTES**
(revised May 1993)

Regardless of whether or not wastes are included on this list, they may not be moved as Amber Tier wastes 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 inclusion in the red list, when taking into account the criteria in Annex 2, or (b) prevents the recovery of the waste in an environmentally sound manner.

### AA. METAL BEARING WASTES

<table>
<thead>
<tr>
<th>Code</th>
<th>Index Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA010</td>
<td>ex 261900</td>
<td>Dross, scalings and other wastes from the manufacture of iron and steel++</td>
</tr>
<tr>
<td>AA020</td>
<td>ex 262019</td>
<td>Zinc ashes and residues++</td>
</tr>
<tr>
<td>AA030</td>
<td>262020</td>
<td>Lead ashes and residues++</td>
</tr>
<tr>
<td>AA040</td>
<td>ex 262030</td>
<td>Copper ashes and residues++</td>
</tr>
<tr>
<td>AA050</td>
<td>ex 262040</td>
<td>Aluminium ashes and residues++</td>
</tr>
<tr>
<td>AA060</td>
<td>ex 262050</td>
<td>Vanadium ashes and residues++</td>
</tr>
<tr>
<td>AA070</td>
<td>262090</td>
<td>Ashes and residues++ containing metals or metal compounds not elsewhere specified or included</td>
</tr>
<tr>
<td>AA080</td>
<td></td>
<td>Thallium waste and residues++</td>
</tr>
<tr>
<td>AA090</td>
<td>ex 280480</td>
<td>Arsenic waste and residues++</td>
</tr>
<tr>
<td>AA100</td>
<td>ex 280540</td>
<td>Mercury waste and residues++</td>
</tr>
</tbody>
</table>

Whenever possible, the code number of the Harmonized Commodity Description and Coding System, established by the Brussels Convention of 14th June 1983 under the auspices of the Customs Co-operation Council (Harmonized System Code) is listed opposite an entry. This code may apply to both wastes and products. This Decision does not include items which are not wastes. Therefore, the code - used by customs officials in order to facilitate their procedures as well as by others - is only provided here to help in identifying wastes that are listed and subject to this Decision. However, corresponding official Explanatory Notes as issued by the Customs Co-operation Council should be used as interpretative guidance to identify wastes covered by generic headings. The indicative "ex" identifies a specific item contained within a heading of the Harmonized System Code.

The code in bold in the first column is the OECD code: it consists of two letters (one for the list: Green, Amber or Red and one for the category of waste: A,B,C,...) followed by a number.

++ 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.
AA110  Residues from alumina production not elsewhere specified or included
AA120  Galvanic sludges
AA130  Liquors from the pickling of metals
AA140  Leaching residues from zinc processing, dusts and sludges such as jarosite, hematite, goethite, etc.
AA150  Precious metal bearing residues in solid form which contain traces of inorganic cyanides
AA160  Precious metal ash, sludge, dust and other residues such as:
        AA161  - ash from incineration of printed circuit boards
        AA162  - photographic film ash
AA170  Lead-acid batteries, whole or crushed
AA180  Used batteries or accumulators, whole or crushed, other than lead-acid batteries, and waste and scrap arising from the production of batteries and accumulators, not elsewhere specified or included

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Code Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB010</td>
<td>262100</td>
<td>Slag, ash and residues++, not elsewhere specified or included</td>
</tr>
<tr>
<td>AB020</td>
<td></td>
<td>Residues arising from the combustion of municipal/household wastes</td>
</tr>
<tr>
<td>AB030</td>
<td></td>
<td>Wastes from non-cyanide based systems which arise from surface treatment of metals</td>
</tr>
<tr>
<td>AB040</td>
<td></td>
<td>Glass waste from cathode-ray tubes and other activated glasses</td>
</tr>
<tr>
<td>AB050</td>
<td></td>
<td>Calcium fluoride sludge</td>
</tr>
<tr>
<td>AB060</td>
<td></td>
<td>Other inorganic fluorine compounds in the form of liquids or sludges</td>
</tr>
<tr>
<td>AB070</td>
<td></td>
<td>Sands used in foundry operations</td>
</tr>
<tr>
<td>AB080</td>
<td></td>
<td>Waste catalysts not on the green list</td>
</tr>
<tr>
<td>AB090</td>
<td></td>
<td>Waste hydrates of aluminium</td>
</tr>
</tbody>
</table>

++ 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.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB100</td>
<td>Waste alumina</td>
</tr>
<tr>
<td>AB110</td>
<td>Basic solutions</td>
</tr>
<tr>
<td>AB120</td>
<td>Inorganic halide compounds, not elsewhere specified or included</td>
</tr>
<tr>
<td>AB130</td>
<td>Used blasting grit</td>
</tr>
<tr>
<td>AB140</td>
<td>Gypsum arising from chemical industry processes</td>
</tr>
<tr>
<td>AB150</td>
<td>Unrefined calcium sulphite and calcium sulphate from flue gas desulphurisation (FGD)</td>
</tr>
</tbody>
</table>

**AC. WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND INORGANIC MATERIALS**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC010</td>
<td>271390 Waste from the production/processing of petroleum coke and bitumen, excluding anode butts</td>
</tr>
<tr>
<td>AC020</td>
<td>Asphalt cement wastes</td>
</tr>
<tr>
<td>AC030</td>
<td>Waste oils unfit for their originally intended use</td>
</tr>
<tr>
<td>AC040</td>
<td>Leaded petrol (gasoline) sludges</td>
</tr>
<tr>
<td>AC050</td>
<td>Thermal (heat transfer) fluids</td>
</tr>
<tr>
<td>AC060</td>
<td>Hydraulic fluids</td>
</tr>
<tr>
<td>AC070</td>
<td>Brake fluids</td>
</tr>
<tr>
<td>AC080</td>
<td>Antifreeze fluids</td>
</tr>
<tr>
<td>AC090</td>
<td>Wastes from production, formulation and use of resins, latex, plasticisers, glues and adhesives</td>
</tr>
<tr>
<td>AC100</td>
<td>391590 Nitrocellulose</td>
</tr>
<tr>
<td>AC110</td>
<td>Phenols, phenol compounds including chlorophenol in the form of liquids or sludges</td>
</tr>
<tr>
<td>AC120</td>
<td>Polychlorinated naphthalenes</td>
</tr>
<tr>
<td>AC130</td>
<td>Ethers</td>
</tr>
<tr>
<td>AC140</td>
<td>Triethylamine catalysts for setting foundry sands</td>
</tr>
<tr>
<td>AC150</td>
<td>Chlorofluorocarbons</td>
</tr>
<tr>
<td>AC160</td>
<td>Halons</td>
</tr>
</tbody>
</table>
AC170 Treated cork and wood wastes
AC180   ex 411000 Leather dust, ash, sludges and flours
AC190 Fluff - light fraction from automobile shredding
AC200 Organic phosphorous compounds
AC210 Non-halogenated solvents
AC220 Halogenated solvents
AC230 Halogenated or unhalogenated non-aqueous distillation residues arising from organic solvent recovery operations
AC240 Wastes arising from the production of aliphatic halogenated hydrocarbons (such as chloromethanes, dichloro-ethane, vinyl chloride, vinylidene chloride, allyl chloride and epichlorhydrin)
AC250 Surface active agents (surfactants)
AC260 Liquid pig manure; faeces
AC270 Sewage sludge

AD. WASTES WHICH MAY CONTAIN EITHER INORGANIC OR ORGANIC CONSTITUENTS

AD010 Wastes from the production and preparation of pharmaceutical products
AD020 Wastes from the production, formulation and use of biocides and phytopharmaceuticals
AD030 Wastes from the manufacture, formulation and use of wood preserving chemicals

Wastes that contain, consist of or are contaminated with any of the following:
AD040 - inorganic cyanides, excepting precious metal-bearing residues in solid form containing traces of inorganic cyanides
AD050 - organic cyanides
AD060 Waste oils/water, hydrocarbons/water mixtures, emulsions
AD070 Wastes from production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish
AD080 Wastes of an explosive nature, when not subject to specific other legislation
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AD090</td>
<td>Wastes from production, formulation and use of reprographic and photographic</td>
</tr>
<tr>
<td></td>
<td>chemicals and materials not elsewhere specified or included</td>
</tr>
<tr>
<td>AD100</td>
<td>Wastes from non-cyanide based systems which arise from surface treatment of</td>
</tr>
<tr>
<td></td>
<td>plastics</td>
</tr>
<tr>
<td>AD110</td>
<td>Acidic solutions</td>
</tr>
<tr>
<td>AD120</td>
<td>Ion exchange resins</td>
</tr>
<tr>
<td>AD130</td>
<td>Single use cameras with batteries</td>
</tr>
<tr>
<td>AD140</td>
<td>Wastes from industrial pollution control devices for cleaning of industrial</td>
</tr>
<tr>
<td></td>
<td>off-gases, not elsewhere specified or included</td>
</tr>
<tr>
<td>AD150</td>
<td>Naturally occurring organic material used as a filter medium (such as bio-filters)</td>
</tr>
<tr>
<td>AD160</td>
<td>Municipal/household wastes+</td>
</tr>
</tbody>
</table>
Appendix 5

RED LIST OF WASTES
(revised May 1993)

"Containing" or "contaminated with", when used in this list, mean that the substance referred to is present to an extent which (a) renders the waste hazardous when taking into account the criteria in Annex 2, or (b) renders it not suitable for submission to a recovery operation.

RA. WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND INORGANIC MATERIALS

RA010 Wastes, substances and articles containing, consisting of or contaminated with polychlorinated biphenyl (PCB) and/or polychlorinated terphenyl (PCT) and/or polybrominated biphenyl (PBB), including any other polybrominated analogues of these compounds, at a concentration level of 50mg/kg or more

RA020 Waste tarry residues (excluding asphalt cements) arising from refining, distillation and any pyrolictic treatment of organic materials

RB. WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND ORGANIC MATERIALS

RB010 Asbestos (dusts and fibres)

RB020 Ceramic based fibres of physico-chemical characteristics similar to those of asbestos

RC. WASTES WHICH MAY CONTAIN EITHER INORGANIC OR ORGANIC CONSTITUENTS

Wastes that contain, consist of or are contaminated with any of the following:

RC010 - any congenor of polychlorinated dibenzo-furan
RC020 - any congenor of polychlorinated dibenzo-dioxin
RC030 Leaded anti-knock compound sludges
RC040 Peroxides other than hydrogen peroxide
Annex 2

CRITERIA

A) **Properties**

1) Does the waste normally exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final)? Furthermore, it is useful to know if the waste is legally defined as or considered to be a hazardous waste in one or more Member countries.

2) Is the waste typically contaminated?

3) **What is the physical state of the waste?**

4) **What is the degree of difficulty of cleanup in the case of accidental spillage or mismanagement?**

5) **What is the economic value of the waste bearing in mind historical price fluctuations?**

B) **Management**

6) **Is there technological capability to recover the waste?**

7) **Is there a history of adverse environmental incidents arising from transfrontier movements of the waste or associated recovery operations?**

8) **Is the waste routinely traded through established channels and is that evidenced by commercial classification?**

9) **Is the waste usually moved internationally under the terms of a valid contract or chain of contracts?**

10) **What is the extent of reuse and recovery of the waste and how is any portion separated from the waste but not subject to recovery managed?**

11) **What are the overall environmental benefits arising from the recovery operations?**
ANNEX B

OECD Council Decision C(88)90(Final) - Including Definition and Classification of Hazardous Wastes
DECISION OF THE COUNCIL
on Transfrontier Movements of Hazardous Wastes*
(adopted by the Council at its 685th Session on 27th May 1988)

THE COUNCIL,

Having regard to Article a) of the Convention on the Organisation for Economic Co-operation and Development of 14th December 1960;

Having regard to the Decision and Recommendation of the Council of 1st February 1984 on Transfrontier Movements of Hazardous Waste [C(83)180(Final)];

Having regard to the Decision-Recommendation of the Council of 5th June 1986 on Exports of Hazardous Wastes from the OECD Area [C(86)64(Final)];

Having regard to the Resolution of the Council of 20th June 1985 on International Cooperation Concerning Transfrontier Movements of Hazardous Wastes, by which it has been decided to develop an international system for effective control of transfrontier movements of hazardous wastes [C(85)100];

Convinced that the development of such a system requires a clear delineation of the wastes to be included in the system;

On the proposal of the Environment Committee;

I. DECIDES that for the purpose of implementing the above mentioned Council Acts on the control of transfrontier movements of hazardous wastes involving any Member country:

a) the terms "wastes" and "disposal" shall be defined as specified in the Annex, which is an integral part of this Decision;

b) those wastes which are referred to in the above-mentioned Council Acts as Hazardous Wastes shall consist of:

i) a core list of wastes as specified in the Annex; and

ii) all other wastes which are considered to be or are legally defined as hazardous wastes in the Member country from which these wastes are exported or in the Member country into which these wastes are imported;

c) Member countries shall ensure that the wastes subject to control are classified in the manner specified in the Annex unless these wastes are subject to a transfrontier movement which takes place entirely among the parties to a bilateral or multilateral agreement or arrangement specifying a different method of classification.

* As amended on 28-29 July 1994 [Council Decision C(94)152/FINAL] with respect to Table Y, Table 3, Table 4 and Table 5 of the Annex.
II. DECIDES that the definitions of Waste and Hazardous Waste contained in the above-mentioned Council Acts are hereby repealed.

III. INSTRUCTS the Environment Committee:

a) to take account of this Decision in developing the draft international agreement referred to in the Resolution on International Cooperation Concerning Transfrontier Movements of Hazardous Wastes [C(85)100];

b) to report to the Council after an appropriate period not exceeding three years on the implementation of this Decision and to make any proposals it deems necessary for revisions of the Annex in the light of experience gained in its implementation.

NOTE. The Council agreed that "when implementing paragraph I b) ii) of this Decision Member countries shall not be obliged to enforce laws other than their own".
ANNEX

A series of seven tables serves to define and classify the wastes to be controlled when subject to transfrontier movements. The tables cover the following:

Table Y - Core list of wastes to be controlled

Table 1 - Reasons why materials are intended for disposal

Table 2 - Disposal operations

Table 3 - Generic types of potentially hazardous wastes

Table 4 - Constituents of potentially hazardous wastes

Table 5 - List of hazardous characteristics

Table 6 - Activities which may generate potentially hazardous wastes

DEFINITIONS

For the purposes of this Decision:

1. WASTES are materials other than radioactive materials intended for DISPOSAL, for reasons specified in Table 1.

2. DISPOSAL means any of the operations specified in Table 2.

CORE LIST

For the purposes of this Decision those wastes which belong to any of the categories described in Table Y shall be controlled unless such wastes do not possess any of the hazardous characteristics listed in Table 5.

CLASSIFICATION - INTERNATIONAL WASTE IDENTIFICATION CODE

Tables 1 to 6 contain code numbers which, taken together, provide a means of complete characterisation of wastes, through an international Waste Identification Code, in order to facilitate their control from generation to disposal.

The International Waste Identification Code (IWIC) is obtained as follows:

1. Choose the one or at most two major reason(s) why the wastes are intended for disposal from the list in Table 1. Mark down the reason(s) as Q.. plus the code number(s).

2. Indicate the method which has been selected for disposal of the wastes by choosing the one operation from Table 2 which most closely describes the fate intended for the wastes. Mark down as D.. or R.. plus the code number from Table 2.A or Table 2.B as appropriate.

3. Decide whether the wastes are liquid (L), sludge (P) or solid (S). Powders are considered to be solids.
4. Select from Table 3, the **one** descriptor which most closely describes the generic form of the wastes. Mark down this descriptor as L..., P.. or S... plus the code number.

5. Examine Table 4; either the wastes do or do not contain one or more of the constituents listed. If none, mark down as code "CO". If one, mark down the appropriate code number. If more than one, then the best estimate for the group of no more than three entries in terms of descending hazard should be made. This estimate is meant to be qualitative and based upon the best judgment of the generator of the wastes; physical testing is not implied.

6. Select from Table 5 the one or at most two major potential hazard(s) presented by the wastes. Mark down as H... plus the code number(s).

7. Select from Table 6 the most appropriate **single** activity generating the wastes. Mark down as A... plus the code number.

8. The order of the International Waste Identification Code is the same as Tables 1 through 6. Main heads of the coding system are set off by double oblique lines. Where more than one entry from a specific Table is applicable, the plus sign (+) is used to separate the codes for each such entry:

   Q___ + ___/D,R___/L,P,S___/C___ + ___ + ___/H___ + ___/A___
<table>
<thead>
<tr>
<th>Waste streams:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y1  Clinical wastes from medical care in hospitals, medical centers and clinics</td>
</tr>
<tr>
<td>Y2  Wastes from the production and preparation of pharmaceutical products</td>
</tr>
<tr>
<td>Y3  Waste pharmaceuticals, drugs and medicines</td>
</tr>
<tr>
<td>Y4  Wastes from the production, formulation and use of biocides and phytopharmaceuticals</td>
</tr>
<tr>
<td>Y5  Wastes from the manufacture, formulation and use of wood preserving chemicals</td>
</tr>
<tr>
<td>Y6  Wastes from the production, formulation and use of organic solvents</td>
</tr>
<tr>
<td>Y7  Wastes from heat treatment and tempering operations containing cyanides</td>
</tr>
<tr>
<td>Y8  Waste mineral oils unfit for their originally intended use</td>
</tr>
<tr>
<td>Y9  Waste oil/water, hydrocarbon/water mixtures, emulsions</td>
</tr>
<tr>
<td>Y10 Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCB’s) and/or polychlorinated terphenyls (PCT’s) and/or polybrominated biphenyls (PBB’s)</td>
</tr>
<tr>
<td>Y11 Waste tarry residues arising from refining, distillation and any pyrolytic treatment</td>
</tr>
<tr>
<td>Y12 Wastes from production, formulation and use of inks, dyes, pigments, paints, laquers, varnish</td>
</tr>
<tr>
<td>Y13 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adesives</td>
</tr>
<tr>
<td>Y14 Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on man and/or the environment are not known</td>
</tr>
<tr>
<td>Y15 Wastes of an explosive nature not subject to other legislation</td>
</tr>
<tr>
<td>Y16 Wastes from production, formulation and use of photographic chemicals and processing materials</td>
</tr>
<tr>
<td>Y17 Wastes resulting from surface treatment of metals and plastics</td>
</tr>
<tr>
<td>Y18 Residues arising from industrial waste disposal operations</td>
</tr>
</tbody>
</table>
**Wastes having as constituents:**

Y19 Metal carbonyls
Y20 Beryllium; beryllium compounds
Y21 Hexavalent chromium compounds
Y22 Copper compounds
Y23 Zinc compounds
Y24 Arsenic; arsenic compounds
Y25 Selenium; selenium compounds
Y26 Cadmium; cadmium compounds
Y27 Antimony; antimony compounds
Y28 Tellurium; tellurium compounds
Y29 Mercury; mercury compounds
Y30 Thallium; thallium compounds
Y31 Lead; lead compounds
Y32 Inorganic fluorine compounds excluding calcium fluoride
Y33 Inorganic cyanides
Y34 Acidic solutions or acids in solid form
Y35 Basic solutions or bases in solid form
Y36 Asbestos (dust and fibres)
Y37 Organic phosphorous compounds
Y38 Organic cyanides
Y39 Phenols; phenol compounds including chlorophenols
Y40 Ethers
Y41 Halogenated organic solvents
Y42 Organic solvents excluding halogenated solvents
Y43 Any congenor of polychlorinated dibenzo-furan
Y44 Any congenor of polychlorinated dibenzo-p-dioxin
Y45 Organohalogen compounds other than substances referred to in this Table (e.g. Y39, Y41, Y42, Y43, Y44)
<table>
<thead>
<tr>
<th>Q1</th>
<th>Production residues not otherwise specified below</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q2</td>
<td>Off-specification products</td>
</tr>
<tr>
<td>Q3</td>
<td>Products whose date for appropriate use has expired</td>
</tr>
<tr>
<td>Q4</td>
<td>Materials spilled, lost or having undergone other mishap including any materials, equipment etc. contaminated as result of the mishap</td>
</tr>
<tr>
<td>Q5</td>
<td>Materials contaminated or soiled as a result of planned actions, [e.g., residues from cleaning operations, packing materials, containers, etc.]</td>
</tr>
<tr>
<td>Q6</td>
<td>Unusable parts, [e.g., reject batteries, exhausted catalyst, etc.]</td>
</tr>
<tr>
<td>Q7</td>
<td>Substances which no longer perform satisfactorily, [e.g., contaminated acid, contaminated solvents, exhausted tempering salts, etc. ]</td>
</tr>
<tr>
<td>Q8</td>
<td>Residues of industrial processes, [e.g., slags, still bottoms, etc.]</td>
</tr>
<tr>
<td>Q9</td>
<td>Residues from pollution abatement processes, [e.g., scrubber sludges, baghouse dusts, spent filters, etc.]</td>
</tr>
<tr>
<td>Q10</td>
<td>Machining/finishing residues, [e.g. lathe turnings, mill scales, etc.]</td>
</tr>
<tr>
<td>Q11</td>
<td>Residues from raw materials processing, [e.g., mining residues, oil field slops, etc.]</td>
</tr>
<tr>
<td>Q12</td>
<td>Adulterated materials, [e.g. oils contaminated with PCB, etc.]</td>
</tr>
<tr>
<td>Q13</td>
<td>Any materials, substances or products whose use has been banned by law in the country of exportation</td>
</tr>
<tr>
<td>Q14</td>
<td>Products for which there is no further use, [e.g., agriculture, household, office, commercial and shop discards, etc.]</td>
</tr>
<tr>
<td>Q15</td>
<td>Materials, substances or products resulting from remedial actions with respect to contaminated land</td>
</tr>
<tr>
<td>Q16</td>
<td>Any materials, substances or products which the generator or exporter declares to be wastes and which are not contained in the above categories</td>
</tr>
</tbody>
</table>
### TABLE 2

**DISPOSAL OPERATIONS**

(Table 2 is divided into two sections)

#### 2.A OPERATIONS WHICH DO NOT LEAD TO THE POSSIBILITY OF RESOURCE RECOVERY, RECYCLING, RECLAMATION, DIRECT RE-USE OR ALTERNATIVE USES

Table 2.A is meant to encompass all such disposal operations which occur in practice, whether or not they are adequate from the point of view of environmental protection.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>D1</td>
<td>Deposit into or onto land, [e.g., landfill, etc.]</td>
</tr>
<tr>
<td>D2</td>
<td>Land treatment, [e.g., biodegradation of liquid or sludgy discards in soils, etc.]</td>
</tr>
<tr>
<td>D3</td>
<td>Deep injection, [e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.]</td>
</tr>
<tr>
<td>D4</td>
<td>Surface impoundment, [e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.]</td>
</tr>
<tr>
<td>D5</td>
<td>Specially engineered landfill, [e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.]</td>
</tr>
<tr>
<td>D6</td>
<td>Release into a water body except seas/oceans</td>
</tr>
<tr>
<td>D7</td>
<td>Release into seas/oceans including sea-bed insertion</td>
</tr>
<tr>
<td>D8</td>
<td>Biological treatment not specified elsewhere in this Table which results in final compounds or mixtures which are discarded by means of any of the operations in Table 2.A</td>
</tr>
<tr>
<td>D9</td>
<td>Physico chemical treatment not specified elsewhere in this Table which results in final compounds or mixtures which are discarded by means of any of the operations in Table 2.A, [e.g., evaporation, drying, calcination, etc.]</td>
</tr>
<tr>
<td>D10</td>
<td>Incineration on land</td>
</tr>
<tr>
<td>D11</td>
<td>Incineration at sea</td>
</tr>
<tr>
<td>D12</td>
<td>Permanent storage, [e.g., emplacement of containers in a mine, etc.]</td>
</tr>
<tr>
<td>D13</td>
<td>Blending or mixing prior to submission to any of the operations in Table 2.A</td>
</tr>
<tr>
<td>D14</td>
<td>Repackaging prior to submission to any of the operations in Table 2.A</td>
</tr>
<tr>
<td>D15</td>
<td>Storage pending any of the operations in Table 2.A</td>
</tr>
</tbody>
</table>
2.B OPERATIONS WHICH MAY LEAD TO
RESOURCE RECOVERY, RECYCLING, RECLAMATION,
DIRECT RE-USE OR ALTERNATIVE USES

Table 2.B is meant to encompass all such operations with respect to materials considered to be or legally defined as hazardous wastes and which otherwise would have been destined for operations included in Table 2.A.

R1 USE as a fuel (other than in direct incineration) or other means to generate energy

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 Table 2B
<table>
<thead>
<tr>
<th>Code</th>
<th>Number**</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Clinical wastes from medical care in hospitals, medical centers and clinics</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Wastes from the production and preparation of pharmaceutical products</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Waste pharmaceuticals, drugs and medicines</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Wastes from the production, formulation and use of biocides and phytopharmaceuticals</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Wastes from the manufacture, formulation and use of wood preserving chemicals</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Wastes from the production, formulation and use of organic solvents</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Wastes from heat treatment and tempering operations containing cyanides</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Waste mineral oils unfit for their originally intended use</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Waste oil/water, hydrocarbon/water mixtures, emulsions</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCB’s) and/or polychlorinated terphenyls (PCT’s) and/or polybrominated biphenyls (PBB’s)</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Waste tarry residues arising from refining, distillation and any pyrolytic treatment</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Wastes from production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on man and/or the environment are not known</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Wastes of an explosive nature not subject to other legislation</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Wastes from production, formulation and use of photographic chemicals and processing materials</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Wastes resulting from surface treatment of metals and plastics</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Residues arising from industrial waste disposal operations</td>
<td></td>
</tr>
</tbody>
</table>

* If liquid, preface "L" is used
If sludge, preface "P" is used
If solid, preface "S" is used

** Items 1 to 18 in Table 3 correspond to items Y1 to Y18 in Table Y.
Materials which contain any of the constituents listed in Table 4 and consisting of:

19 Animal or vegetable soaps, fats, waxes
20 Non-halogenated organic substances not employed as solvents
21 Inorganic substances without metals
22 Ashes and/or cinders
23 Soil, sand, clay including dredging spoils
24 Non-cyanide tempering salts
25 Metallic dust, powder
26 Spent catalyst materials
27 Liquids or sludges containing metals
28 Residue from pollution control operations, except (29) and (30)
29 Scrubber sludges
30 Sludges from water purification plants and waste water treatment plants
31 Decarbonization residue
32 Ion-exchange column residue
33 Sewage sludges
34 Wastewaters not otherwise taken into account within Table 3
35 Residue from cleaning of tanks and/or equipment
36 Contaminated equipment
37 Contaminated containers, whose contents included one or more of the constituents listed in Table 4
38 Batteries and other electrical cells
39 Vegetable oils
40 Materials which have been segregated from households and which also exhibit any of the characteristics listed in Table 5
41 Any other wastes which contain any of the constituents listed in Table 4
<table>
<thead>
<tr>
<th>Code number</th>
<th>Constituents*</th>
</tr>
</thead>
<tbody>
<tr>
<td>C1</td>
<td>Beryllium, beryllium compounds [Y20]</td>
</tr>
<tr>
<td>C2</td>
<td>Vanadium compounds</td>
</tr>
<tr>
<td>C3</td>
<td>Hexavalent chromium compounds [Y21]</td>
</tr>
<tr>
<td>C4</td>
<td>Cobalt compounds</td>
</tr>
<tr>
<td>C5</td>
<td>Nickel compounds</td>
</tr>
<tr>
<td>C6</td>
<td>Copper compounds [Y22]</td>
</tr>
<tr>
<td>C7</td>
<td>Zinc compounds [Y23]</td>
</tr>
<tr>
<td>C8</td>
<td>Arsenic; arsenic compounds [Y24]</td>
</tr>
<tr>
<td>C9</td>
<td>Selenium; selenium compounds [Y25]</td>
</tr>
<tr>
<td>C10</td>
<td>Silver compounds</td>
</tr>
<tr>
<td>C11</td>
<td>Cadmium; cadmium compounds [Y26]</td>
</tr>
<tr>
<td>C12</td>
<td>Tin compounds</td>
</tr>
<tr>
<td>C13</td>
<td>Antimony; antimony compounds [Y27]</td>
</tr>
<tr>
<td>C14</td>
<td>Tellurium; tellurium compounds [Y28]</td>
</tr>
<tr>
<td>C15</td>
<td>Barium; barium compounds; excluding barium sulfate</td>
</tr>
<tr>
<td>C16</td>
<td>Mercury; mercury compounds [Y29]</td>
</tr>
<tr>
<td>C17</td>
<td>Thallium; thallium compounds [Y30]</td>
</tr>
<tr>
<td>C18</td>
<td>Lead; lead compounds [Y31]</td>
</tr>
<tr>
<td>C19</td>
<td>Inorganic sulphides</td>
</tr>
<tr>
<td>C20</td>
<td>Inorganic fluorine compounds excluding calcium fluoride [Y32]</td>
</tr>
<tr>
<td>C21</td>
<td>Inorganic cyanides [Y33]</td>
</tr>
<tr>
<td>C22</td>
<td>The following alkaline or alkaline earth metals: lithium, sodium, potassium, calcium, magnesium in uncombined form</td>
</tr>
<tr>
<td>C23</td>
<td>Acidic solutions or acids in solid form [Y34]</td>
</tr>
<tr>
<td>C24</td>
<td>Basic solutions or bases in solid form [Y35]</td>
</tr>
<tr>
<td>C25</td>
<td>Asbestos (dust and fibres) [Y36]</td>
</tr>
<tr>
<td>C26</td>
<td>Organic phosphorus compounds [Y37]</td>
</tr>
<tr>
<td>C27</td>
<td>Metal carbonyls [Y19]</td>
</tr>
<tr>
<td>C28</td>
<td>Peroxides</td>
</tr>
<tr>
<td>C29</td>
<td>Chlorates</td>
</tr>
<tr>
<td>C30</td>
<td>Perchlorates</td>
</tr>
<tr>
<td>C31</td>
<td>Azides</td>
</tr>
<tr>
<td>C32</td>
<td>Polychlorinated biphenyls (PCB’s) and/or polychlorinated terphenyls (PCT’s) and/or polybrominated biphenyls (PBB’s) [Y10]</td>
</tr>
<tr>
<td>C33</td>
<td>Pharmaceutical or veterinary compounds</td>
</tr>
<tr>
<td>C34</td>
<td>Biocides and phyto-pharmaceutical substances</td>
</tr>
<tr>
<td>C35</td>
<td>Infectious substances</td>
</tr>
<tr>
<td>C36</td>
<td>Creosotes</td>
</tr>
<tr>
<td>C37</td>
<td>Isocyanates, thiocyanates</td>
</tr>
</tbody>
</table>

* The correspondence with Table Y is indicated in brackets.
C38 Organic cyanides [Y38]
C39 Phenols; phenol compounds including chlorophenols [Y39] Ethers [Y40]
C41 Halogenated organic solvents [Y41]
C42 Organic solvents, excluding halogenated solvents [Y42]
C43 Organohalogen compounds other than substances referred to in this Table [Y45]
C44 Aromatic compounds; polycyclic and heterocyclic organic compounds
C45 Organic nitrogen compounds; especially aliphatic amines
C46 Organic nitrogen compounds; especially aromatic amines
C47 Substances of an explosive character [Y15]
C48 Sulphur organic compounds
C49 Any congenor of polychlorinated dibenzo-furan [Y43]
C50 Any congenor of polychlorinated dibenzo-p-dioxin [Y44]
C51 Hydrocarbons and their oxygen, nitrogen and/or sulphur compounds not otherwise taken into account in Table 4
# TABLE 5

**LIST OF HAZARDOUS CHARACTERISTICS**

(revised May 1994)

<table>
<thead>
<tr>
<th>Code Number</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>H1</td>
<td><strong>Explosive.</strong> An explosive substance or waste is a solid or liquid substance or waste (or mixture of substances or wastes) which is in itself capable by chemical reaction of producing gas at such a temperature and pressure and at such a speed as to cause damage to the surroundings.</td>
</tr>
<tr>
<td>H3</td>
<td><strong>Flammable liquids.</strong> The word &quot;flammable&quot; has the same meaning as &quot;inflammable&quot;. Flammable liquids are liquids, or mixtures of liquids, or liquids containing solids in solution or suspension (for example, paints, varnishes, lacquers, etc. but not including substances or wastes otherwise classified on account of their dangerous characteristics) which give off a flammable vapour at temperatures of not more than 60.5°C, closed-cup test, or not more than 65.6°C, open-cup test. (Since the results of open-cup tests and of closed-cup tests are not strictly comparable and even individual results by the same test are often variable, regulations varying from the above figures to make allowance for such differences would be within the spirit of this definition.)</td>
</tr>
<tr>
<td>H4.1</td>
<td><strong>Flammable Solids.</strong> Solids, or waste solids, other than those classed as explosives, which under conditions encountered in transport are readily combustible, or may cause or contribute to fire through friction.</td>
</tr>
<tr>
<td>H4.2</td>
<td><strong>Substances or Wastes Liable to Spontaneous Combustion.</strong> Substances or wastes which are liable to spontaneous heating under normal conditions encountered in transport, or to heating up in contact with air, and being liable to catch fire.</td>
</tr>
<tr>
<td>H4.3</td>
<td><strong>Substances or Wastes which, in Contact with Water Emit Flammable Gases.</strong> Substances or wastes which, by interaction with water, are liable to become spontaneously flammable or to give off flammable gases in dangerous quantities.</td>
</tr>
<tr>
<td>H5.1</td>
<td><strong>Oxidizing.</strong> Substances or wastes which, while in themselves not necessarily combustible, may, generally by yielding oxygen cause, or contribute to, the combustion of other materials.</td>
</tr>
<tr>
<td>H5.2</td>
<td><strong>Organic Peroxides.</strong> Organic substances or wastes which contain the bivalent-0-0-structure are thermally unstable substances which may undergo exothermic self-accelerating decomposition.</td>
</tr>
</tbody>
</table>

*Corresponds to hazard class numbering system included in the United Nations Recommendations on the Transport of Dangerous Goods (Orange Book) for H1 through H9; omissions of H2, H7 and H9 are deliberate.*
**H6.1** Poisonous (Acute). Substances or wastes liable either to cause death or serious injury or to harm human health if swallowed or inhaled or by skin contact.

**H6.2** Infectious substances. Substances or wastes containing viable microorganisms or their toxins which are known or suspected to cause disease in animals or humans.

**H8** Corrosives. Substances or wastes which, by chemical action, will cause severe damage when in contact with living tissue, or, in the case of leakage, will materially damage, or even destroy, other goods or the means of transport; they may also cause other hazards.

**H10** Liberation of toxic gases in contact with air or water. Substances or wastes which, by interaction with air or water, are liable to give off toxic gases in dangerous quantities.

**H11** Toxic (Delayed or chronic). Substances or wastes which, if they are inhaled or ingested or if they penetrate the skin, may involve delayed or chronic effects, including carcinogenicity.

**H12** Ecotoxic. Substances or wastes which if released present or may present immediate or delayed adverse impacts to the environment by means of bioaccumulation and/or toxic effects upon biotic systems.

**H13** Capable, by any means, after disposal, of yielding another material, e.g., leachate, which possesses any of the characteristics listed above.

The potential hazards posed by certain types of wastes are not yet fully documented; objective tests to define quantitatively these hazards do not exist. Further research is necessary in order to develop means to characterise potential hazards posed to man and/or the environment by these wastes. Standardized tests have been derived with respect to pure substances and materials. Many Member countries have developed tests which can be applied to materials destined for disposal by means of operations listed in Table 2 in order to decide if these materials exhibit any of the characteristics listed in Table 5.
### TABLE 6

**ACTIVITIES WHICH MAY GENERATE POTENTIALLY HAZARDOUS WASTES**

#### Agriculture - Farming Industry

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A100</td>
<td>Agriculture, forest management</td>
</tr>
<tr>
<td>A101</td>
<td>Cultivation</td>
</tr>
<tr>
<td>A102</td>
<td>Animal husbandry</td>
</tr>
<tr>
<td>A103</td>
<td>Forest management and forest exploitation (lumbering)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A110</td>
<td>Animal and vegetable products from the food sector</td>
</tr>
<tr>
<td>A111</td>
<td>Meat industry, slaughterhouses, butchery</td>
</tr>
<tr>
<td>A112</td>
<td>Dairy industry</td>
</tr>
<tr>
<td>A113</td>
<td>Animal and vegetable oil and grease industry</td>
</tr>
<tr>
<td>A114</td>
<td>Sugar industry</td>
</tr>
<tr>
<td>A115</td>
<td>Others</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A120</td>
<td>Drink industry</td>
</tr>
<tr>
<td>A121</td>
<td>Distillation of alcohol and spirits</td>
</tr>
<tr>
<td>A122</td>
<td>Brewing of beer</td>
</tr>
<tr>
<td>A123</td>
<td>Manufacture of other drinks</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A130</td>
<td>Manufacture of animal feed</td>
</tr>
</tbody>
</table>

#### Energy

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A150</td>
<td>Coal industry</td>
</tr>
<tr>
<td>A151</td>
<td>Production and preparation of coal and coal products</td>
</tr>
<tr>
<td>A152</td>
<td>Coking operations</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A160</td>
<td>Petroleum industry</td>
</tr>
<tr>
<td>A161</td>
<td>Extraction of petroleum and natural gas</td>
</tr>
<tr>
<td>A162</td>
<td>Petroleum refining</td>
</tr>
<tr>
<td>A163</td>
<td>Storage of petroleum and products derived from refining of natural gas</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A170</td>
<td>Production of electricity</td>
</tr>
<tr>
<td>A171</td>
<td>Central thermal facilities</td>
</tr>
<tr>
<td>A172</td>
<td>Central hydraulic facilities</td>
</tr>
<tr>
<td>A173</td>
<td>Central nuclear facilities</td>
</tr>
<tr>
<td>A174</td>
<td>Other central electricity facilities</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>A180</td>
<td>Production of water</td>
</tr>
</tbody>
</table>
Metallurgy - Mechanical and Electrical Engineering

A200 Extraction of metallic ores
A210 Ferrous metallurgy
   A211 Cast iron production (coke oven)
   A212 Raw steel production (pig iron)
   A213 Primary steel transformation (rolling mills)
A220
   A221 Production of alumina
   A222 Aluminium metallurgy
   A223 Metallurgy of lead and zinc
   A224 Metallurgy of precious metals
   A225 Metallurgy of other non-ferrous metals
   A226 Ferro-alloy industry
   A227 Manufacture of electrodes
A230 Foundry and metalworking operations
   A231 Ferrous metal foundries
   A232 Non-ferrous metal foundries
   A233 Metalworking (not including machining)
A240 Mechanical, electrical and electronic construction
   A241 Machining
   A242 Thermal treatment
   A243 Surface treatment
   A244 Application of paint
   A245 Assembly, wiring
   A246 Production of batteries and dry cells
   A247 Production of electrical wires and cables (cladding, plating, insulation)
   A248 Production of electronic components

Non-Metallic Minerals - Construction Materials - Ceramics - Glass

A260 Mining and quarrying of non-metallic minerals
A270 Construction materials, ceramics, glass
   A271 Production of lime, cement and plaster
   A272 Fabrication of ceramic products
   A273 Fabrication of products containing asbestos-cement
   A274 Production of other construction materials
   A275 Glass industry
A280 Building, building sites, landscaping
Primary Chemical Industry

A300 Production of primary chemicals and chemical feedstocks
  A301 Chlorine industry
  A351 Fertilizer fabrication
  A401 Other manufacturing generators of primary inorganic industrial chemicals
  A451 Petroleum and coal industry
  A501 Manufacture of basic plastic materials
  A551 Other primary organic chemical manufacture
  A601 Chemical treatment of fats; fabrication of basic substances for detergents
  A651 Fabrication of pharmaceuticals, pesticides, biocides, weed killers
  A669 Other manufacture of finished chemicals

Industries producing products based upon primary chemicals

A700 Production of inks, varnish, paints, glues
  A701 Production of ink
  A702 Production of paint
  A703 Production of varnish
  A704 Production of glue

A710 Fabrication of photographic products
  A711 Production of photosensitive plates
  A712 Fabrication of products for photographic treatments

A720 Perfume industry and fabrication of soap and detergent products
  A721 Fabrication of soap products
  A722 Fabrication of detergent products
  A723 Fabrication of perfume products

A730 Finished rubber and plastic materials
  A731 Rubber industry
  A732 Finished plastic materials

A740 Fabrication of products based upon asbestos

A750 Production of powders and explosives

Textiles and Leathers - Various Wood Based and Furniture Industries

A760 Textile and clothing industry
  A761 Combing and carding of textile fibres
  A762 Threading, spinning, weaving
  A763 Bleaching, dyeing, printing
  A764 Clothing manufacture

A770 Leather and hide industry
  A771 Tanneries, tanning
  A772 Fur trade
  A773 Manufacture of shoes and other leather products
A780 Wood and furniture industry
A781 Sawmills, production of wood panels
A782 Manufacture of wood and furniture products

A790 Various related industries

**Paper - Cardboard - Printing**

A800 Paper and cardboard industry
A801 Fabrication of paper pulp
A802 Manufacture of paper and cardboard
A803 Finished goods of paper and cardboard

A810 Printing, publishing, photographic laboratories
A811 Printing, publishing
A812 Photographic laboratories

**Commercial Services**

A820 Laundries, bleaching services, dyers

A830 Business enterprise

A840 Transport, automobile dealers and repair facilities
A841 Automobile dealers and automobile repair facilities
A842 Transportation

A850 Hotels, cafés, restaurants

**General Services**

A860 Health
A861 Health (Hospitals, medical centres, nursing homes, laboratories)

A870 Research
A871 Research including research laboratories

A880 Administrative activities, offices
### Households

A890  Households

### Pollution Control - Waste Disposal

A900  Cleaning and maintenance of public areas
A910  Urban water treatment facilities
A920  Urban waste treatment
A930  Treatment of industrial effluents and wastes
   A931  Incineration
   A932  Physico-chemical treatment
   A933  Biological treatment
   A934  Solidification of wastes
   A935  Collection and/or pretreatment of wastes
   A936  Landbased disposal above, on or below the surface

### Regeneration - Recovery

A940  Regeneration activities
A941  Regeneration of oils
A942  Regeneration of solvents
A943  Regeneration of ion exchange resins
A950  Recovery activities
ANNEX C

OECD Transfrontier Movement of Waste Document
- The Notification and Movement/Tracking Forms -
**TRANSPORT MOVEMENT OF WASTE – Notification Form**

1. Notifier/exporter (name, address) and registration No where applicable:

<table>
<thead>
<tr>
<th>Tel.</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Consignee (name, address) and registration No where applicable:

<table>
<thead>
<tr>
<th>Tel.</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3. Notification concerning (1):

<table>
<thead>
<tr>
<th>N°</th>
</tr>
</thead>
<tbody>
<tr>
<td>A (i) Single movement (multiple movements)</td>
</tr>
<tr>
<td>B (i) Disposal (no recovery)</td>
</tr>
<tr>
<td>C (i) Pre-authorized recovery facility</td>
</tr>
<tr>
<td>yes</td>
</tr>
<tr>
<td>no</td>
</tr>
</tbody>
</table>

   *(Only to be completed if B (i) applies)*

4. Total intended number of shipments

<table>
<thead>
<tr>
<th>Kg</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

5. Total intended quantity

<table>
<thead>
<tr>
<th>liters</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

6. First shipment not before:

<table>
<thead>
<tr>
<th>Departure of last shipment not later:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

7. Intended carrier(s) (name, address) and registration No where applicable:

<table>
<thead>
<tr>
<th>Tel.</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8. Disposal/recovery facility (name, location, address):

<table>
<thead>
<tr>
<th>Tel.</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9. Waste generator/producer (name and address):

<table>
<thead>
<tr>
<th>Tel.</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

10. Process and location of generation:

    * (attach details if necessary)

11. Model(s) of transport (2): 12. Packaging type(s) (2):

13. Name and chemical composition of the waste:

14. Physical characteristics (2):

15. Waste identification code

   - in country of export/dispatch:
   - in country of import/destination:

   International Waste Identification Code (IWIC):

   European Waste Catalogue (EWC):

   Other (specify):

16. OECD classification:

<table>
<thead>
<tr>
<th>amber</th>
<th>red</th>
<th>number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

17. UN classification number:

<table>
<thead>
<tr>
<th>UN class (2):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

18. UN identification number: and proper shipping name:

19. Conveyed country:

<table>
<thead>
<tr>
<th>Country of export/dispatch</th>
<th>Transit countries</th>
<th>Country of import/destination</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

20. Customs offices of entry and/or departure (European Community):

<table>
<thead>
<tr>
<th>Entry:</th>
<th>Departure:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

21. Customs offices of entry and/or departure (European Community):

22. Number of annexe(s) attached

23. Notifier/exporter’s declaration. I certify that the above information is complete and correct to the best of my knowledge. I also certify that legally-enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantees are or shall be in force covering the transfrontier movement.

<table>
<thead>
<tr>
<th>Name:</th>
<th>Signature:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

24. TO BE COMPLETED BY COMPETENT AUTHORITY OF COUNTRY OF IMPORT/DESTINATION

<table>
<thead>
<tr>
<th>Notification received</th>
<th>Acknowledgment sent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of competent authority, stamp and/or signature</td>
<td></td>
</tr>
</tbody>
</table>

25. CONSENT TO THE MOVEMENT PROVIDED BY COMPETENT AUTHORITY of (name of country) on:

   |Name of competent authority, stamp and/or signature|

<table>
<thead>
<tr>
<th>Consent expires (1)</th>
<th>yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specific conditions</td>
<td>(2)</td>
</tr>
</tbody>
</table>

   *(Not required for amber list wastes under OECD Decision)*

---

(1) Enter X in appropriate box(es)  (2) See codes on the reverse

98
List of abbreviations used in the notification form

DISPOSAL / RECOVERY OPERATIONS (Block 9)

**DISPOSAL (NO RECOVERY)**

D1 Deposit into or onto land, (e.g., landfills, etc.)
D2 Land treatment, (e.g., biodegradation or sludge discards in soils, etc.)
D3 Deep injection, (e.g., injection of flammable discards into wells, salt domes or naturally occurring reservoirs, etc.)
D4 Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)
D5 Specially engineered landfills, (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 numbered D1 to D12
D9 Physical-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 numbered D1 to D12 (e.g., evaporation, drying, carbonization, 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 numbered D1 to D12
D14 Repackaging prior to submission to any of the operations numbered D1 to D12
D15 Storage pending any of the operations numbered D1 to D12

**RECOVERY OPERATIONS**

R1 Use as a fuel (other than in direct incineration) or other means to generate energy
R2 Solvent rectification/ regeneration
R3 Recycling/reclamation of organic substances which are not used as solvents
R4 Recycling/reclamation of metal and metal compounds
R5 Recycling/reclamation of other inorganic materials
R6 Refinement 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 reuse 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 to R10
R12 Exchange of wastes for submission to any of the operations numbered R1 to R11
R13 Accumulation of material intended for any operation numbered R1 to R12

**NOTE:** Disposal ("D") operations are not relevant to the OECD Control System.

<table>
<thead>
<tr>
<th>MODES OF TRANSPORT (Block 11)</th>
<th>PACKAGING TYPES (Block 12)</th>
</tr>
</thead>
<tbody>
<tr>
<td>R = Road</td>
<td>1. Drum</td>
</tr>
<tr>
<td>T = Trail/Rail</td>
<td>2. Wooden case</td>
</tr>
<tr>
<td>S = Sea</td>
<td>3. Jarred</td>
</tr>
<tr>
<td>A = Air</td>
<td>4. Box</td>
</tr>
<tr>
<td>W = Inland Waterways</td>
<td>5. Composite packaging</td>
</tr>
<tr>
<td></td>
<td>6. Pressure receptacle</td>
</tr>
<tr>
<td></td>
<td>7. Bulk</td>
</tr>
<tr>
<td></td>
<td>8. Other (specify)</td>
</tr>
</tbody>
</table>

**PHYSICAL CHARACTERISTICS (Block 14)**

1. Powder/powder
2. Solid
3. Viscous/paste
4. Sludgy
5. Liquid
6. Gasous
7. Other (specify)

**H NUMBER AND UN CLASS (Blocks 18 and 19)**

<table>
<thead>
<tr>
<th>UN Class</th>
<th>H number</th>
<th>Designation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>H1</td>
<td>Explosive</td>
</tr>
<tr>
<td>3</td>
<td>H3</td>
<td>Inflammable liquids</td>
</tr>
<tr>
<td>4.1</td>
<td>H4.1</td>
<td>Inflammable solids</td>
</tr>
<tr>
<td>4.4</td>
<td>H4.2</td>
<td>Substances or wastes liable to spontaneous combustion</td>
</tr>
<tr>
<td>4.3</td>
<td>H4.3</td>
<td>Substances or wastes which, in contact with water, emit inflammable gases</td>
</tr>
<tr>
<td>5.1</td>
<td>H5.1</td>
<td>Corrosive</td>
</tr>
<tr>
<td>5.2</td>
<td>H5.2</td>
<td>Organic peroxides</td>
</tr>
<tr>
<td>6.1</td>
<td>H6.1</td>
<td>Poisonous (acute)</td>
</tr>
<tr>
<td>6.2</td>
<td>H6.2</td>
<td>Toxic substances</td>
</tr>
<tr>
<td>6</td>
<td>H6</td>
<td>Corrosives</td>
</tr>
<tr>
<td>9</td>
<td>H10</td>
<td>Incompatible with toxic gases in contact with air or water</td>
</tr>
<tr>
<td>9</td>
<td>H11</td>
<td>Toxic (delayed or chronic)</td>
</tr>
<tr>
<td>9</td>
<td>H12</td>
<td>Ecotoxic</td>
</tr>
<tr>
<td>9</td>
<td>H13</td>
<td>Capable, by any means, after disposal, of yielding another material, e.g., leachate, which possesses any of the characteristics listed above</td>
</tr>
</tbody>
</table>

**OECD COUNTRY CODES (Block 29)**

- **Australia:** AU
- **Austria:** AT
- **Belgium:** BE
- **Canada:** CA
- **Denmark:** DK
- **Finland:** FI
- **France:** FR
- **Germany:** DE
- **Greece:** GR
- **Iceland:** IS
- **Ireland:** IE
- **Italy:** IT
- **Japan:** JP
- **Luxembourg:** LU
- **Netherlands:** NL
- **New Zealand:** NZ
- **Norway:** NO
- **Portugal:** PT
- **Sweden:** SE
- **Switzerland:** CH
- **Turkey:** TR
- **United Kingdom:** GB
- **United States:** US

**For other countries ISO Standard 3166 abbreviations shall be used.**

28. **SPECIFIC CONDITIONS ON CONSENTING TO THE MOVEMENT**

The International Waste Identification Code (IWIC - Block 10), the OECD Classification Lists of Wastes Destined for Recovery Operations (Amber, Red - Block 10) and the Categories of Wastes Subject to Control (Table Y - Block 17), as well as more detailed instructions can be found in a Guidance Manual available from OECD.
1. Notifyee/Exporter (name, address) and registration N° where applicable:

Tel.: 
Fax: 

Contact person: 

2. Consignee (name, address) and registration N° where applicable:

Tel.: 
Fax: 

Contact person: 

3. Corresponding to Notification N°:

Tel.: 
Fax: 

Registration N° where applicable: 

and limit of validity: 

Contact person: 

4. Swa number of shipment:

Tel.: 
Fax: 

8. Disposal/Recovery facility (name, location, address):

Tel.: 
Fax: 

Registration N° where applicable: 

5. 1st Carrier (name, address)

Registration N°: 

(where applicable)

Tel.: 
Fax: 

Date of transfer:

Signature of Carrier's Representative:

6. 2nd Carrier (3) (name, address):

Registration N°: 

(where applicable)

Tel.: 
Fax: 

Date of transfer:

Signature of Carrier's Representative:

7. Last Carrier (name, address):

Registration N°: 

(where applicable)

Tel.: 
Fax: 

Date of transfer:

Signature of Carrier's Representative:

10. Identity of means of transport:

Identity of means of transport:

Date of transfer:

Signature of Carrier's Representative:

11. Identity of means of transport:

Date of transfer:

Signature of Carrier's Representative:

12. Identity of means of transport:

Date of transfer:

Signature of Carrier's Representative:

13. Name and chemical composition of the waste:

14. Physical characteristics (2):

15. Waste identification code

- in country of export/dispatch: 

- in country of import/destination: 

International Waste Identification Codes (IWIC):

European Waste Catalogue (EWC):

Other (specify):

16. OECD classification (1): 
ember red

other* 

and number: 

17. Actual quantity

Kg

Others

18. Number of packages:

19. UN identification number: 

UN class (2): 

and proper shipping name:

20. Special handling instructions:

22. Notifyee/Exporter's declaration: I certify that the information in blocks 1 to 9 and 12 to 21 above is complete and correct to the best of my knowledge. I also certify that legally-enforceable written contractual obligations have been entered into, that any applicable insurance or other financial guarantees are in force covering the transfrontier movement, and that:

(i) all necessary consents have been received; or

(ii) the shipment is destined at a recovery facility within the OECD area and no objection has been received from any of the concerned countries within the 30 day tacit consent period; or

(iii) the shipment is destined at a recovery facility pre-authorized for that type of waste within the OECD area; such an authorization has been revoked, and no objection has been received from any of the concerned countries.

Name: 

Signature:

21. Actual date of shipment:

* (delete sentence not applicable)

23. Shipment received by consignee on:

Quantity received: 
Kg

litters

Date: 

Name:

Signature: 

* (immediately contact competent authorities)

24. Shipment received at disposal/recovery facility on:

Quantity received: 
Kg

litters

Date: 

Name:

Signature: 

Disposal/recovery to be completed by:

Method of disposal/recovery:

* (immediately contact competent authorities)

25. I certify that the disposal/recovery of the waste described above has been completed:

Date: 

Name: 

Signature: 

* (foot required by OECD control system)

(1) Enter X in appropriate boxes. 

(2) See codes on the reverse. 

(3) If more than three carriers, attach information as required by blocks 5 and 11.
List of abbreviations used in the movement/tracking form

DISPOSAL / RECOVERY OPERATIONS (Block 9)

DISPOSAL (NO RECOVERY)

D1 Deposit into or onto land, (e.g., landfill, etc.)
D2 Land treatment, (e.g., biodegradation of liquid or sludge discards in soils, etc.)
D3 Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring reservoirs, 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 numbered D1 to D12 (e.g., evaporation, drying, calcination, etc.)
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 numbered D1 to D12
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 numbered D1 to D12
D14 Repackaging prior to submission to any of the operations numbered D1 to D12
D15 Storage pending any of the operations numbered D1 to D12

NOTE: Disposal ("D") operations are not relevant to the OECD Control System

RECOVERY OPERATIONS

R1 Use as a fuel (other than in direct incineration) or other means to generate energy
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 to R10
R12 Exchange of wastes for submission to any of the operations numbered R1 to R11
R13 Accumulation of material intended for any operation numbered R1 to R12

PHYSICAL CHARACTERISTICS (Block 14)

1. Powdery/powder
2. Solid
3. Viscous/paste
4. Slurry
5. Liquid
6. Gasous
7. Other (specify)

OECD COUNTRY CODES (Blocks 26-27-28):

Australia: AU
Austria: AT
Belgium: BE
Canada: CA
Denmark: DK
Finland: FI
France: FR
Germany: DE
Greece: GR
Iceland: IS
Ireland: IE
Italy: IT
Netherlands: NL
New Zealand: NZ
Norway: NO
Portugal: PT
Spaine: ES
Sweden: SE
Switzerland: CH
Turkey: TR
United Kingdom: GB
United States: US

For other countries ISO Standard 3166 abbreviations shall be used.

FOR USE OF CUSTOMS OFFICES*

26. COUNTRY OF EXPORT/DISPATCH OR (FOR EC) CUSTOMS OFFICE OF EXIT

The waste described on the form has left the country/Community on:
Stemp:

Signature:

27. STAMPS OF CUSTOM OFFICES OF TRANSIT COUNTRIES

Name of country (2):

Entry | Departure

Name of country (2):

Entry | Departure

28. COUNTRY OF IMPORT/DESTINATION

The waste described on the form has entered the country on:
Stemp:

Signature:

29. COUNTRY OF IMPORT/DESTINATION

Name of country (2):

Entry | Departure

Name of country (2):

Entry | Departure

(2) See country codes above. * Not required by OECD control system

THE INTERNATIONAL WASTE IDENTIFICATION CODE (IWIC - BLOCK 15), THE OECD CLASSIFICATION LISTS OF WASTES DESTINED FOR RECOVERY OPERATIONS (AMBER, RED - BLOCK 16) AND THE CATEGORIES OF WASTES SUBJECT TO CONTROL, AS WELL AS MORE DETAILED INSTRUCTIONS CAN BE FOUND IN A GUIDANCE MANUAL AVAILABLE FROM OECD.

101
ANNEX D

Instructions for Filling Out the Notification and Movement/Tracking Forms
INSTRUCTIONS FOR COMPLETING THE DOCUMENT FOR TRANSFRONTIER MOVEMENT OF WASTES

Introduction

Three International Agreements have been concluded to effect control over the movement of wastes between countries. These have been made under a European Community (EC) Regulation¹, an OECD Council Decision² and the UNEP Basel Convention³. The EC Regulation and the Basel Convention are concerned with all international movements of waste, whereas the OECD Decision is concerned only with the movement of wastes destined for recovery operations at authorized facilities within the OECD area. Administrative controls are required to be exercised over the operation of all the agreements. The Document for Transfrontier Movement of Wastes, described here, comprises a Notification Form and a Movement/tracking Form. The Document has been designed to be compatible with the above mentioned Agreements. Consequently, not all blocks are necessarily applicable nor need to be completed and, in some cases the same entity may have more than one description in the document*. It is also possible that national legislation may use different words in its interpretation of the text of the Agreements.

National competent authorities will be responsible for providing and issuing the Notification and Movement/tracking Forms. When doing so they will use a numbering system which allows a particular consignment of waste to be traced. The numbering system should be prefixed with the OECD country code given on the reverse of the Notification and Movement/tracking forms, (for other countries the ISO Standard 3166 abbreviations should be used).

It is recognised that countries may wish to issue the forms in a format which satisfies their national standards (normally ISO A4 as recommended by the United Nations). However, to facilitate their use internationally 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 occupy an area not greater than 183 x 262 mm. with margins aligned at the top and the left of the paper.

The Notification and Movement/Tracking Forms

The Document for Transfrontier Movement of Waste consists of two forms: the Notification Form and the Movement/tracking Form.

The Notification Form is intended to provide the Competent Authorities of concerned countries with the information they need to assess the acceptability of the proposed waste movement. The Form includes space for acknowledging receipt of the notification by the country of import/destination and, when required, consent to the movement.

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*In the Notification form, for example, Blocks 16 and 21 are surrounded by bolded lines to indicate that they refer only to the OECD Decision and/or the EC Regulation, but not the Basel Convention.
The Movement/tracking Form is intended to travel with the consignment at all times from leaving the waste generator/producer to its arrival at the disposal/recovery facility in another country. Space is provided on the Form for completing details of the first and any subsequent carriers of the consignment. Also, there are spaces to record passage of the consignment through Customs offices of all concerned countries. (While not strictly required by the International Agreements some countries may by national legislation require such procedures and information to ensure proper control). Finally, the Form is to be used by the disposal/recovery facility to certify that the consignment has been received, and give other details.

Circulation of the Document

1. Notification Form

Each Notification Form issued by a Competent Authority will have been given a code and number which is unique to the proposed movement of waste. On completion of Blocks 1 - 23 of the Notification Form, the Notifier/exporter of the waste needs to make photocopies each of which must be signed individually. Three signed copies [one for acknowledgement, one for consent (if applicable), one for filing] are then sent to the Competent Authority in the country of import/destination. At the same time, two signed copies [one for consent (if applicable), one for filing] are sent to the Competent Authority in the country of export/dispatch and any country of transit. Note that the competent authority in the country of export may, in accord with its national laws and regulations, decide to transmit the Notification Form in lieu of the Notifier/Exporter.

In instances where the Notification Form has not been duly completed, the Competent Authority should return the form to the Notifier/exporter within three working days of its receipt and ask that the missing information be provided. It will then be the responsibility of the Notifier/exporter to submit the required information to all concerned Competent Authorities.

Within three working days of its receipt the Competent Authority in the country of import/destination fills in Block 24 of the completed Form. It keeps one copy for its files, and returns one copy to the Notifier/exporter (with copies to Competent Authorities of other concerned countries), to acknowledge receipt of the duly completed notification. The third copy will be used to provide written consent (by completing Block 25) when such consent is required, or where the movement is subject to the tacit consent procedure but the Competent Authority decides to give its consent before the 30-day period has elapsed.

The Competent Authority in the country of export/dispatch and any country of transit keeps one copy of the Notification Form for its files and uses the second copy to provide written consent, when required or appropriate, by completing Block 25.

Objection to the movement may be made by a Competent Authority in a concerned country by writing "OBJECTION" in Block 25 of the Notification Form. The objecting country then returns the form to the Notifier and sends copies to Competent Authorities in other concerned countries. Block 26 on the back of the Notification Form or an annexed letter can be used to give explanations regarding the objection.

Written consent or objection (duly signed with original signatures) may be provided and dispatched direct by mail or telefax followed by mail.
2. Movement/Tracking Form

A Movement/tracking Form must accompany each consignment of waste at all times. For multi-consignments of waste under the same general notification a separate Movement/tracking Form will be required for each consignment. At the time of shipment the Notifier/exporter completes a Movement/tracking Form, (Blocks 1 through 9 and 13 through 22). The first Carrier completes Block 10 of the Form. A copy is left with the Notifier/exporter for filing and the original accompanies the waste.

Where successive carriers are used for any part of the journey, details and signature of the new Carrier(s) and means of transport need to be entered in Block 11 or Block 12 as appropriate at the time of transfer. A copy of the Form so completed is left with the previous carrier. If more than three carriers are involved in a particular movement, an attachment giving the appropriate information shall be annexed to the form.

Space is provided on the back of the Movement/tracking Form, at Blocks 26, 27 and 28, for the Customs Offices of those countries for which it is required to indicate the passage of the waste across national borders.

When the waste has been received by the disposal/recovery facility an authorised representative of the facility completes Block 24 of the Movement/tracking Form and gives a copy of the Form so completed to the last Carrier. Within three working days of receiving the waste at the disposal/recovery facility, a signed copy of the Movement/tracking Form with Block 24 fully completed shall be sent to the Notifier/exporter and the Competent Authorities of the concerned countries.

When the waste is not consigned to a disposal/recovery facility, but is being accumulated for subsequent disposal/recovery elsewhere, the Consignee shall complete Block 23, give a copy to the last carrier and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. When, subsequently, the waste is sent for disposal/recovery an authorised representative of the facility on receiving the waste will complete Block 24 in each Movement/tracking form accompanying the waste and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. Block 25 is available to certify that disposal/recovery has been completed, when such certification is required.

3. Specific National Requirements

The Movement/tracking Form is designed in order to provide all necessary details to follow the waste during its journey. In Block 22, the Notifier/exporter certifies either, that all necessary consents have been received (written consent), or no objection has been lodged by any of the concerned countries (tacit consent), or no consent was required (movement to a pre-authorised recovery facility).

However, for control purposes, some countries may require that the consignment be accompanied at all times by evidence that the transfrontier movement is authorized. In this case, the Carrier must possess the Notification Form (or a copy of it) with Block 24 completed (tacit consent after 30 days of the date of acknowledgement) or Blocks 24 and 25 completed (written consent). When one or several transit countries have also provided a written consent, the respective completed Notification Forms (or copies of them) also must accompany the consignment if so required.
In the case of general notification covering multiple movements when a country requires that the original of the Notification Form as completed by the Competent Authorities must accompany each consignment, the Notifier/exporter will have to obtain from concerned Competent Authorities as many completed copies of the Notification Forms as intended shipments.

**General Requirements**

Typescript or block capitals in permanent ink should be used throughout when providing the information required in the Document. Signatures always should be written in permanent ink.

The Document has been designed so that whenever possible a code is used in its completion rather than language, thus avoiding the complication of translation. However, where language is used it must be acceptable to the Competent Authorities in the country of import/destination in particular, and other concerned countries.

A six digit format should be used to indicate the date, e.g. January 29 1995 should be shown as 29:01:95.

**Specific Instructions for Entries on the Notification Form**

**Blocks 1, 2 & 7:** The Notifier/exporter will provide the full name, address, registration number (where appropriate) and telephone/facsimile number of each company concerned with the proposed movement, including a named person who can be contacted at any time in relation to any incident during transport of the consignment. Normally, the Consignee would be the Disposal/Recovery facility given in Block 8. Where this is not so, for example where operation R12 (exchange of wastes for submission to any of the operations R1 - R11), or R13 (accumulation of material intended for any operation R1 - R12) are involved, both Blocks 2 and 8 need to be completed. Note that the storage of wastes under operations R12 or R13 can take place only at premises authorised specifically for that purpose under national legislation. If in Block 7 more than one carrier is involved enter the words "See attached list" and append a list giving the information required for each carrier.

**Block 3:** A Competent Authority when issuing a notification document will provide a number according to its own system (this number will be printed on the form). Indicate the operation (disposal/recovery), whether the notification is intended to cover one or several shipments (general notification), and whether the consignment(s) is(are) destined to a facility which has been granted general pre-consent concerning the reception of certain Amber Tier wastes (pre-authorized facility), by marking the appropriate boxes. If appropriate, i.e. under the Basel Convention, reasons for export of the waste shall be given on an attached note.

**Blocks 4, 5 & 6:** For notification of a single consignment write "one" in Block 4 and give the intended date of its movement in Block 6. In Block 5 give the weight (in kg), or volume (in litres) of the consignment. Some countries may always require weight in kg, to be quoted. For multiple consignments the total quantity shipped must not exceed the quantity declared in Block 5. A consented Notification expires at the end of one year and intended dates of shipping consignments may not coincide with the period of consent granted by the competent authority. For multiple shipments the Basel Convention requires the approximate frequency and quantity in each shipment to be quoted.
Block 8: Give the required information on the disposal/recovery facility. If the disposer/recoverer is the consignee, write "Same as Block 2". Enter the registration number of the facility where one has been ascribed by the Competent Authority. Give the date when its authorization to operate ceases as the "limit of validity".

Block 9: Give the appropriate "R" or "D" code and number (see reverse of Form), and the technology to be employed. Only transfrontier movements of wastes for recovery destined to facilities specifying "R" Codes within the OECD area can be allowed under the OECD System. Include here additional information regarding the disposal/recovery operation, as appropriate, as required by some countries and especially the EC Regulation.

Block 10: Provide information required on the generator/producer of the waste where deemed necessary. While this information is not required for wastes destined for recovery under the OECD system, many countries may require it under their national legislation. If the Notifier/exporter is the generator/producer write in the Block "Same as Block 1". When the waste is produced by more than one generator enter the words "See attached list" and append a list providing the information required for each generator/producer. Some countries may accept that information concerning the generator/producer is given in a separate Annex which would be available to competent authorities only. Information on the processes which produced the waste and the location of their generation is not required under the OECD System.

Block 11: Give mode(s) of transport to be used (see reverse of Form for codes).

Block 12: Give type(s) of packaging to be used (see reverse of Form for codes).

Block 13: Give the names by which the material is commonly known, the chemical names of constituents and their concentration.

Block 14: Indicate physical characteristics of the waste at normal temperature and pressure (see reverse of form for codes)

Block 15: Give the waste identification code by which the material is designated in the country of export/dispatch and, if known, in the country of import/destination. Give the designation of the waste according to an accepted uniform classification code such as the International Waste Identification Code (IWIC), the European Waste Catalogue (EWC) code, or any other code (to be specified). The OECD International Waste Identification Code (IWIC) is defined by OECD Council Decision C(88)90 (see Annex B).

Block 16: Refers only to wastes going to recovery facilities under the OECD system. Put an "X" in the respective box if an "amber" or "red" listed waste is involved and give the OECD code for the waste involved. Put an "X" in the "other" box when the waste for recovery does not appear on any OECD list, or when a listed waste is controlled by one of the concerned countries differently than provided for in the OECD Decision. In this case full details must be provided. The OECD lists are reproduced in Annex A.

Block 17: The numbers prefixed by "Y" accord with "categories of wastes to be controlled" given in Annexes I and II of the Basel Convention. "Y" numbers are not required by the OECD System.

Block 18: The numbers prefixed by "H" correspond to the list of hazardous characteristics given in Annex III of the Basel Convention. "H" numbers are not required by the OECD System.
Block 19: The UN classes, UN identification numbers (i.e. 4 digit numbers) and UN proper shipping names are given in the UN Recommendations on the Transport of Dangerous Goods. While these are not required specifically by the OECD Decision, the UN Recommendations provide conditions under which dangerous goods are suitable for transportation internationally.

Block 20: Give the country code for each country through which the consignment will be transported (see reverse of Form for country codes). Give 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. Give the code number of the respective Competent Authority in the country of export/dispatch, import/destination and any country of transit. (*)

If more than three transit countries are involved in a particular movement, an attachment containing the appropriate information shall be annexed to the form.

Block 21: Completion required for consignments entering, passing through or leaving Member States of the European Community.

Block 22: Annexes refer to lists attached (e.g. Blocks 7, 9, 10 and 16) and any supplementary information supplied with the Notification Form. It is essential that each Annex is headed by the reference number of the Notification Form to which it relates.

Block 23: Each copy of the Notification Form is to be signed and dated by the Notifier/exporter before being forwarded to the Competent Authorities of concerned countries. The name of the authorized representative of the Notifier/exporter should also appear in capital letters to accompany the signature. Some countries may require proof of insurance, other financial guarantees and a contract to accompany the Notification Form (information always required by Basel Convention).

Block 24: For use by Competent Authority in the country of import/destination to acknowledge receipt of the Notification Form.

Block 25: For use by Competent Authorities of any concerned country when providing written consent to a transfrontier movement of waste. Indicate the name of the country (see reverse of Form for country codes), the date at which the consent is provided and the date at which it expires. If the movement is subject to specific conditions, place an "X" in the appropriate box and complete Block 26 on the reverse of the Form.

If a Competent Authority wishes to object to the movement it should do so by writing "OBJECTION" in Block 25. Block 26, or a separate letter, may then be used to explain the objection.

Block 26: This Block, on the reverse of the Notification Form, can be used by the Competent Authorities, instead of a separate letter, when providing specific conditions to their written consent to the movement or to explain their objection to the movement.

(*) See Annex F.
Specific Instructions for Entries on the Movement/Tracking Form

Blocks 1, 2, 8, 9: Reproduce the same information as given for corresponding Blocks in the Notification Form. When the Notifier/exporter is not the shipper of the waste (i.e. those who physically undertake the shipment), give details of the Notifier/exporter in Block 1 and on a separate sheet of paper give the required information on the shipper.

Block 3: Enter the Notification N° to which the particular consignment refers. This is copied from Block 3 of the Notification Form.

Block 4: For multiple movements enter the serial number of the shipment in relation to the total intended number of shipments shown at Block 4 on the Notification Form, for example, 4/11 for the fourth shipment of eleven intended shipments under a general notification.

Blocks 5, 6, 7: Enter the name, address, registration number (where applicable), and telephone/facsimile number(s) of each actual carrier. Where more than three carriers are involved appropriate information on each should be appended to the Form.

Block 10: The identity (licence, registered name or registration number) of the means of transport being used, the date of transfer and a signature is to be provided by the Carrier’s Representative taking possession of the consignment. A copy of the signed Form is to be retained by the Notifier/exporter.

Blocks 11, 12: At each successive transfer of the consignment to another carrier, the name and address, identity (licence, registered name or registration number) of means of transport being used, the date of transfer, and signature of the representative of the new carrier is to be provided on taking possession of the consignment. A copy of the signed Form is to be retained by the previous Carrier.

Blocks 13, 14, 15, 16, 19: Reproduce the information given at corresponding Blocks in the Notification Form.

Block 17: Enter the actual weight (in kg) or the actual volume in (litres) of the consignment being transported and wherever possible attach copies of weighbridge tickets. Some countries may always require the weight to be given.

Block 18: Enter the number of packages making up the consignment.

Block 20: Indicate any special precautions concerning the consignment, e.g., producers handling instructions for employees, health and safety information, including dealing with spillages, Transport Emergency Cards, etc. Annexes should be used if necessary.

Block 21: Enter the date the consignment begins to be transported to the consignee.

Block 22: Enter at the time of shipment, the appropriate certification, name and signature of the authorized representative of the Notifier/exporter, and the date.
**Block 23:** To be completed by the Consignee on receipt of a shipment of waste to be stored pending its transfer to a disposal/recovery facility. A signed copy of the Movement/tracking form is given to the last carrier. If the shipment is rejected, for any reason, the Consignee must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier/exporter and the competent authority in all concerned countries. The original of the Movement/tracking Form is to be kept and shall accompany the waste when it is sent to the disposal/recovery facility.

**Block 24:** To be completed by the authorised representative of the disposal/recovery facility on receipt of a transfrontier consignment of waste. A signed copy of the Movement/tracking Form is given to the last carrier. If the shipment is rejected, for any reason, the representative of the disposal/recovery facility must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier and the Competent Authority in concerned countries. The section "Disposal/recovery to be completed by" is not required by the OECD System.

**Block 25:** Not required by the OECD System. Under EC Regulation copies of the Form with Block 25 completed are to be sent to the Notifier/exporter and Competent Authorities in concerned countries within 180 days certifying completion of disposal/recovery of the waste.

**Block 26, 27, 28:** Not specifically required by the OECD System. These are for control by Customs offices at the borders of country of export/dispatch, transit and import/destination. The customs office at the border where waste exits the European Community must send a copy of the Movement/Tracking Form to the Competent Authority which issued the authorization for export.
NOTES

1. The European Community (EC) Regulations refers to Regulation N° 259/93 entitled Regulation on the Supervision and Control of Shipments of Waste within, into and out of the European Community, OJ N° L30, 6.2 1993, COMMISSION OF THE EUROPEAN COMMUNITY.


4. Some countries allow the use of a single Notification Form to cover a number of wastes. The common names, identification codes, classification numbers, UN numbers and proper shipping names of these wastes may be somewhat different, however. In this case, write "see Annex" in the appropriate Blocks and provide the required information on a separate sheet of paper.

5. See Annex B for corresponding lists in OECD Council Decision C(88)90(Final).


7. In case a number of different wastes were covered by the same Notification Form (see Note 4 above), these Blocks must contain details of the particular waste being transported.
ANNEX E

Guidelines for the Preparation of Contracts
6. **TITLE**

Specify the conditions for transfer of ownership and of liability, clearly defining the areas covered, e.g. loss, theft, damage (clarify what is meant by "damage").

7. **INSPECTION AND ACCEPTANCE**

Specify which party shall be responsible for ensuring the inspection, sampling, and analysis, as well as the procedures to follow in case of non-conformity of the sample and/or rejection of the shipment. Specify, which party shall bear the cost of each of these items. Specify alternative management and chain of responsible parties, in cases where Company B cannot accept the waste.

8. **REPRESENTATIONS AND WARRANTS OF COMPANY A AND/OR B**

Specify the representations and warrants of each company, e.g. concerning the competence of each party and their license/authorization to operate.

9. **LIABILITY**

Clearly delineate the responsibility for third party property damage and any other specific damages (e.g. trading loss, loss of profit, etc.)

10. **INSURANCE**

Specify that the companies carry the insurance required by law, or other insurance mutually agreed upon.

11. **LAW AND ARBITRATION**

Specify the procedures and time frame to be followed in the event of a dispute arising from the contract (e.g. agreement to pursue a non-legal resolution to the dispute or to refer the dispute to an arbitration tribunal such as the ICC Court of Arbitration).

**NOTE:** The following section should be separated from the standard terms and conditions of the contract before the latter can become a public document.

12. **FINANCIAL ARRANGEMENTS**

Specify the compensation.

Specify the terms and conditions for adjustment of the compensation.