

# **DECISION OF THE COUNCIL C(2001)107/FINAL ON THE CONTROL OF TRANSBOUNDARY MOVEMENTS OF WASTES DESTINED FOR RECOVERY OPERATIONS<sup>1</sup>**

## **THE COUNCIL,**

1. Having regard to Article 5a) of the Convention on the Organisation for Economic Co-operation and Development of 14 December 1960;
2. Having regard to the Decision of the Council of 30 March 1992 concerning the control of transfrontier movements of wastes destined for recovery operations C(92)39/FINAL, as amended, which establishes an operational control system for transboundary movements of wastes destined for recovery operations;
3. Having regard to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, which entered into force on 5 May 1992, as amended on 6 November 1998 with Annexes VIII and IX listing respectively wastes characterised as hazardous pursuant to Article 1(1)(a) of the Convention and wastes not covered by Article 1(1)(a) of the Convention;
4. Noting that most OECD Member countries (hereafter Member countries) and the European Community have become Parties to the Basel Convention;
5. Noting that Member countries agreed at the Working Group on Waste Management Policy (WGWMP) meeting in Vienna in October 1998 to further harmonisation of procedures and requirements of OECD Decision C(92)39/FINAL with those of the Basel Convention;
6. Noting that recovery of valuable materials and energy from wastes is an integral part of the international economic system and that well established international markets exist for the collection and processing of such materials within Member countries;
7. Noting further that many industrial sectors in Member countries have already implemented waste recovery techniques in an environmentally sound and economically efficient manner, thus increasing resource efficiency and contributing to sustainable development, and convinced that further efforts to promote and facilitate waste recovery are necessary and should be encouraged;
8. Recognising that the environmentally sound and economically efficient recovery of wastes may justify transboundary movements of wastes between Member countries;
9. Recognising that the operational Control System established by Decision C(92)39/FINAL has provided a valuable framework for Member countries to control transboundary movements of wastes destined for recovery operations in an environmentally sound and economically efficient manner;
10. Desiring, therefore, to continue this agreement or arrangement under Article 11.2 of the Basel Convention;
11. Recognising that Member countries may, within their jurisdiction, impose requirements consistent with this Decision and in accordance with the rules of international law, in order to better protect human health and the environment; and
12. Recognising the need to revise Decision C(92)39/FINAL in order to improve certain elements of the Control System and to enhance harmonisation with the Basel Convention,

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<sup>1</sup> Decision of the Council C(2001)107/Final of 22. May 2001 on the Revision of Council Decision C(92)39/FINAL on the Control of Transboundary Movements of Wastes Destined for Recovery Operations, as amended  
State: 1. January 2021

On the proposal of the Environment Policy Committee:

DECIDES that the text of Decision C(92)39/FINAL is revised as follows:

#### **CHAPTER I:**

1. DECIDES that Member countries shall control transboundary movements of wastes destined for recovery operations within the OECD area in accordance with the provisions set out in Chapter II of this Decision and in the appendices to it.
2. INSTRUCTS the Environment Policy Committee in co-operation with other relevant OECD bodies, in particular the Trade Committee, to ensure that the provisions of this Control System remain compatible with the needs of Member countries to recover wastes in an environmentally sound and economically efficient manner.
3. RECOMMENDS Member countries to use for the Notification Document and Movement Document the forms contained in Appendix 8 to this Decision.
4. INSTRUCTS the Environment Policy Committee to amend the forms for the Notification Document and Movement Document as necessary.
5. INSTRUCTS the Environment Policy Committee to review the procedure for amending the waste lists under Chapter II. B, (3) at the latest seven (7) years after the adoption of the present Decision.
6. REQUESTS Member countries to provide the information that is necessary for the implementation of this Decision and is listed in Appendix 7 to this Decision.
7. REQUESTS the Secretary General to transmit this Decision to the United Nations Environment Programme and the Secretariat of the Basel Convention.

#### **CHAPTER II**

##### **A. DEFINITIONS**

For the purposes of this Decision:

1. WASTES are substances or objects, other than radioactive materials covered by other international agreements, which:
  - (i) are disposed of or are being recovered; or
  - (ii) are intended to be disposed of or recovered; or
  - (iii) are required, by the provisions of national law, to be disposed of or recovered.
2. HAZARDOUS WASTES are:
  - (i) Wastes that belong to any category contained in Appendix 1 to this Decision unless they do not possess any of the characteristics contained in Appendix 2 to this Decision; and
  - (ii) Wastes that are not covered under sub-paragraph 2.(i) but are defined as, or are considered to be, hazardous wastes by the domestic legislation of the Member country of export, import or transit. Member countries shall not be required to enforce laws other than their own.
3. DISPOSAL means any of the operations specified in Appendix 5.A to this Decision.
4. RECOVERY means any of the operations specified in Appendix 5.B to this Decision.
5. TRANSBOUNDARY MOVEMENT means any movement of wastes from an area under the national jurisdiction of a Member country to an area under the national jurisdiction of another Member country.
6. RECOVERY FACILITY means a facility which, under applicable domestic law, is operating or is authorised or permitted to operate in the country of import to receive wastes and to perform recovery operations on them.
7. COUNTRY OF EXPORT means a Member country from which a transboundary movement of wastes is planned to be initiated or is initiated.

8. COUNTRY OF IMPORT means a Member country to which a transboundary movement of wastes is planned or takes place.
9. COUNTRY OF TRANSIT means a Member country other than the country of export or import through which a transboundary movement of wastes is planned or takes place.
10. COUNTRIES CONCERNED means the countries of export and import and any country of transit, as defined above.
11. OECD AREA means all land and marine areas, under the national jurisdiction of any Member country.
12. COMPETENT AUTHORITIES means the regulatory authorities of countries concerned having jurisdiction over transboundary movements of wastes covered by this Decision.
13. PERSON means any natural or legal person.
14. EXPORTER means any person under the jurisdiction of the country of export who initiates the transboundary movement of wastes or who has, at the time the planned transboundary movement commences, possession or other forms of legal control of the wastes.
15. IMPORTER means any person under the jurisdiction of the country of import to whom possession or other form of legal control of the waste is assigned at the time the waste is received in the country of import.
16. RECOGNISED TRADER means any person under the jurisdiction of a Member country who, with appropriate authorisation of countries concerned, acts in the role of principal to purchase and subsequently sell wastes; such a person may act to arrange and facilitate transboundary movements of wastes destined for recovery operations.
17. GENERATOR means any person whose activities create wastes.
18. A MIXTURE OF WASTES means a waste that results from an intentional or unintentional mixing of two or more different wastes. A single shipment of wastes, consisting of two or more wastes, where each waste is separated, is not a mixture of wastes.

## **B. GENERAL PROVISIONS**

### **(1) Conditions**

The following conditions shall apply to transboundary movements of wastes subject to this Decision:

- (a) The wastes shall be destined for recovery operations within a recovery facility which will recover the wastes in an environmentally sound manner according to national laws, regulations and practices to which the facility is subject.
- (b) All persons involved in any contracts or arrangements for transboundary movements of wastes destined for recovery operations should have the appropriate legal status, in accordance with domestic legislation and regulations.
- (c) The transboundary movements shall be carried out under the terms of applicable international transport agreements.
- (d) Any transit of wastes through a non-member country shall be subject to international law and to all applicable national laws and regulations.

### **(2) Control Procedures**

A two-tiered system serves to delineate controls to be applied to such transboundary movements of wastes:

#### **a) Green Control Procedure:**

Wastes falling under the Green control procedure are those wastes in Appendix 3 to this Decision. This Appendix has two parts:

- Part I contains the wastes in Annex IX of the Basel Convention, some of which are subject to a note for the purposes of this Decision;

- Part II contains additional wastes that OECD Member countries agreed to be subject to the Green control procedure, in accordance with criteria referred to in Appendix 6 to this Decision.

The Green control procedure is described in Section C.

**b) Amber Control Procedure:**

Wastes falling under the Amber control procedure are those wastes in Appendix 4 to this Decision. This Appendix has two parts:

- Part I contains the wastes in Annexes II and VIII of the Basel Convention, some of which are subject to a note for the purposes of this Decision;
- Part II contains additional wastes that OECD Member countries agreed to be subject to the Amber control procedure, in accordance with criteria referred to in Appendix 6 to this Decision.

The Amber control procedure is described in Section D.

**(3) Procedure for Amendments to the Lists of Wastes in Appendices 3 and 4**

Normally, and without any other formal decision, amendments made to Annex IX under the Basel Convention will be incorporated into Part I of Appendix 3 to this Decision and amendments made to Annexes II and VIII under the Basel Convention will be incorporated into Part I of Appendix 4 to this Decision, entering into effect from the date on which the amendment to the Basel Convention (hereafter the Amendment) becomes effective for the Parties to the Convention. On that same date any relevant change will be automatically made to Part II of Appendices 3 or 4.

In exceptional cases:

- (a) A Member country that determines, in accordance with the criteria referred to in Appendix 6, that a different level of control is justified for one or more wastes covered by the Amendment, may object in writing to the OECD Secretariat within sixty (60) days following the adoption of the Amendment by the Conference of the Parties to the Basel Convention. Such an objection, which shall provide an alternative proposal for inclusion into the relevant appendix or appendices to this Decision, will be immediately disseminated by the OECD Secretariat to all Member countries.
- (b) The notification of an objection to the OECD Secretariat suspends the incorporation of the waste(s) concerned into the relevant appendix to this Decision. Pending examination of the objection by the appropriate OECD body, the waste(s) concerned shall be subject to the provisions of Section 6 (b) and 6 (c) hereunder.
- (c) The appropriate OECD body shall promptly examine the objection and the related alternative proposal and shall reach a conclusion one month before the Amendment becomes effective for the Parties to the Basel Convention.
- (d) If consensus is reached within the appropriate OECD body during that period, the relevant Appendix to this Decision will be modified as appropriate. Any modification becomes effective on the same date on which the amendment to the Basel Convention becomes effective for the Parties to the Convention.
- (e) If no consensus is reached within the appropriate OECD body during that period, the Amendment will not be applied within the OECD Control System. With respect to the waste(s) concerned, the relevant appendix to this Decision will be modified as appropriate. Each Member country retains its right to control such waste(s) in conformity with its domestic legislation and international law.

**(4) Provision for Specific National Control**

- (a) This Decision does not prejudice the right of a Member country to control, on an exceptional basis, certain wastes differently, in conformity with domestic legislation and the rules of international law, in order to protect human health and the environment.
- (b) Thus, a Member country may control wastes subject to the Green control procedure as if those wastes had been subject to the Amber control procedure.

- (c) A Member country may, in conformity with domestic legislation, legally define or consider a waste subject to the Amber control procedure as subject to the Green control procedure because it does not exhibit any of the hazardous characteristics listed in Appendix 2 of this Decision, as determined using national procedures<sup>2</sup>.
- (d) In the case of a transboundary movement of wastes where the wastes are legally defined as, or considered to be, wastes subject to the Amber control procedure only by the country of import, the requirements of section D that apply to the exporter and the country of export, shall apply mutatis mutandis to the importer and the country of import, respectively.

**(5) Information Requirements**

Any Member country exercising the right to apply a different level of control shall immediately inform the OECD secretariat citing the specific waste(s) and applicable legislative requirements.

Member countries which 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 Appendix 2 of this Decision shall also inform the OECD secretariat concerning which tests and testing procedures are being so utilised; 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. All the above information requirements are specified in Appendix 7 to this Decision.

**(6) Wastes not Listed in Appendices 3 or 4 to this Decision**

Wastes which are destined for recovery operations but have not yet been assigned to Appendices 3 or 4 of this Decision, shall be eligible for transboundary movements pursuant to this Decision subject to the following conditions:

- (a) Member countries shall identify such wastes and, if appropriate, make applications to the Technical Working Group of the Basel Convention in order to amend the relevant Annexes of the Basel Convention;
- (b) Pending assignment to a list, such wastes shall be subject to the controls required for the transboundary movements of wastes by the domestic legislation of the countries concerned in order that no country is obliged to enforce laws other than its own;
- (c) However, if such wastes exhibit a hazardous characteristic listed in Appendix 2 to this Decision as determined by using national procedures<sup>3</sup> and any applicable international agreements, such wastes shall be subject to the Amber control procedure

**(7) Generator of Mixed or Transformed Waste**

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.

**(8) Procedures for Mixtures of Wastes**

Having regard to paragraph 11 of the preamble of this Decision, a mixture of wastes, for which no individual entry exists, shall be subject to the following control procedure:

- (i) a mixture of two or more Green wastes shall be subject to the Green control procedure, provided the composition of this mixture does not impair its environmentally sound recovery;
- (ii) a mixture of a Green waste and more than a de minimis amount of an Amber waste or a mixture of two or more Amber wastes shall be subject to the Amber control procedure, provided the composition of this mixture does not impair its environmentally sound recovery.

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<sup>2</sup> In addition, certain Member countries have developed regulations used to determine whether or not wastes are controlled as hazardous wastes.

<sup>3</sup> In addition, certain Member countries have developed regulations used to determine whether or not wastes are controlled as hazardous wastes

## **C. GREEN CONTROL PROCEDURE**

Transboundary movements of wastes subject to the Green control procedure shall be subject to all existing controls normally applied in commercial transactions.

Regardless of whether or not wastes are included on the list of wastes subject to the Green Control Procedure (Appendix 3), they may not be subject to the Green control procedure if they are contaminated by other materials to an extent which (a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the amber control procedure, when taking into account the criteria in Appendix 6 to this Decision, or (b) prevents the recovery of the wastes in an environmentally sound manner.

## **D. AMBER CONTROL PROCEDURE**

### **(1) Conditions**

#### **(a) Contracts**

Transboundary movements of wastes under the Amber control procedure 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 exporter and terminating at the recovery facility. All persons involved in the contracts, or arrangements shall have appropriate legal status.

The contracts shall:

- (i) clearly identify: the generator of each type of waste, each person who shall have legal control of the wastes and the recovery facility;
- (ii) provide that relevant requirements of this Decision are taken into account and are binding on all parties to the contracts.
- (iii) specify which party to the contract (i) shall assume responsibility for an alternative management of the wastes in compliance with applicable laws and regulations including, if necessary, the return of the wastes in accordance with section D. (3) (a) below and (ii), as the case may be, shall provide the notification for re-export in accordance with section D.(3) (b) below.

Upon the request of the competent authorities of the countries of export or import, the exporter shall provide copies of such contracts or portions thereof.

Any information contained in the contracts provided under terms of the above paragraph shall be held strictly confidential in accordance with and to the extent required by domestic laws.

#### **(b) Financial Guarantees**

Where applicable, the exporter or the importer shall provide financial guarantees in accordance with national or international law requirements, for alternative recycling, disposal or other means of environmentally sound management of the wastes in cases where arrangements for the transboundary movement and the recovery operations cannot be carried out as foreseen.

#### **(c) Transboundary Movements of Amber Wastes for Laboratory Analysis**

Member countries may exempt a transboundary movement of a waste from the Amber control procedure, if it is explicitly destined for laboratory analysis to assess its physical or chemical characteristics or to determine its suitability for recovery operations. The amount of such waste so exempted shall be determined by the minimum quantity reasonably needed to adequately perform the analysis in each particular case, but not more than 25 kg. Analytical samples must be appropriately packaged and labelled and they remain subject to the conditions set out in Chapter II Section B. (1)(c) and (d) of this Decision. Where a competent authority of a country of import or country of export is required to be informed under its domestic legislation, the exporter shall inform that authority of a transboundary movement of a laboratory sample.

### **(2) Functioning of the Amber Control Procedure:**

Procedures are provided under the Amber control procedure for the following two cases:

Case 1: individual transboundary movements or multiple shipments to a recovery facility;

Case 2: transboundary movements to pre-consented recovery facilities

**Case 1: Individual transboundary movements of wastes or multiple shipments to a recovery facility.**

- (a) Prior to commencement of each transboundary movement of wastes, the exporter shall provide written notification (“**single notification**”) to the competent authorities of the countries concerned. The notification document shall include all of the information listed in Appendix 8.A to this Decision. In accordance with domestic laws, the competent authorities of the country of export, instead of the exporter, may themselves transmit this notification.
- (b) In instances where competent authorities acting under the terms of their domestic laws are required to review the contracts referred to in section D. (1) above, the contract(s) or portions thereof to be reviewed must be sent together with the notification document in order that such review may be appropriately performed.
- (c) The competent authorities of the countries concerned may request additional information if the notification is not complete. Upon receipt of the complete notification document referred to in paragraph (a) above, the competent authorities of the country of import and, if applicable, of the country of export shall transmit an **acknowledgement** to the exporter with a copy to the competent authorities of all other countries concerned within three (3) working days of the receipt of the notification.
- (d) The competent authorities of the countries concerned shall have **thirty (30) days to object**, according to their domestic laws, to the proposed transboundary movement of wastes. The thirty (30)-day period for possible objection shall commence upon issuance of the acknowledgement of the competent authority of the country of import.
- (e) **Any objection** by any of the competent authorities of the countries concerned must be provided in writing to the exporter and to the competent authorities of all other countries concerned within the thirty (30)-day period.
- (f) If no objection has been lodged (**tacit consent**), the transboundary movement of wastes may commence after this thirty (30)-day period has passed. Tacit consent expires within one (1) calendar year from the end of the thirty (30)-day period.
- (g) In cases where the competent authorities of the countries concerned do not object and decide to provide **written consent**, it shall be issued within the thirty (30)-day period commencing upon issuance of the acknowledgement of the receipt of notification by the competent authority of the country of import. The transboundary movement of wastes may commence after all consents are received. Copies of the written consent(s) shall be sent to competent authorities of all countries concerned. Written consent is valid for up to one (1) calendar year from the date of its issuance.
- (h) Objection or written consent may be provided by post, e-mail with a digital signature, e-mail without digital signature followed by post, or telefax followed by post.
- (i) The transboundary movement of wastes may only take place during the period when the consents of all competent authorities (tacit or written consent) are valid.
- (j) Each transboundary movement of wastes shall be accompanied by a **movement document** which includes the information listed in Appendix 8.B to this Decision.
- (k) Within three (3) days of the receipt of the wastes by the recovery facility, the recovery facility shall return **a signed copy of the movement document** to the exporter and to the competent authorities of the countries of export, transit and import. Those countries of transit that do not wish to receive a signed copy of the movement document shall inform the OECD Secretariat. The recovery facility shall retain the original of the movement document for three (3) years.
- (l) As soon as possible, but no later than thirty (30) days after the completion of recovery and no later than one (1) calendar year following the receipt of the waste, the recovery facility shall send **a certificate of recovery** to the exporter and to the competent authorities of the countries of export and import by post, e-mail with a digital signature, email without digital signature followed by post, or telefax followed by post.

- (m) 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 exporter, the competent authorities of the countries concerned may elect to accept one “**general notification**” for such multiple shipments for a period of up to one year. Each shipment must be accompanied by its own movement document, which includes the information listed in Appendix 8.B to this Decision.
- (n) Revocation of the acceptance in (m) above may be accomplished by means of an official notice to the exporter from any of the competent authorities of the countries concerned. Notice of revocation of acceptance for transboundary movements previously granted under this provision shall be given to the competent authorities of all countries concerned by the competent authorities of the country that revokes such acceptance.

**Case 2: Transboundary movements of wastes to pre-consented recovery facilities**

- (a) Competent authorities having jurisdiction over specific recovery facilities in the country of import may decide not to raise objections concerning transboundary movements of certain types of wastes to a specific recovery facility (**pre-consented recovery facility**). Such decisions can be limited to a specified period of time and can be revoked at any time.
- (b) Competent authorities that 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. The OECD secretariat must also be notified of any revocations.
- (c) For all transboundary movements of wastes to such facilities paragraphs (a), (b) and (c) of Case 1 shall apply.
- (d) The competent authorities of the countries of export and transit shall have seven (7) working days to object, according to their domestic laws, to the proposed transboundary movement of wastes. The seven (7) working days period for possible objection shall commence upon issuance of the acknowledgement of the competent authority of the country of import. In exceptional cases where the competent authority of the country of export needs more than seven (7) working days in order to receive additional information from the exporter as necessary to meet the requirements of its domestic law, it may inform the exporter within the seven (7) working days that additional time is needed. This additional time may be up to thirty (30) days starting from the day of the issuance of the acknowledgement of the competent authority of the country of import.
- (e) Paragraphs (e), (f) and (g) of Case 1 shall apply with a period of seven (7) working days instead of thirty (30) days but for the exceptional cases mentioned in paragraph (d) above, in which case the period shall remain thirty (30) days.
- (f) Paragraphs (h), (i), (j), (k) and (l) of Case 1 shall apply.
- (g) In the case of the acceptance of a general notification, paragraph (m) of Case 1 shall apply with the exception that the shipments can cover a period of up to three (3) years. For the revocation of this acceptance, paragraph (n) in Case 1 shall apply.

**(3) Duty to Return or Re-export Wastes Subject to the Amber Control Procedure**

When a transboundary movement of wastes subject to the Amber control procedure, to which countries concerned have given consent, cannot be completed in accordance with the terms of the contract, for any reason such as illegal shipments, the competent authority of the country of import shall immediately inform the competent authority of the country of export. If alternative arrangements cannot be made to recover these wastes in an environmentally sound manner in the country of import, the following provisions shall apply as the case may be:

- (a) Return from a country of import to the country of export:

The competent authority of the country of import shall inform the competent authorities of the countries of export and transit, mentioning in particular the reason for returning the waste. The competent authority of the country of export shall admit the return of those wastes. In addition, the competent authorities of the countries of export and transit shall not oppose or prevent the return of these wastes. The return should take place within ninety (90) days from the time the country of import informs the country of export or such other

period of time as the concerned Member countries agree. Any new transit country would require a new notification.

- (b) Re-export from a country of import to a country other than the initial country of export:

Re-export from a country of import of wastes subject to the Amber control procedure may only occur following notification by an exporter in the country of import to the countries concerned, as well as to the initial country of export. The notification and control procedure shall follow the provisions set out in Case 1 of Section D. (2) with the addition that the provisions concerning the competent authorities of countries concerned shall also apply to the competent authority of the initial country of export.

**(4) Duty to Return Wastes Subject to the Amber Control Procedure from a Country of Transit**

When the competent authority of the country of transit observes that a transboundary movement of wastes subject to the Amber control procedure, to which countries concerned have given consent, does not comply with the requirements of the notification and movement documents or otherwise constitutes illegal shipment, the competent authority of the country of transit shall immediately inform the competent authorities of the countries of export and import and any other countries of transit.

If alternative arrangements cannot be made to recover these wastes in an environmentally sound manner, the competent authority of the country of export shall admit the return of the shipment of these wastes. In addition, the competent authorities of the country of export and other countries of transit shall not oppose or prevent the return of the wastes. The return should take place within ninety (90) days from the time the country of transit informs the country of export or such other period of time as the concerned countries agree.

**(5) Provisions Relating to Recognised Traders**

- (a) A recognised trader may act as an exporter or importer for wastes with all the responsibilities associated with being an exporter or importer.
- (b) The notification document called for in Chapter II section D (2), case 1, a) above shall include a signed declaration by the exporter that the appropriate contracts referred to in Chapter II section D (1) (a) are in place and are legally enforceable in all countries concerned.

**(6) Provisions Relating to Exchange (R12) and Accumulation (R13) Operations**

For transboundary movements of wastes destined for exchange (R12) or accumulation (R13) operations paragraphs (a) to (j), (m) and (n) of Case 1 shall apply. In addition:

- (a) If wastes are destined for a facility or facilities where a R12 or R13 recovery operation as designated in Appendix 5.B to this Decision takes place, the recovery facility or facilities where the subsequent R1-R11 recovery operation as designated in Appendix 5.B takes place or may take place, shall also be indicated in the notification document.
- (b) Within three (3) days of the receipt of the wastes by the R12/R13 recovery facility or facilities, the facilit(y)ies shall return a signed copy of the movement document to the exporter and to the competent authorities of the countries of export and import. The facilit(y)ies shall retain the original of the movement document for three (3) years.
- (c) As soon as possible but no later than thirty (30) days after the completion of the R12/R13 recovery operation and no later than one (1) calendar year following the receipt of the waste, the R12 or R13 facilit(y)ies shall send a certificate of recovery to the exporter and to the competent authorities of the countries of export and import by post, e-mail with a digital signature, email without digital signature followed by post, or telefax followed by post.
- (d) When an R12/R13 recovery facility delivers wastes for recovery to an R1-R11 recovery facility located in the country of import, it shall obtain as soon as possible but no later than one calendar year following delivery of the waste, a certification from the R1-R11 facility that recovery of the wastes at that facility has been completed. The R12/R13 facility shall promptly transmit the applicable certification(s) to the competent authorities of the countries of import and export, identifying the transboundary movements to which the certification(s) pertain.

- (e) When an R12/R13 recovery facility delivers wastes for recovery to an R1-R11 recovery facility located:
  - (i) in the initial country of export, a new notification is required in accordance with Section D. (2); or
  - (ii) in a third country other than the initial country of export, a new notification is required in accordance with Section D. (3)(b).

**APPENDIX 1:**  
**CATEGORIES OF WASTES TO BE CONTROLLED<sup>4</sup>**

**Waste streams:**

- Y1 Clinical wastes from medical care in hospitals, medical centres and clinics
- Y2 Wastes from the production and preparation of pharmaceutical products
- Y3 Waste pharmaceuticals, drugs and medicines
- Y4 Wastes from the production, formulation and use of biocides and phytopharmaceuticals
- Y5 Wastes from the manufacture, formulation and use of wood preserving chemicals
- Y6 Wastes from the production, formulation and use of organic solvents
- Y7 Wastes from heat treatment and tempering operations containing cyanides
- Y8 Waste mineral oils unfit for their originally intended use
- Y9 Waste oil/water, hydrocarbon/water mixtures, emulsions
- 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)
- Y11 Waste tarry residues arising from refining, distillation and any pyrolytic treatment
- Y12 Wastes from production, formulation and use of inks, dyes, pigments, paints, laquers, varnish
- Y13 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives
- 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
- Y15 Wastes of an explosive nature not subject to other legislation
- Y16 Wastes from production, formulation and use of photographic chemicals and processing materials
- Y17 Wastes resulting from surface treatment of metals and plastics
- Y18 Residues arising from industrial waste disposal operations

**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

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<sup>4</sup> This Appendix is identical to Annex I of the Basel Convention.

- 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 congener of polychlorinated dibenzo-furan
- Y44 Any congener of polychlorinated dibenzo-p-dioxin
- Y45 Organohalogen compounds other than substances referred to in this Appendix (e.g. Y39, Y41, Y42 Y43, Y44)

**APPENDIX 2:**  
**LIST OF HAZARDOUS CHARACTERISTICS<sup>5</sup>**

Code<sup>6</sup> Characteristics

**H1: Explosive**

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.

**H3: Flammable Liquids**

The word "flammable" has the same meaning as "inflammable". 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.)

**H4.1: Flammable Solids.**

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.

**H4.2: Substances or Wastes Liable to Spontaneous Combustion.**

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.

**H4.3: Substances or Wastes which, in Contact with Water, Emit Flammable Gases.**

Substances or wastes which, by interaction with water, are liable to become spontaneously flammable or to give off flammable gases in dangerous quantities.

**H5.1: Oxidising.**

Substances or wastes which, while in themselves not necessarily combustible, may, generally by yielding oxygen cause, or contribute to, the combustion of other materials.

**H5.2: Organic Peroxides.**

Organic substances or wastes that contain the bivalent-O-O-structure are thermally unstable substances which may undergo exothermic self-accelerating decomposition.

**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 micro-organisms or their toxins which are known or suspected to cause disease in animals or humans.

**H8: Corrosives**

Substances or wastes that, 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.

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<sup>5</sup> Codes and hazardous characteristics are identical to those in Annex III of the Basel Convention.

<sup>6</sup> Corresponds to hazard classification system included in the United Nations Recommendations on the Transport of Dangerous Goods (11th Revised Edition, UN, New York, October 1999) for H1 through H9; omissions of H2, H7 and H9 are deliberate. Codes H10-H13 correspond to UN class 9.

**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.

**Tests**

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. Standardised 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 or recovery by means of operations listed in Appendices 5.A or 5.B in order to decide if these materials exhibit any of the characteristics listed in this Appendix.

## APPENDIX 3:

### LIST OF WASTES SUBJECT TO THE GREEN CONTROL PROCEDURE

Regardless of whether or not wastes are included on this list, they may not be subject to the Green control procedure if they are contaminated by other materials to an extent which (a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the amber control procedure, when taking into account the criteria in Appendix 6, or (b) prevents the recovery of the wastes in an environmentally sound manner.

#### Part I:

Wastes listed in Annex IX of the Basel Convention.

For the purposes of this Decision:

- (a) Any reference in Annex IX of the Basel Convention to list A shall be understood as a reference to Appendix 4 of this Decision.
- (a bis) Any reference to Annex I or III of the Basel Convention shall be understood as a reference to Appendix 1 or 2 of this Decision, respectively.
- (b) In Basel entry B1020 the term “bulk finished form” includes all metallic non-dispersible<sup>7</sup> forms of the scrap listed therein.
- (c) Pending approval by the Basel Convention, Basel entry B1030 shall read: "Residues containing Refractory metals".
- (d) The part of Basel entry B1100 that refers to “Slags from copper processing” etc does not apply and OECD entry GB040 in Part II applies instead.
- (e) Basel entry B1110 does not apply and OECD entries GC010 and GC020 in Part II apply instead.
- (f) Basel entry B2050 does not apply and OECD entry GG040 in Part II applies instead.
- (g) Basel entry B3011 does not apply as no consensus has been reached among OECD Member countries to incorporate this entry into this Decision.<sup>8</sup> Also, no consensus has been reached among OECD Member countries on whether or not the prior Basel entry B3010<sup>9</sup> continues to apply in this Decision. As a result of this situation, each Member country retains its right to control the plastic waste covered by Basel entry B3011 in conformity with its domestic legislation and international law. Member countries should inform the OECD Secretariat about their controls for plastic waste covered by Basel

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<sup>7</sup> “Non-dispersible” does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.

<sup>8</sup> The appropriate OECD body should review whether consensus could be reached to incorporate this entry or an alternative into the Decision before the end of 2024.

<sup>9</sup> The text of prior entry B3010 is provided below:

Solid plastic waste:

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

- Scrap plastic of non-halogenated polymers and co-polymers, including but not limited to the following:<sup>\*</sup>
  - ethylene. – styrene, - polypropylene, - polyethylene terephthalate, - acrylonitrile, - butadiene, - polyacetals, - polyamides,
  - polybutylene terephthalate, - polycarbonates, - polyethers, - polyphenylene sulphides, - acrylic polymers,
  - alkanes C10-C13, (plasticiser), - polyurethane (not containing CFCs), - polysiloxanes, - polymethyl methacrylate, - polyvinyl alcohol,
  - polyvinyl butyral, - polyvinyl acetate
- Cured waste resins or condensation products including the following:
  - urea formaldehyde resins, - phenol formaldehyde resins, - melamine formaldehyde resins, - epoxy resins, - alkyd resins, - polyamides
- The following fluorinated polymer wastes<sup>\*\*</sup>
  - perfluoroethylene/propylene (FEP),
  - perfluoro alkoxy alkane
    - tetrafluoroethylene/per fluoro vinyl ether (PFA)
    - tetrafluoroethylene/per fluoro methylvinyl ether (MFA)
  - polyvinylfluoride (PVF), - polyvinylidene fluoride (PVDF)

<sup>\*</sup> It is understood that such scraps are completely polymerized.

<sup>\*\*</sup> - Post-consumer wastes are excluded from this entry

- Wastes shall not be mixed

- Problems arising from open-burning practices to be considered

entry B3011 by 15 January 2021, as well as about any future changes of such controls, in a timely manner. The OECD Secretariat should publish the information received on the OECD website.

## Part II:

The following wastes will also be subject to the Green control procedure:

### Metal Bearing Wastes Arising from Melting, Smelting and Refining of Metals

GB040	7112 262030 262090	Slags from precious metals and copper processing for further refining
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### Other Wastes Containing Metals

GC010		Electrical assemblies consisting only of metals or alloys.
GC020		Electronic scrap (e.g. printed circuit boards, electronic components, wire, etc.) and reclaimed electronic components suitable for base and precious metal recovery.
GC030	ex 890800	Vessels and other floating structures for breaking up, properly emptied of any cargo and other materials arising from the operation of the vessel which may have been classified as a dangerous substance or waste
GC040	ex 8701-05 ex 8709-11	Motor vehicle wrecks, drained of liquids
GC050		Spent Fluid Catalytic Cracking (FCC) Catalysts (e.g.: aluminium oxide, zeolites)

### Glass Waste in Non-dispersible Form

GE020	ex 7001 ex 701939	Glass Fibre Waste
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### Ceramic Wastes in Non-Dispersible Form

GF010		Ceramic wastes which have been fired after shaping, including ceramic vessels (before and/or after use)
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### Other Wastes Containing Principally Inorganic Constituents, Which May Contain Metals and Organic Materials

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

### Solid Plastic Wastes

GH013 <sup>10</sup>	391530 ex 390410-40	Polymers of vinyl chloride
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<sup>10</sup> No consensus has been reached among OECD Member countries to incorporate Basel entry Y48 into this Decision. Also, no consensus has been reached among OECD Member countries on whether or not GH013 continues to apply in this Decision. As a result of this situation, each Member country retains its right to control waste of polymers of vinyl chloride in conformity with its domestic legislation and international law.

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 |

## APPENDIX 4:

### LIST OF WASTES SUBJECT TO THE AMBER CONTROL PROCEDURE

#### Part I:

Wastes listed in Annexes II and VIII of the Basel Convention.

For the purposes of this Decision:

- (a) Any reference in Annex VIII of the Basel Convention to List B shall be understood as a reference to Appendix 3 of this Decision.
- (a bis) Any reference to Annex I or III of the Basel Convention shall be understood as a reference to Appendix 1 or 2 of this Decision, respectively.
- (b) In Basel entry A1010, the term “excluding such wastes specifically listed on List B (Annex IX)” is a reference both to Basel entry B1020 and the note on B1020 in Appendix 3 to this Decision, Part I (b).
- (c) Basel entries A1180 and A2060 do not apply and OECD entries GC010, GC020 and GG040 in Appendix 3 Part II apply instead when appropriate. Member countries may control these wastes differently in accordance with Chapter II B 6 of this Decision concerning wastes not listed in Appendices 3 or 4, and the chapeau of Appendix 3.
- (d) Basel entry A4050 includes spent potlinings from aluminium smelting because they contain Y33 inorganic cyanides. If the cyanides have been destroyed, spent potlinings are assigned to Part II entry AB120 because they contain Y32, inorganic fluorine compounds excluding calcium fluoride.
- (e) Basel entry A3210 does not apply and AC300 in Part II applies instead.
- (f) Basel entry Y48<sup>11</sup> does not apply as no consensus has been reached among OECD countries to incorporate this entry into this Decision.<sup>12</sup> As a result of this situation, each Member country retains its right to control the plastic waste covered by Basel entry Y48 in conformity with its domestic legislation and international law. Member countries should inform the OECD Secretariat about their controls for plastic waste covered by Basel entry Y48 by 15 January 2021, as well as about any future changes of such controls, in a timely manner. The OECD Secretariat should publish the information received on the OECD website.

#### Part II:

The following wastes will also be subject to the Amber control procedure:

##### Metal Bearing Wastes

AA010	261900	Dross, scalings and other wastes from the manufacture of iron and steel <sup>13</sup>
AA060	262050	Vanadium ashes and residues
AA190	810420 ex 810430	Magnesium waste and scrap that is flammable, pyrophoric or emits, upon contact with water, flammable gases in dangerous quantities

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

AB030		Wastes from non-cyanide based systems which arise from surface treatment of metals
AB070		Sands used in foundry operations
AB120	ex 281290 ex 3824	Inorganic halide compounds, not elsewhere specified or included

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<sup>11</sup> Basel entry Y48 covers the waste covered by entry GH013.

<sup>12</sup> The appropriate OECD body should review whether consensus could be reached to incorporate this entry or an alternative into the Decision before the end of 2024

<sup>13</sup> 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.

AB130		Used blasting grit
AB150	ex 382490	Unrefined calcium sulphite and calcium sulphate from flue gas desulphurisation (FGD)

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

AC060	ex 381900	Hydraulic fluids
AC070	ex 381900	Brake fluids
AC080	ex 382000	Antifreeze fluids
AC150		Chlorofluorocarbons
AC160		Halons
AC170	ex 440310	Treated cork and wood wastes
AC250		Surface active agents (surfactants)
AC260	ex 3101	Liquid pig manure; faeces
AC270		Sewage sludge
AC300		Plastic waste, including mixtures of such wastes, containing or contaminated with Appendix 1 constituents, to an extent that it exhibits an Appendix 2 characteristic

Wastes Which May Contain either Inorganic or Organic Constituents

AD090	ex 382490	Wastes from production, formulation and use of reprographic and photographic chemicals and materials not elsewhere specified or included
AD100		Wastes from non-cyanide based systems which arise from surface treatment of plastics
AD120	ex 391400 ex 3915	Ion exchange resins
AD150		Naturally occurring organic material used as a filter medium (such as bio-filters)

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

RB020	ex 6815	Ceramic based fibres of physico chemical characteristics similar to those of asbestos
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**APPENDIX 5.A:  
DISPOSAL OPERATIONS<sup>14</sup>**

Appendix 5.A is meant to encompass all such disposal operations that occur in practice, whether or not they are adequate from the point of view of environmental protection.

- D1 Deposit into or onto land, (e.g., landfill, etc.)
- D2 Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)
- D3 Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)
- D4 Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)
- D5 Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)
- D6 Release into a water body except seas/oceans
- D7 Release into seas/oceans including sea-bed insertion
- D8 Biological treatment not specified elsewhere in this Appendix which results in final compounds or mixtures which are discarded by means of any of the operations in Appendix 5.A
- D9 Physico chemical treatment not specified elsewhere in this Appendix which results in final compounds or mixtures which are discarded by means of any of the operations in Appendix 5.A, (e.g., evaporation, drying, calcination, etc.)
- D10 Incineration on land
- D11 Incineration at sea
- D12 Permanent storage (e.g., emplacement of containers in a mine, etc.)
- D13 Blending or mixing prior to submission to any of the operations in Appendix 5.A
- D14 Repackaging prior to submission to any of the operations in Appendix 5.A
- D15 Storage pending any of the operations in Appendix 5.A

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<sup>14</sup> The wording of D1 to D15 in Appendix 5.A is identical to that of Annex IV.A of the Basel Convention.

**APPENDIX 5.B:**  
**RECOVERY OPERATIONS<sup>15</sup>**

Appendix 5.B is meant to encompass all such operations with respect to materials considered to be or legally defined as wastes and which otherwise would have been destined for operations included in Appendix 5.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 Appendix 5.B

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<sup>15</sup> The wording of R1 to R13 in Appendix 5.B is identical to that of Annex IV.B of the Basel Convention.

**APPENDIX 6:**  
**CRITERIA FOR THE OECD RISK-BASED APPROACH**

**A) Properties**

- 1) Does the waste normally exhibit any of the hazardous characteristics listed in Appendix 2 to this Decision? 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) Does the technological capability to recover the waste exist?
- 7) Is there a history of adverse environmental incidents arising from transboundary 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?

## APPENDIX 7:

### PRACTICAL INFORMATION TO BE PROVIDED BY MEMBER COUNTRIES

- (1) **Competent Authority:** indicates the address, telephone, e-mail and fax numbers of the regulatory authority having jurisdiction over transboundary movements of wastes destined for recovery operations. If separate competent authorities are known to exist for different types of movements (e.g. different authorities for transit than for import/export), this is also indicated. When applicable, indicate the code number of the national competent authorities.
- (2) **Contact Point:** provides the point of correspondence, including the address, telephone e-mail and fax numbers, through which individuals can, if desired, obtain additional or complementary information.
- (3) **Acceptable Languages:** indicates the languages that can be used by the exporter so that the notification document is understandable for the competent authority receiving it.
- (4) **Required Points of Entry/Exit:** notes if and when national regulations prescribe that shipments of recoverable wastes must enter or exit the territory through specific customs offices.
- (5) **Pre-consented Recovery Facilities:** indicates if a Member country has granted pre-consent for certain wastes to be accepted by one or more pre-consented recovery facilities within its jurisdiction, in conformity with Chapter II, D, (2), Case 2. Details on the company, the location, the expiry of pre-consent, the relevant waste types, and total quantity pre-consented is also indicated when known.
- (6) **Classification Differences:** this item is meant to indicate when divergent classifications exist between the OECD Appendices 3 and 4 and national waste lists, according to provisions of Section B(4) of this Decision. When known specific wastes and associated controls are cited.
- (7) **Prohibitions:** provides information on wastes specifically banned or prohibited for import or export under the Member country's pertinent national laws or regulations.
- (8) **Contractual Requirements:** notes requirements concerning contracts between the exporter and the importer, including whether the competent authority shall review the contract.
- (9) **Written Consent:** indicates if Member countries require written consent for exports or imports of wastes.
- (10) **Information related to Environmentally Sound Management:** Indicates additional information under the terms of domestic legislation on environmentally sound management of wastes.
- (11) **Notification for Export:** Indicates whether notifications for export are transmitted by the competent authorities instead of the exporter.
- (12) **Movement Document:** Indicates if a country of transit does not wish to receive a signed copy of the movement document, indicating the receipt of wastes by the recovery facility in the country of import.
- (13) **Financial Requirements:** If Member countries require financial guarantees for transboundary movements of recoverable wastes, such requirements would be specified under this entry. Information provided may inter alia include: the types of guarantee (e.g. insurance statement, bank letters, bonds, etc.), the amount of guarantee (minimum and maximum, if any), whether the guarantee varies according to amount and/or hazardousness of the waste, the damages to be covered.
- (14) **Pertinent National Laws/Regulations:** provides citations to relevant domestic laws and regulations containing provisions that relate to the conditions of this Decision.
- (15) **Other is used to indicate:**
  - additional differences between this Decision and national provisions;
  - pending amendments to pertinent national laws/regulations; and
  - other requirements or issues deemed relevant by the Member country.

## APPENDIX 8:

### NOTIFICATION AND MOVEMENT DOCUMENTS

#### A. Information to be Included in the Notification Document:

- 1) Serial number or other accepted identifier of notification document.
- 2) Exporter name, address, telephone, telefax, e-mail and contact person.
- 3) Recovery facility name, address, telephone, telefax, e-mail and technologies employed.
- 4) Importer name, address, telephone, telefax, e-mail.
- 5) Address, telephone, telefax, e-mail of any 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) Single notification or general notification. If general, period of validity requested.
- 10) Date(s) foreseen for commencement of transboundary movement(s).
- 11) Means of transport envisaged.
- 12) Certification that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.
- 13) Designation of waste type(s) on the appropriate list (Part I or II of Appendix 3 or 4) and their description(s), probable total quantity of each, and any hazardous characteristics.
- 14) Specification of the recovery operation(s) according to Appendix 5.B to this Decision.
- 15) Certification of the existence of written contract or chain of contracts or equivalent arrangement as required by this Decision.
- 16) Certification by the exporter that the information is complete and correct to the best of his knowledge.

#### B. Information to be Included in the Movement Document:

Include all information at A. above plus:

- (a) Date shipment has commenced.
- (b) Carrier(s) name, address, telephone, telefax, e-mail.
- (c) Type of packaging envisaged.
- (d) Any special precautions to be taken by carrier(s).
- (e) Declaration by exporter that no objection has been lodged by the competent authorities of all countries concerned. This declaration requires signature of the exporter.
- (f) Appropriate signatures for each custody transfer.

#### C. Recommended forms for the notification and movement documents (see Chapter I paragraph 3) for transboundary movements of wastes destined for recovery operations within the OECD area and instructions for completing those forms:

*not included*