

The Government of the Hong Kong Special Administrative Region  
Environmental Protection Department

**Permit Control on Waste Import and Export under the Waste Disposal Ordinance**

**Guidance notes on how to complete an import permit application form**

Introduction

The Waste Disposal Ordinance (WDO), Laws of Hong Kong Chapter 354, provides for control on import and export of waste in the Hong Kong Special Administrative Region (HKSAR). Under the WDO, a permit issued by the Environmental Protection Department (EPD) is required for import or export of any waste, unless the waste is specified in the Sixth Schedule, uncontaminated as defined under the WDO and intended for reprocessing, recycling, recovery or reuse purposes. Moreover, the controlled waste shipments shall fully comply with the terms and conditions of the permit issued. This document provides guidelines on how to submit a permit application. Further details of the permit control system can be found in the booklet entitled “A Guide to the Control on Import and Export of Waste” published by the EPD.

Who should apply

For the import of waste into HKSAR, the applicant should be the disposer or the importer. If waste is imported for the purpose of re-export out of HKSAR (to overseas country or to mainland China), the applicant is required to provide evidence that approval for import of waste has been granted by the competent authority of the place where the waste is destined for the final disposal operation.

When to apply

The processing time for an application varies from case to case, depending primarily on the time taken by the other competent authorities to provide feedback for the application, and on whether the application form is duly completed and submitted with all the required supporting documents. To make allowance for the time required for these authorities to process the application, the completed application form together with the necessary documents should normally be submitted to the EPD at least 90 days before the intended shipment date, noting that some applications may require even longer processing time.

Completing the application form

Please read all instructions below before completing the form.

General instructions:

1. For waste to be imported into HKSAR, the application shall be submitted in English unless the exporting and transitting territories (if any) also accept Chinese documents.
2. One application form shall be used for one type of waste.
3. A permit for multiple shipments is applicable only to shipments of the same type of waste from the same waste producer to the same waste disposer using the same route.

Separate application(s) has to be lodged otherwise. The maximum validity period of a permit for multiple shipments is one year.

4. The full addresses of the waste importer, exporter, producing sites, recycling and disposal facilities must be given. A postal box number is not acceptable.
5. Use separate sheet(s) where the space provided in the form is not sufficient. Enter the page number and the total number of pages (including separate sheets) on each page of the application form.
6. The date format dd/mm/yyyy should be used, e.g. 21/01/1996 for 21st January 1996.

Additional instructions for specific boxes:

1. Box 1 Give the name and full address of the waste producer. Select the code which best describes the nature of business of the waste producer from Table 1 (pages 8 - 11), and enter it into the space provided.
2. Box 2 Give the name and the correspondence address of competent authorities concerned in the order of the route of the shipment. (Please consult the EPD at 2755 5462 for a list of other competent authorities)
3. Box 3 Select the most appropriate waste codes from the respective tables and enter them into the space provided. (Note: The waste codes will be used in communications with relevant competent authorities and must be filled.)

The Schedules 6 and 7 are listed in the appendices of the booklet “A Guide to the Control on Import and Export of Waste”.

International Waste Identification Code (IWIC) - Give the IWIC of the waste according to the guidance on page 20.

4. Box 5 Write down the intended quantity for each of the shipment, and make sure that the sum of the individual quantity is not larger than the total quantity for the intended shipments as stated in Block 5 of the Annex (Notification document for transboundary movements/shipments of waste).
5. Box 6 The existence of contractual arrangements for the disposal or reuse of the waste is a crucial consideration for the application. Documents confirming these arrangements should be attached as far as practicable.

The existence of contractual undertaking of the exporter to take back the waste in case the shipment cannot be completed as intended is also a crucial consideration for the application.

Enter the details and attach relevant documents regarding the provisions for insurance and financial guarantee for the proposed transboundary movement of waste, including 1) liability insurance to cover claims arising out of damage to human health, property and the environment which may result from the proposed import, and 2) a bond or other financial guarantee providing for payment to the “Hong Kong Environmental Protection Department” and/or other relevant competent authorities of the cost of any seizure, return or disposal of the waste in case of incomplete shipments.

6. Box 7 Applicants must sign and date the application. Applicants are reminded that any person who, to procure the issue of a permit, makes a statement which he knows to be false in a material particular, or recklessly makes a statement which is false in a material particular, commits an offence and is liable to a fine of HK\$200,000 and to imprisonment for 6 months.

Instruction for completing the Annex (Notification document for transboundary movements/shipments of waste)

The importer is to complete blocks 1–18 (except the notification number in block 3). The waste generator, where practicable, should also sign in block 17.

**Blocks 1 and 2:** Provide the Business Registration Certificate (BRC) Number, full name, address (including the name of the country), telephone and fax numbers (including the country code) and e-mail address of the importer, and exporter<sup>1</sup>, as well as the name of a contact person responsible for the shipment. The provided phone and fax numbers and the e-mail address should facilitate contacting all relevant persons at any time in relation to any incident during shipment.

Normally, the importer would be the same as the disposal/recovery facility given in block 10. In some cases, however, the importer can also be another person, for example a recognised trader, a dealer, a broker, or a corporate body such as the headquarter/ mailing address for the receiving disposal/recovery facility in block 10. In order to act as an importer, the recognised trader, dealer, broker or corporate body must be under the jurisdiction of the country of import and possess or have some other form of legal control over the waste at the moment the shipment arrives into the country of import. In such cases, information relating to the recognized trader, dealer, broker or corporate body should be completed in block 1.

**Block 3:** When issuing a notification document, the EPD will provide an identification number which will be printed in this block. The appropriate boxes should be ticked to indicate:

- (a) Whether the notification covers one (single notification) or multiple shipments (general notification), and
- (b) Whether the waste being shipped is destined for disposal or for recovery.

**Blocks 4, 5 and 6:** For single or multiple movements, give the number of shipments in block 4 and the intended date of the single shipment or, for multiple shipments, the dates of the first and last shipments in block 6. In block 5, give the weight in tonnes (1 megagram (Mg) or 1000 kg) or volume in cubic metres (1000 litres) of the waste. Other units of the metric system, such as kilograms or litres, are also acceptable; when used, the unit should be indicated and the unit in the document should be crossed out. For multiple shipments, the total quantity shipped must not exceed the quantity declared in block 5. The total quantity will be considered as the maximum quantity applied for. That quantity must be compatible with the waste treatment and technical capabilities of the parties concerned. The intended period of time for movements in block 6 may not exceed one year. In the case of multiple shipments, please complete the expected dates or the expected frequency and the estimated quantity of each shipment in Box 5 of the application form. Where a competent authority issues a written consent to the movement and the validity period of that consent in block 20 differs from the

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<sup>1</sup> In the European Community, the terms notifier and consignee are used instead of exporter and importer, respectively.

period indicated in block 6, the decision of the competent authority overrides the information in block 6. If the application is approved, a permitted quantity will be specified in the permit. A new application has to be made if the permitted quantity is used up.

**Block 7:** Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the notification document. If special handling precautions are required, such as those required by producers' handling instructions for employees, health and safety information, including information on dealing with spillage, and transport emergency cards, tick the appropriate box and attach the information in an annex.

**Block 8:** Provide the following necessary information on the carrier or carriers involved in the shipment: registration number (where applicable; e.g. chemical waste collector registration no.), full name, address (including the name of the country), telephone and fax numbers (including the country code) and e-mail address and the name of a contact person responsible for the shipment. If more than one carrier is involved, append to the notification document a complete list giving the required information for each carrier. Where the transport is organised by a forwarding agent, the agent's details should be given in block 8 and the respective information on actual carriers should be provided in an annex. Means of transport should be indicated using the abbreviations provided in the list of abbreviations and codes attached to the notification document. Indicate the mode of transportation as follows: "sea" does not include water transport through "inland waters" as defined below, but it includes seawater transport with all other places outside HKSAR. "Inland waters" refers to waters in the vicinity of HKSAR, the Pearl River and other inland waterways in Guangdong and Guangxi which are accessible from waters in the vicinity of HKSAR.

Waters in the vicinity of HKSAR refer to waters within the following boundaries-

- (i) to the East, meridian 114° 30' East;
- (ii) to the South, parallel 22° 09'; and
- (iii) to the West, meridian 113° 31' East.

Examples of the ports covered by inland water transport include, among many others, Macau, Guangzhou, Jiangmen, Zhong Shan, Zhu Hai and Wu Zhou.

**Block 9:** Provide the required information on the generator/producer of the waste. If the exporter is the generator/producer of the waste then write "Same as block 2". If the waste has been produced by more than one generator/producer, write "See attached list" and append a list providing the requested information for each generator/producer. Where the generator/producer is not known, give the name of the person in possession or control of such wastes. The definition of "generator" used in the Basel Convention provides that in instances where the true generator of the waste is not known, the generator is deemed to be the person who is in possession or control of the waste. Also provide information on the process by which the waste was generated and the site of generation.

**Block 10:** Give the required information on the destination of the shipment by first ticking the appropriate type of facility: either disposal or recovery. The Waste Disposal License number, if applicable, or BRC number should be given. If the disposer or recoverer is also the importer, state here "Same as block 1". If the disposal or recovery operation is a D13–D15 or R12 or R13 operation (according to the definitions of operations set out in the list of abbreviations and codes attached to the notification document), the facility performing the operation should be mentioned in block 10, as well as the location where the operation will be performed. In such a case, corresponding information on the subsequent facility or facilities, where any subsequent R12/R13 or D13–D15 operation and the D1–D12 or R1–R11 operation or operations takes or take place or may take place should be provided in an annex. Provide

the information on the actual site of disposal or recovery if it is different from the address of the facility.

**Block 11:** Indicate the type of recovery or disposal operation by using R-codes or D-codes which are provided in a list of abbreviations and codes following the form of the notification document. If the disposal or recovery operation is a D13-D15 or R12/R13 operation, corresponding information on the subsequent operations (any R12/R13 or D13-D15 as well as D1-D12 or R1-R11) should be provided in an annex. Also indicate the technology to be employed. Specify also the reason for import. If the waste is imported for recycling or recovery (*i.e.*, R1-R13), the applicant must prove that the waste is required as a raw material for such reuse or operation in Hong Kong. If the waste is imported for disposal (*i.e.*, D1-D15), the applicant must prove that the state of export does not have the facilities, capacity or disposal sites that would allow disposal of the waste in an environmentally sound manner. Please be reminded that if the waste is of a kind specified in the Seventh Schedule of the WDO, the applicant should ensure that the waste is not exported from a state or party that is referred to in Schedule 9 of the WDO. Schedule 9 of the WDO can be found in the booklet “A Guide to the Control on Import and Export of Waste”. Separate application(s) must be completed if the waste is destined for more than one disposal option.

**Block 12:** Give the name or names by which the material is commonly known or the commercial name and the names of its major constituents (in terms of quantity and/or hazard) and their relative concentrations (expressed as a percentage), if known. In the case of a mixture of wastes, provide the same information for the different fractions and indicate which fraction(s) is/are destined for recovery. Attach further information in an annex if necessary.

**Block 13:** Indicate physical characteristics of the waste at normal temperature and pressure by using the codes provided in the list of abbreviations and codes attached to the notification document.

**Block 14:** State the code that identifies the waste according to the system adopted under the Basel Convention (under subheading (i) in block 14) and, where applicable, the systems adopted in the OECD Decision (under subheading (ii)) and other accepted classification systems (under subheadings (iii) to (xii)).

(a) **Subheading (i):** Basel Annex VIII codes should be used for wastes that are subject to control under the Basel Convention and the OECD Decision (see Part I of Appendix 4 in the OECD Decision); Basel Annex IX codes should be used for wastes that are not usually subject to control under the Basel Convention and the OECD Decision but which, for a specific reason such as contamination by hazardous substances or different classification according to national regulations, are subject to control (see Part I of Appendix 3 in the OECD Decision). Basel Annexes VIII and IX can be found in the text of the Basel Convention as well as in the Instruction Manual available from the Secretariat of the Basel Convention. If a waste is not listed in Annexes VIII or IX of the Basel Convention, insert “not listed”.

(b) **Subheading (ii):** Please refer to the first column of the Sixth or Seventh Schedule of the Hong Kong Waste Disposal Ordinance. The Schedules are also listed in the appendices of the booklet “A Guide to the Control on Import and Export of Waste”.

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

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<sup>2</sup> see <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32000D0532:EN:NOT>  
EPD (Jan 2011)

(d) **Subheading (iv) and (v):** Where applicable, national identification codes used in the region/country of export and, if known, in the country of import should be used. In Hong Kong, the waste codes are listed under the Sixth or Seventh Schedule under the Waste Disposal Ordinance.

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

(f) **Subheading (vii):** State the appropriate Y-code or Y-codes which according to the “Categories of wastes to be controlled”, and/or the “Category of wastes requiring special consideration” given in Annex II of the Basel Convention. Please refer to Table 7 on pages 18 - 19 of this Guidance Notes.

(g) **Subheading (viii):** If applicable, state here the appropriate H-code or H-codes, i.e., the codes indicating the hazardous characteristics exhibited by the waste (see the list of abbreviations and codes attached to the notification document).

(h) **Subheading (ix):** If applicable, state here the United Nations class or classes which indicate the hazardous characteristics of the waste according to the United Nations classification (see the list of abbreviations and codes attached to the notification document) and are required to comply with international rules for transport of hazardous materials (see United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition<sup>3</sup>).

(i) **Subheading (x and xi):** If applicable, state here the appropriate United Nations number or numbers and United Nations shipping name or names. These are used to identify the waste according to the United Nations classification system and are required to comply with international rules for transport of hazardous materials (see United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition<sup>3</sup>).

(j) **Subheading (xii):** State here the Harmonised System Code (**HS**) - please refer to the second column of the Sixth or Seventh Schedule of the Hong Kong Waste Disposal Ordinance. The Schedules are also listed in the appendices of the booklet “A Guide to the Control on Import and Export of Waste”. Please also see the list of codes and commodities in the “Harmonised commodity description and coding system” produced by the World Customs Organisation in Brussels.

**Block 15:** On line (a), provide the name of the countries or States or regions of export, transit and import<sup>4</sup> or the codes for each country or State or region by using the ISO standard 3166 abbreviations. On line (b), provide the code number of the respective competent authority for each country and on the line (c) insert the name of the border crossing or port and, where applicable, the customs office code number as the points of entry to or exit from a particular country. For transit countries give the information in line (c) for points of entry and exit. If more than three transit countries are involved in a particular movement, attach the appropriate information in an annex.

**Block 16:** This block should be completed for movements involving entering, passing through or leaving Member States of the European Union.

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<sup>3</sup> see <http://www.unece.org/trans/danger/danger.htm>

<sup>4</sup> In the European Community, the terms “dispatch” and “destination” are used instead of “export” and “import”, respectively.

**Block 17:** Each copy of the notification document is to be signed and dated by the importer (or by the recognised trader, dealer or broker if acting as an importer) before being forwarded to the competent authorities of the countries concerned. Under the Basel Convention, the waste generator is also required to sign the declaration; it is noted that this may not be practicable in case where there are several generators. Further, where the generator is not known, the person in possession or control of the wastes should sign. The declaration also covers the certification of an insurance against liability for damage to third parties, other financial guarantees and a contract to accompany the notification document. Applicants must sign and date the application. Applicants are reminded that any person who, to procure the issue of a permit, makes a statement which he knows to be false in a material particular, or recklessly makes a statement which is false in a material particular, commits an offence and is liable to a fine of HK\$200,000 and to imprisonment for 6 months.

**Block 18:** Indicate the number of annexes containing any additional information supplied with the notification document (see blocks 5, 6, 7, 8, 9, 10, 11, 12, 14 or 15). Each annex must include a reference to the notification number to which it relates, which is indicated in the corner of block 3.

**Block 19:** This block is for use by the competent authority to acknowledge receipt of the notification.

**Block 20:** This block is for use by competent authorities of any country concerned when providing a written consent to a transboundary movement of waste.

**Block 21:** This block can be used by the competent authorities, instead of a separate letter, when providing specific conditions to the written consent given to the movement or to explain any objection to the movement.

#### Enquiries and submission of application

Completed application forms and enquiries concerning the control arrangements should be forwarded to:

<u>Address</u>	<u>Telephone</u>	<u>Facsimile</u>	<u>E-mail</u>
Territorial Control Office Environmental Compliance Division Environmental Protection Department 25th Floor, Southorn Centre 130 Hennessy Road Wan Chai Hong Kong (Waste Import Permit Application or Enquiry)	(852) 2755 5462	(852) 2305 0453	<a href="mailto:enquiry@epd.gov.hk">enquiry@epd.gov.hk</a> (for waste import and export control enquiry)

Remark: A copy of the completed application form and the supporting documents may be submitted by e-mail to [kkho@epd.gov.hk](mailto:kkho@epd.gov.hk) for advance processing.

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Territorial Control Office  
Environmental Compliance Division  
Environmental Protection Department

**TABLE 1\*****NATURE OF BUSINESS OF THE WASTE GENERATOR****Agriculture - Farming Industry**

<u>A100</u>	Agriculture, forest management
A101	Cultivation
A102	Animal husbandry
A103	Forest management and forest exploitation (lumbering)

<u>A110</u>	Animal and vegetable products from the food sector
A111	Meat industry, slaughterhouses, butchery
A112	Dairy industry
A113	Animal and vegetable oil and grease industry
A114	Sugar industry
A115	Others

<u>A120</u>	Drink industry
A121	Distillation of alcohol and spirits
A122	Brewing of beer
A123	Manufacture of other drinks

<u>A130</u>	Manufacture of animal feed
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**Energy**

<u>A150</u>	Coal industry
A151	Production and preparation of coal and coal products
A152	Coking operations

<u>A160</u>	Petroleum industry
A161	Extraction of petroleum and natural gas
A162	Petroleum refining
A163	Storage of petroleum and products derived from refining of natural gas

<u>A170</u>	Production of electricity
A171	Central thermal facilities
A172	Central hydraulic facilities
A173	Central nuclear facilities
A174	Other central electricity facilities

<u>A180</u>	Production of water
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**Metallurgy - Mechanical and Electrical Engineering**

<u>A200</u>	Extraction of metallic ores
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<u>A210</u>	Ferrous metallurgy
A211	Cast iron production (coke oven)
A212	Raw steel production (pig iron)
A213	Primary steel transformation (rolling mills)

<u>A220</u>	Production of alumina
A221	Aluminium metallurgy
A222	Metallurgy of lead and zinc
A223	Metallurgy of precious metals
A224	Metallurgy of other non-ferrous metals
A225	Ferro-alloy industry
A226	Manufacture of electrodes
A227	

<u>A230</u>	Foundry and metalworking operations
A231	Ferrous metal foundries
A232	Non-ferrous metal foundries
A233	Metalworking (not including machining)
<u>A240</u>	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**

<u>A260</u>	Mining and quarrying of non-metallic minerals
<u>A270</u>	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
<u>A280</u>	Building, building sites, landscaping

### **Primary Chemical Industry**

<u>A300</u>	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 pharmaceutical, pesticides, biocides, weed killers
A669	Other manufacture of finished chemicals

### **Industries producing products based upon primary chemicals**

<u>A700</u>	Production of inks, varnish, paints, glues
A701	Production of ink
A702	Production of paint
A703	Production of varnish
A704	Production of glue
<u>A710</u>	Fabrication of photographic products
A711	Production of photosensitive plates
A712	Fabrication of products for photographic treatments
<u>A720</u>	Perfume industry and fabrication of soap and detergent products
A721	Fabrication of soap products
A722	Fabrication of detergent products
A723	Fabrication of perfume products
<u>A730</u>	Finished rubber and plastic materials
A731	Rubber industry
A732	Finished Plastic materials

<u>A740</u>	Fabrication of products based upon asbestos
<u>A750</u>	Production of powders and explosives

**Textiles and Leathers - Various Wood Based and Furniture Industries**

<u>A760</u>	Textile and clothing industry
A761	Combing and carding of textile fibres
A762	Threading, spinning, weaving
A763	Bleaching, dyeing, printing
A764	Clothing manufacture
<u>A770</u>	Leather and hide industry
A771	Tanneries, tanning
A772	Fur trade
A773	Manufacture of shoes and other leather products
<u>A780</u>	Wood and furniture industry
A781	Sawmills, production of wood panels
A782	Manufacture of wood and furniture products
<u>A790</u>	Various related industries

**Paper - Cardboard - Printing**

<u>A800</u>	Paper and cardboard industry
A801	Fabrication of paper pulp
A802	Manufacture of paper and cardboard
A803	Finished goods of paper and cardboard
<u>A810</u>	Printing, publishing, photographic laboratories
A811	Printing, publishing
A812	Photographic laboratories

**Commercial Services**

<u>A820</u>	Laundries, bleaching services, dyers
<u>A830</u>	Business enterprise
<u>A840</u>	Transport, automobile dealers and repair facilities
A841	Automobile dealers and automobile repair facilities
A842	Transportation
<u>A850</u>	Hotels, cafès, restaurants

**General Services**

<u>A860</u>	Health
A861	Health (Hospitals, medical centres, nursing homes, laboratories)
<u>A870</u>	Research
A871	Research including research laboratories
<u>A880</u>	Administrative activities, offices

**Households**

<u>A890</u>	Households
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### **Pollution Control - Waste Disposal**

<u>A900</u>	Cleaning and maintenance of public areas
<u>A910</u>	Urban water treatment facilities
<u>A920</u>	Urban waste treatment
<u>A930</u>	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**

<u>A940</u>	Regeneration activities
A941	Regeneration of oils
A942	Regeneration of solvents
A943	Regeneration of ion exchange resins
<u>A950</u>	Recovery activities

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\* This table is the same as the one given in the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 2\***

**REASONS WHY MATERIALS ARE INTENDED FOR DISPOSAL**

Q1	Production residues not otherwise specified below
Q2	Off-specification products
Q3	Products whose date for appropriate use has expired
Q4	Materials spilled, lost or having undergone other mishap including any materials, equipment etc. contaminated as result of the mishap.
Q5	Materials contaminated or soiled as a result of planned actions, [e.g., residues from cleaning operations, packing materials, containers, etc]
Q6	Unusable parts, [e.g. reject batteries, exhausted catalyst, etc.]
Q7	Substances which no longer perform satisfactorily, [e.g. contaminated acid, contaminated solvents, exhausted tempering salts, etc.]
Q8	Residues of industrial process, [e.g. slags, still bottoms, etc.]
Q9	Residues from pollution abatement processes, [e.g. scrubber sludges, baghouse dusts, spent filters, etc.]
Q10	Machining/finishing residues, [e.g. lathe turnings, mill scales, etc.]
Q11	Residues from raw materials processing, [e.g. mining residues, oil field slops, etc.]
Q12	Adulterated materials, [e.g. oils contaminated with PCB, etc.]
Q13	Any materials, substances or products whose use has been banned by law in the country of exportation
Q14	Products for which there is no further use, [e.g. agriculture, household, office, commercial and shop discards, etc.]
Q15	Materials, substances or products resulting from remedial actions with respect to contaminated land
Q16	Any materials, substances or products which the generator or exporter declares to be wastes and which are not contained in the above categories

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\* This table is the same as the one given in the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 3\***

**DISPOSAL OPERATIONS (Table 3 is divided into two sections)**

**Section 3.A 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 Use 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 Section 3.A

**Section 3.B OPERATIONS OTHER THAN RECOVERY**

- 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 Table which results in final compounds or mixtures which are discarded by means of any of the operations in Section 3.B
- D9 Physio-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 Section 3.B, [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 Section 3.B
- D14 Repackaging prior to submission to any of the operations in Section 3.B
- D15 Storage pending any of the operations in Section 3.B

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\* This table is the same as the one given in the Basel Convention, and the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 4\***

**GENERIC TYPES OF POTENTIALLY HAZARDOUS WASTES  
(THESE MAY BE LIQUID, SLUDGE OR SOLID IN FORM)**

(revised May 1994)

Code No.

- 1 Clinical wastes from medical care in hospitals, medical centres and clinics
- 2 Wastes from the production and preparation of pharmaceutical products
- 3 Waste pharmaceuticals, drugs and medicines
- 4 Wastes from the production, formulation and use of biocides and phytopharmaceuticals
- 5 Wastes from the manufacture, formulation and use of wood preserving chemicals
- 6 Wastes from the production, formulation and use of organic solvents
- 7 Wastes from heat treatment and tempering operations containing cyanides
- 8 Waste mineral oils unfit for their originally intended use
- 9 Waste oil/water, hydrocarbon/water mixtures, emulsions
- 10 Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCBs) and/or polychlorinated terphenyls (PCTs) and/or polybrominated biphenyls (PBBs)
- 11 Waste tarry residues arising from refining, distillation and any pyrolytic treatment
- 12 Wastes from production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish
- 13 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives
- 14 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
- 15 Wastes of an explosive nature not subject to other legislation
- 16 Wastes from production, formulation and use of photographic chemicals and processing materials
- 17 Wastes resulting from surface treatment of metals and plastics
- 18 Residues arising from industrial waste disposal operations

Materials which contain any of the constituents listed in Table 5 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-cyanidic 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 Wastewater not otherwise taken into account within Table 4
- 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 5
- 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 6
- 41 Any other wastes which contain any of the constituents listed in Table 5

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\* This table is the same as the one given in the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 5\*****CONSTITUENTS OF POTENTIALLY HAZARDOUS WASTES**

<u>Code No.</u>	<u>Constituents:</u>
C1	Beryllium, beryllium compounds
C2	Vanadium compounds
C3	Hexavalent chromium compounds
C4	Cobalt compounds
C5	Nickel compounds
C6	Copper compounds
C7	Zinc compounds
C8	Arsenic; arsenic compounds
C9	Selenium; selenium compounds
C10	Silver compounds
C11	Cadmium; cadmium compounds
C12	Tin compounds
C13	Antimony; antimony compounds
C14	Tellurium; tellurium compounds
C15	Barium; barium compounds; excluding barium sulphate
C16	Mercury; mercury compounds
C17	Thallium; thallium compounds
C18	Lead; lead compounds
C19	Inorganic sulphides
C20	Inorganic fluorine compounds excluding calcium fluoride
C21	Inorganic cyanides
C22	The following alkaline or alkaline earth metals: lithium, sodium, potassium, calcium, magnesium in uncombined form
C23	Acidic solutions or acids in solid form
C24	Basic solutions or bases in solid form
C25	Asbestos (dust and fibres)
C26	Organic phosphorus compounds
C27	Metal carbonyls
C28	Peroxides
C29	Chlorates
C30	Perchlorates
C31	Azides
C32	Polychlorinated biphenyls (PCBs) and/or polychlorinated terphenyls (PCTs) and/or polybrominated biphenyls (PBBs)
C33	Pharmaceutical or veterinary compounds
C34	Biocides and phyto-pharmaceutical substances
C35	Infectious substances
C36	Creosotes
C37	Isocyanates, thiocyanates
C38	Organic cyanides
C39	Phenols; phenol compounds including chlorophenols
C40	Ethers
C41	Halogenated organic solvents
C42	Organic solvents, excluding halogenated solvents
C43	Organohalogen compounds other than substances referred to in this Table
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
C48	Sulphur organic compounds
C49	Any congener of polychlorinated dibenzo-furan
C50	Any congener of polychlorinated dibenzo-p-dioxin
C51	Hydrocarbons and their oxygen, nitrogen and/or sulphur compounds not otherwise taken into account in this table

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\* This table is the same as the one given in the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 6\*****UN CLASS AND H NUMBER**

<u>UN Class</u>	<u>H Number</u>	<u>Hazard Descriptions</u>
1	H1	Explosive
3	H3	Flammable liquids
4.1	H4.1	Flammable solids
4.2	H4.2	Substances or wastes liable to spontaneous combustion
4.3	H4.3	Substances or wastes which, in contact with waste, emitting flammable gases
5.1	H5.1	Oxidizing
5.2	H5.2	Organic peroxides
6.1	H6.1	Poisonous (acute)
6.2	H6.2	Infectious substances
8	H8	Corrosives
9	H10	Liberation of toxic gases in contact with air or water
9	H11	Toxic (delayed or chronic)
9	H12	Ecotoxic
9	H13	Capable, by any means, after disposal of yielding another material, e.g., leachate, which possesses any of the characteristics listed above

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\* This table is the same as the one given in the Basel Convention, and the OECD Council Decision C(88)90 and C(94)152/FINAL.

**TABLE 7\***

**LIST OF Y NUMBERS**

Waste Streams:

- Y1 Clinical wastes from medical care in hospital, medical centres and clinics
- Y2 Waste from the production and preparation of pharmaceutical products
- Y3 Waste pharmaceuticals, drugs and medicines
- Y4 Waste from the production, formulation and use of biocides and phytopharmaceuticals
- Y5 Waste from the manufacture, formulation and use of wood preserving chemicals
- Y6 Waste from the production, formulation and use of organic solvents
- Y7 Waste 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 (PCBs) and/or polychlorinated terphenyls (PCTs) and/or polybrominated biphenyls (PBBs)
- Y11 Waste tarry residues arising from refining distillation and any pyrolytic treatment
- Y12 Waste from the production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish
- Y13 Waste from the production, formulation and use of resins latex, plasticizers, glues/adhesives
- Y14 Waste chemical substance 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 Waste of an explosive nature not subject to other legislation
- Y16 Waste from the production, formulation and use of photographic chemical and processing materials
- Y17 Waste 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
- Y31 Lead; lead compounds
- Y32 Inorganic fluorine compound excluding calcium fluoride
- Y33 Inorganic cyanides
- Y34 Acidic solutions or acids in solid form
- Y35 Basic solution 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 Table (e.g. Y39, Y41, Y42, Y43, Y44)
- Y46 Wastes collected from households
- Y47 Residues arising from the incineration of household wastes

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\* This table is the same as the one given in the Basel Convention, and the OECD Council Decision C(88)90 and C(94)152/FINAL.

## International Waste Identification Code (IWIC)

The IWIC code is divided into six parts. Each part is used to describe a different aspect of a given waste.

It is obtained as follows:

1. Choose the one or at most two major reason(s) why the waste is intended for disposal from the list in Table 2. Mark down the reason(s) as Q.... plus the code number(s).
2. Indicate the method which has been selected for disposal of the waste by choosing the one operation from Table 3 which most closely describes the fate intended for the waste. Mark down D.... or R.... plus the code number from Table 3.A and 3.B as appropriate.
3. Decide whether the waste is liquid (L), sludge (P), solid (S) or gas (G). Powder is considered as solid. Select from Table 4, in one descriptor which most closely describes the generic form of the waste. Mark down this descriptor as L...., P..... or S.... plus the code number.
4. Examine Table 5; either the waste does or does not contain one or more of the constituents listed. If none, mark down as code "C0". 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.
5. Select from Table 6 the one or at most two major potential hazard(s) presented by the waste. Mark down as H.... (*i.e.* H Number) plus the code number(s).
6. Select from Table 1 the most appropriate single activity generating the waste. Mark down as A... plus the code number.

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:

## INTERNATIONAL WASTE IDENTIFICATION CODE (IWIC)

