

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 export permit application form

Introduction

The Waste Disposal Ordinance (WDO), Laws of Hong Kong Chapter 354, provides 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 the import or export of any waste, unless the waste is specified in the Sixth Schedule of the WDO, uncontaminated and intended for genuine recycling / reuse purposes. Export permit shall be issued only if the waste will be managed in an environmentally sound manner¹. 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. Please refer to the booklet entitled “A Guide to the Control on Import and Export of Waste” published by the EPD for further details of the permit control system.

Who should apply

A permit for the export of waste should be applied by the relevant waste producer². The applicant should also be responsible for arranging the export shipment(s).

When to apply

The processing time for an application varies from case to case, depending primarily on whether the application form is duly completed and submitted with all the required supporting documents, and on the time taken by the competent authorities outside HKSAR to provide feedback for the application. To allow sufficient time for these competent authorities to process the application, the completed application form together with all documents required under the WDO 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.

¹ The waste is considered as managed in an environmentally sound manner if, among other requirements (e.g. requirements to protect human health and the environment against the adverse effects which may result from the waste), the waste is not imported into or exported from Hong Kong unnecessarily. Waste should, as far as is compatible with environmentally sound and efficient management, be disposed of in the state where they were generated.

² If waste intended to be exported is classified as chemical waste under the Waste Disposal (Chemical Waste) (General) Regulation, permit for export of waste should be applied by the relevant registered chemical waste producer or the waste disposal licence holder. As for e-waste, the relevant waste disposal licence holder responsible for the disposal, including storage, of the e-waste should apply the export permit.

Guidelines for completing the application form

Please read the guidelines below before completing the application form.

General guidelines:

1. For waste to be exported from HKSAR, the application shall be submitted in English unless the import and transit (if any) territories accept documents in Chinese.
2. One application form shall be used for one type of waste.
3. A permit for multiple shipments is only applicable to shipments of the same type of waste from the same waste producer to the same waste importer using the same route. Separate application(s) has to be lodged otherwise. The maximum validity period of a permit for single shipment or multiple shipments is one year.
4. The full addresses of the waste producer, producing sites, importer, exporter, 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. 01/11/2021 for 1st November 2021.
7. The fields marked with hash (#) are mandatory fields.

Additional guidelines for specific boxes:

- Box 1 Give the name and full address (including the name of the country), telephone and fax numbers (including the country code) and e-mail address, as well as the name of a contact person responsible for the shipment of the applicant and the waste producer. Select the code which best describes the nature of business of the waste producer from Table 1 (pages 9 – 12 of this Guidance Notes), and enter it into the space provided.
- Box 2 Give the name and the contact of overseas competent authorities concerned in the order of the route of the shipment³.
- Box 3 Select the appropriate box to indicate whether the waste is listed under the Schedule 6, Schedule 7, E-waste, Container Waste or Others of the Hong Kong Waste Disposal Ordinance (Appendix A and B of “A Guide to the Control on Import and Export of Waste” refers⁴).
- Box 5 Fill in the intended quantity for each of the shipment, and make sure that the sum of the individual quantity is not larger than the total intended quantity as stated in Block 5 of the Notification Document for Transboundary Movements/Shipments of Waste (Annex of the Permit Application Form).

³ See <http://www.basel.int/Countries/CountryContacts/tabid/1342/Default.aspx>

⁴ See http://www.epd.gov.hk/epd/sites/default/files/epd/english/environmentinhk/waste/guide_ref/files/2015_ie_english.pdf

Box 6 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 export, 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.

Box 7 Applicants must sign and provide the date of 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.**

Box 8 The applicant should provide details of the process by which and the place at which the waste was or is being generated to support the total intended export quantity.

The existence of contractual document confirming the arrangement for the disposal or reuse of the waste is one of the conditions to issuing a permit. Therefore, relevant supporting documents should be submitted with the application.

The applicant’s undertaking to take back the waste in case the shipment cannot be completed as intended is one of the conditions to issuing a permit.

Guidelines for completing the Notification Document for Transboundary Movements/ Shipments of Waste (Annex of the Permit Application Form)

The exporter is to complete blocks 1–18 (please contact the EPD for the notification number to be filled 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 exporter, and importer, 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 or 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 2.

Block 3: The exporter should contact the EPD for a notification number for the concerned permit application and fill in the notification number on the form. The appropriate boxes should be ticked to indicate:

- (a) Whether the notification covers one (single notification) or multiple shipments (general notification),
- (b) Whether the waste being shipped is destined for disposal or for recovery; and
- (c) Whether the waste being shipped is destined for a facility which has been granted a pre-consent for receiving certain wastes subject to the Amber Control Procedure, in accordance with the case 2 of the “Functioning of the Amber Control Procedure” (see Chapter II, Section D of the OECD Decision⁵).

Blocks 4, 5 and 6: Give the number of intended 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. The intended period of shipments in block 6 shall not exceed one year.

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 original unit on the notification document should be crossed out. For multiple shipments, the total quantity shipped must not exceed the quantity declared in block 5. The total quantity must be compatible with the waste treatment and technical capabilities of the parties concerned and will be considered as the maximum quantity applied for. In the case of multiple shipments, complete the projected dates or the projected frequency and the estimated quantity of each shipment in Box 5 of the application form.

Where an overseas competent authority issues a written consent to the waste movement and the validity period of that consent in block 20 differs from the period indicated in block 6, the decision of the overseas 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 used in the Notification Document” on the Permit Application Form. 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 relevant information in an annex.

Block 8: Provide the necessary information on the carrier or carriers involved in the shipment, including registration number (e.g. chemical waste collector registration no., where applicable), 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

⁵ See <https://legalinstruments.oecd.org/en/instruments/OECD-LEGAL-0266#mainText>

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 used in the Notification Document” of the Permit Application Form.

Notes: “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 waste generator/producer, and site and process of generations.

Notes:

- i) If the waste is classified as chemical waste, the registration number of the chemical waste producer should be given.
- ii) If there are more than one waste producing site, write “See attached list” and append a list providing the requested information for each site. Where the generator/producer is not known, give the name of the person in possession or control of such wastes.
- iii) 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.

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 registration number should be given where applicable. If the disposer or recoverer is also the importer, state here “Same as block 2”. If the disposal or recovery operation is a D13–D15 or R12/R13 operation (according to the definitions of operations set out in the “List of Abbreviations and Codes used in the Notification Document” of the Permit Application Form), the facility performing the operation should be mentioned in block 10, as well as the location where the operation will be performed. In such case, corresponding information on the subsequent facility, where any subsequent operations 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 using R-codes or D-codes which are provided in the “List of Abbreviations and Codes used in the Notification Document” of the Permit Application Form. If the disposal or recovery operation is a D13–D15 or R12/R13 operation, corresponding information on the subsequent operations should be provided in an annex. Also, the technology employed and the reason for export shall be indicated.

Block 12: Provide the major constituents of the waste using commercial names/chemical formulae/common names with their quantities and relative concentrations (%), if known. For

the case of a mixture of wastes, provide the same information for the fractions of constituents and indicate which fraction(s) to be recovered. 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 used in the Notification Document” of the Permit Application Form.

Block 14: Fill in the waste codes according to the system adopted under the Basel Convention, the OECD Decision and other accepted classification systems, where applicable.

(a) **Subheading (i):** Basel Convention 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 Convention 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 Convention Annexes VIII and IX can be found in the text of the Basel Convention⁶ 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 A and B of “A Guide to the Control on Import and Export of Waste”⁷.

(c) **Subheading (iii):** European Union Member States should use the codes included in the European Community list of wastes (see Commission Decision 2014/955/EU⁸).

(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 overseas 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-codes according to the “Categories of wastes to be controlled”, and/or the “Category of wastes requiring special consideration” given in Annex I and II of the Basel Convention respectively. Please refer to Table 7 of these 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 used in the Notification Document” of the Permit Application Form).

⁶ See <http://www.basel.int/TheConvention/Overview/TextoftheConvention/tabid/1275/Default.aspx>

⁷ See http://www.epd.gov.hk/epd/sites/default/files/epd/english/environmentinhk/waste/guide_ref/files/2015_ie_english.pdf

⁸ See <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32014D0955>

(h) **Subheading (ix):** If applicable, state here the United Nations classes which indicate the hazardous characteristics of the waste according to the United Nations classification (see the “List of Abbreviations and Codes used in the Notification Document” of the Permit Application Form) and the waste is 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 edition⁹).

(i) **Subheading (x and xi):** If applicable, state here the appropriate United Nations numbers and United Nations shipping names. These are used to identify the waste according to the United Nations classification system and the waste is 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).

(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 listed in the Appendices A and B of “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 names of the countries/states/regions of export, transit and import or the codes for each country/state/region by using the ISO standard 3166 abbreviations. On line (b), provide the code number of the respective overseas competent authority for each country/state/region 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 an application, 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.

Block 17: Each copy of the notification document is to be signed and dated by the exporter and the waste producer 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 block 3.

⁹ See <https://unece.org/rev-21-2019>

Block 19, 20 and 21: These blocks are for use by the competent authority.

Enquiries and submission of application

Duly completed export permit application forms and related enquiries 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	(852) 2755 5462	(852) 2305 0453	enquiry@epd.gov.hk (waste import and export control enquiry)

The duly completed application forms can also be submitted online via the website below:

<https://epic.epd.gov.hk/EFORMUPD/wdo/epic/export?lang=en>

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

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

Metallurgy - Mechanical and Electrical Engineering

<u>A200</u>	Extraction of metallic ores
<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>	Non-ferrous metallurgy
A221	Production of alumina
A222	Aluminium metallurgy
A223	Metallurgy of lead and zinc
A224	Metallurgy of precious metals
A225	Metallurgy of other non-ferrous metals
A226	Ferro-alloy industry
A227	Manufacture of electrodes

<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 pharmaceuticals, 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
-------------	------------

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

* 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 a 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 acids, contaminated solvents, exhausted tempering salts, etc.]
- Q8 Residues of industrial processes, [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

* 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

* 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

* 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

* 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

* 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 hospitals, 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 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 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 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 Table (e.g. Y39, Y41, Y42, Y43, Y44)
- Y46 Wastes collected from households
- Y47 Residues arising from the incineration of household wastes
- Y48 Plastic waste, including mixtures of such waste, with the exception of the following:
- Plastic waste that is hazardous waste pursuant to paragraph 1 (a) of Article 18
 - Plastic waste listed below, provided it is destined for recycling in an environmentally sound manner and almost free from contamination and other types of wastes:
 - Plastic waste almost exclusively consisting of one nonhalogenated polymer, including but not limited to the following polymers:

- Polyethylene (PE)
 - Polypropylene (PP)
 - Polystyrene (PS)
 - Acrylonitrile butadiene styrene (ABS)
 - Polyethylene terephthalate (PET)
 - Polycarbonates (PC)
 - Polyethers
- Plastic waste almost exclusively¹¹ consisting of one cured resin or condensation product, including but not limited to the following resins:
- Urea formaldehyde resins
 - Phenol formaldehyde resins
 - Melamine formaldehyde resins
 - Epoxy resins
 - Alkyd resins
- Plastic waste almost exclusively consisting of one of the following fluorinated polymers:
- Perfluoroethylene/propylene (FEP)
 - Perfluoroalkoxy alkanes:
 - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
 - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
 - Polyvinylfluoride (PVF)
 - Polyvinylidene fluoride (PVDF)
- Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling of each material and in an environmentally sound manner and almost free from contamination and other types of wastes.

* 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.