

Circular on the national classification and control procedures for the import of wastes contained in Annex IX (List B wastes)

At its eighteenth session in June 2001, the Technical Working Group considered the information paper on the purpose of Annex IX prepared by the secretariat in the context of its discussion on the review or adjustment of the lists of wastes contained in Annex VIII or IX.

At its nineteenth session in January 2002, the Technical Working Group, while considering the secretariat's revised paper on the purpose of Annex IX, recognized that the main difficulties were linked to the status of Annex IX and its practical implementation. At this meeting, the Technical Working Group agreed to develop a draft questionnaire concerning the national classification and control procedures for the import of wastes contained in Annex IX.

At its sixth meeting, the Conference of the Parties by decision VI/19 adopted a decision containing the following operative paragraphs:

1. Decides to adopt the questionnaire concerning the national classification and control procedures for the import of wastes contained in Annex IX (List B wastes) as attached to the present decision (Annex II);
2. Requests the secretariat to distribute the present questionnaire to all Parties and Signatories;
3. Invites Parties to fill in the present questionnaire and to submit it initially in advance of the twenty-first session of the Technical Working Group and subsequently whenever they have updates to the information in the questionnaire;
4. Also requests the secretariat to prepare a compilation of the replies received, to have the questionnaire and the compilation posted on the web site of the Basel Convention (www.basel.int), to make this information available to all Parties and others on a regular basis, in the six United Nations official languages;
5. Further requests the secretariat to assist any Parties if needed to complete the questionnaire;
6. Also requests the secretariat to inform the Open-ended Working Group of information received, including difficulties with issues related to the questionnaire;
7. Requests the Open-ended Working Group as necessary and appropriate, to further elaborate the draft information paper on issues related to Annex IX on the basis of these replies.

The first meeting of the Open-ended Working Group that took place from 28 April to 2 May 2003 has decided that Parties and others which have not yet given their input are invited to fill in the questionnaire and to submit to the secretariat preferably by the **31st of July 2003**.

The secretariat thanks you in advance for your cooperation.

Annex

Questionnaire concerning the national classification and control procedures for the import of wastes contained in Annex IX (List B wastes)

A. Purpose and goal of the questionnaire (reference to Decision VI/19)

The Technical Working Group recognizes that there are a number of difficulties related to Annex IX of the Basel Convention. The main issue concerns the legal interpretation, purpose, use, and implementation of Annex IX. The difficulties arise from the control of transboundary movements of wastes listed in Annex IX, in particular from the import of such wastes.

The attached questionnaire was developed at the request of the Technical Working Group at its nineteenth session in January 2002 by the secretariat of the Basel Convention with the assistance of the European Commission, Germany and Switzerland. Its purpose is to clarify the questions concerning Annex IX by using a pragmatic approach.

The questionnaire is intended to be sent to the focal points of the Basel Convention with a request for filling in the questionnaire.

The secretariat of the Basel Convention should compile the information collected from the submission of the questionnaire. As a result up-to-date information about national classifications of wastes listed in Annex IX of the Basel Convention and the required import control procedures of all responding countries will be available¹.

The information collected should further assist in clarifying issues concerning Annex IX and in daily operations in the practical context of transboundary movements of wastes contained in Annex IX.

B. Information and instructions for filling in the questionnaire

Box 1.: Lists the wastes contained in Annex IX (List B) of the Basel Convention, with its Code (**Box 1.a**) and waste description (**Box 1.b**).

Note: Wastes contained in Annex IX are not hazardous wastes covered by article 1(1)a of the Basel Convention (unless they contain Annex I material to an extent causing them to exhibit an Annex III characteristic).

Boxes 2.: Provide information on national classification and control procedure for imports of the Annex IX wastes (List B) applied in your country.

Box 2.a: Is the specific waste in this line defined as or considered to be hazardous waste by the domestic legislation of your country? If yes the waste in question is based on article 1 and 1(1)b of the Basel Convention defined as hazardous waste for the purpose of the Convention (a so called “article 1(1)b hazardous waste”). As a consequence for transboundary movements the regulations of the Basel Convention must be applied.

-> *If this is the case tick box 2.a*

Box 2.b: Indicate if there is no control procedure for the import in your country of the specific waste? If there is no control procedure the waste is not controlled during a transboundary movement and follows the system applicable to normal commercial transactions.

¹ Pursuant article 3 of the Basel Convention each Party to the Convention shall inform the secretariat of the wastes other than listed in Annexes I and II considered or defined as hazardous under its national legislation and the secretariat will make this information available to the Parties. The information collected by the questionnaire should assist Parties in this task.

-> *If this is the case tick box 2.b*

Box 2.c: Indicate if the import in your country of the specific waste in this line is subject to the Prior Informed Control (PIC) procedure? This means imports must be notified and are only possible with the consent of the export-, transit and import country/ies (normally such waste are nationally defined or considered in your country as “article 1(1)b hazardous waste” (see also explanation for Box2.a).

-> *If this is the case tick box 2.c*

- However it may be, that:

a) the specific waste in this line is not considered in your country as an “article 1(1)b hazardous waste”, nevertheless and based on your national regulation imports are controlled.

-> *If this is the case tick the box 2.c*

b) the specific waste in this line is not considered as an “article 1(1)b hazardous waste” in your country, nevertheless and based on your national regulation imports are prohibited.

-> *If this is the case don't tick box 2.c but tick box 2.d*

Box 2.d: Is the import in your country of the specific waste in this line prohibited?

-> *If this is the case tick box 2.d*

-> Please tick the appropriate box(es) for each waste with a “X”.

Box 3.: Please fill in the name of your Country.

Box 4.: Please fill in any additional comments or information you deem necessary (e.g. import prohibited due to lack of recycling capacity).

Questionnaire

Cover sheet - general information:

-> Please fill in the following:

Country:	Address:
Contact person:	Remarks
Telephone no:	E-mail:
Fax no:	Date when questionnaire completed D/M/Y:

To request an electronic version of this questionnaire, to return the completed questionnaire, or for further information, clarification or assistance, please contact:

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1. Annex IX of the Basel Convention (List B)		2. National classification and control procedure for the import of wastes listed in Annex IX (list B) of the Basel Convention				3. Country:
1.a Code	1.b Waste	2.a Art. 1(1)b waste	2.b No control procedure	2.c PIC - Procedure	2.d Import prohibited	4. Comments and information (1)
B1 B1010	Metal and metal-bearing waste Metal and metal-alloy waste in metallic, non dispersible form: - precious metals (gold, silver, the platinum group, but not mercury)					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Iron and steel scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Copper scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Nickel scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Aluminum scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Zinc scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Tin scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Tungsten scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Molybdenum scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Tantalum scrap					

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B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Magnesium scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Cobalt scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Bismuth scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Titanium scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Zirconium scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Manganese scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Germanium scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Vanadium scrap					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Scrap of Hafnium, Indium, Niobium, Rhenium and Gallium					
B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Thorium scrap					

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B1010	Metal and metal-alloy waste in metallic, non dispersible form: - Rare earth's scrap					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Antimony scrap					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Beryllium scrap					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Cadmium scrap					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Lead scrap (but excluding lead-acid batteries)					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Selenium scrap					
B1020	Clean uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc.), of: - Tellurium scrap					
B1030	Refractory metals containing residues					
B1040	Scrap assemblies from electrical power generation not contaminated with lubricating oil, PCB or PCT to an extent to render them hazardous					

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B1050	Mixed non-ferrous metal, heavy fraction scrap, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics					
B1060	Waste selenium and tellurium in metallic elemental form including powder					
B1070	Waste of copper and copper alloys in dispersible form, unless they contain Annex I constituents to an extent that they exhibit Annex III characteristics					
B1080	Zinc ash and residues including zinc alloys residues in dispersible form unless containing Annex I constituents in concentration such as to exhibit Annex III characteristics or exhibiting hazard characteristic H4.3					
B1090	Waste batteries conforming to a specification, excluding those made with lead, cadmium or mercury					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: - Hard zinc spelter					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: Zinc-containing drosses: - Galvanizing slab zinc top dross (>90% Zn)					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: Zinc-containing drosses: - Galvanizing slab zinc bottom dross (>92% Zn)					

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B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: Zinc-containing drosses: - Zinc die casting dross (>85% Zn)					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: Zinc-containing drosses: - Hot dip galvanizers slab zinc dross (batch) (>92% Zn)					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: Zinc-containing drosses: - Zinc skimmings					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: - Aluminium skimmings (or skims) excluding salt slag					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: -Slags from copper processing for further processing or refining not containing arsenic, lead or cadmium to an extent that they exhibit Annex III hazard characteristics					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: - Wastes of refractory linings, including crucibles, originating from copper smelting					
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: - Slags from precious metals processing for further refining					

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B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: - Tantalum-bearing tin slags with less than 0.5% tin					
B1110	Electrical and electronic assemblies: - Electronic assemblies consisting only of metals or alloys					
B1110	Electrical and electronic assemblies: - Waste electrical and electronic assemblies or scrap (including printed circuit boards) not containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or not contaminated with Annex I constituents (e.g., cadmium, mercury, lead, polychlorinated biphenyl) or from which these have been removed, to an extent that they do not possess any of the characteristics contained in Annex III (note the related entry on list A A1180)					
B1110	Electrical and electronic assemblies: - Electrical and electronic assemblies (including printed circuit boards, electronic components and wires) destined for direct reuse, and not for recycling or final disposal					

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B1120	Spent catalysts excluding liquids used as catalysts, containing any of: - Transition metals, excluding waste catalysts (spent catalysts, liquid used catalysts or other catalysts) on list A: Scandium, Vanadium, Manganese Cobalt, Copper, Yttrium, Titanium, Niobium, Hafnium, Tungsten, Molybdenum, Tantalum, Rhenium, Chromium, Iron, Nickel, Zinc, Zirconium					
B1120	Spent catalysts excluding liquids used as catalysts, containing any of: - Lanthanides (rare earth metals): Lanthanum, Cerium, Neody, Praseodymium, Samarium, Gadolinium, Dysprosium, Erbium, Ytterbium, Europium, Terbium, Holmium, Thulium, Lutetium					
B1130	Cleaned spent precious-metal-bearing catalysts					
B1140	Precious -metal-bearing residues in solid form which contain traces of inorganic cyanides					
B1150	Precious metals and alloy wastes (gold, silver, the platinum group, but not mercury) in a dispersible, non-liquid form with appropriate packaging and labelling					
B1160	Precious -metal ash from the incineration of printed circuit boards (note the related entry on list A A1150)					
B1170	Precious -metal ash from the incineration of photographic film					
B1180	Waste photographic film containing silver halides and metallic silver					
B1190	Waste photographic paper containing silver halides and metallic silver					

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B1200	Granulated slag arising from the manufacture of iron and steel					
B1210	Slag arising from the manufacture of iron and steel including slags as a source of TiO2 and vanadium					
B1220	Slag from zinc production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g., DIN 4301) mainly for construction					
B1230	Mill scaling arising from the manufacture of iron and steel					
B1240	Copper oxide mill-scale					
B2	Wastes containing principally inorganic constituents, which may contain metals and organic materials					
B2010	Wastes from mining operations in non-dispersible form: Natural graphite waste					
B2010	Wastes from mining operations in non-dispersible form: Slate waste, whether or not roughly trimmed or merely cut, by sawing or otherwise					
B2010	Wastes from mining operations in non-dispersible form: Mica waste					
B2010	Wastes from mining operations in non-dispersible form: Leucite, nepheline and nepheline syenite waste					
B2010	Wastes from mining operations in non-dispersible form: Feldspar waste					

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B2010	Wastes from mining operations in non-dispersible form: Fluorspar waste					
B2010	Wastes from mining operations in non-dispersible form: Silica wastes in solid form excluding those used in foundry operations					
B2020	Glass waste in non-dispersible form: • Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses					
B2030	Ceramic wastes in non-dispersible form: • Cermet wastes and scrap (metal ceramic composites)					
B2030	Ceramic wastes in non-dispersible form: • Ceramic based fibres not elsewhere specified or included					
B2040	Other wastes containing principally inorganic constituents: • Partially refined calcium sulphate produced from flue-gas desulphurization (FGD)					
B2040	Other wastes containing principally inorganic constituents: • Waste gypsum wallboard or plasterboard arising from the demolition of buildings					
B2040	Other wastes containing principally inorganic constituents: Slag from copper production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g., DIN 4301 and DIN 8201) mainly for construction and abrasive applications					

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B2040	Other wastes containing principally inorganic constituents: Sulphur in solid form					
B2040	Other wastes containing principally inorganic constituents: Limestone from the production of calcium cyanamide (having a pH less than 9)					
B2040	Other wastes containing principally inorganic constituents: Sodium, potassium, calcium chlorides					
B2040	Other wastes containing principally inorganic constituents: Carborundum (silicon carbide)					
B2040	Other wastes containing principally inorganic constituents: Broken concrete					
B2040	Other wastes containing principally inorganic constituents: Lithium-tantalum and lithium-niobium containing glass scraps					
B2050	Coal-fired power plant fly-ash, not included on list A (note the related entry on list A A2060)					
B2060	Spent activated carbon resulting from the treatment of potable water and processes of the food industry and vitamin production (note the related entry on list A A4160)					
B2070	Calcium fluoride sludge					
B2080	Waste gypsum arising from chemical industry processes not included on list A (note the related entry on list A A2040)					

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B2090	Waste anode butts from steel or aluminium production made of petroleum coke or bitumen and cleaned to normal industry specifications (excluding anode butts from chlor alkali electrolyses and from metallurgical industry)					
B2100	Waste hydrates of aluminium and waste alumina and residues from alumina production excluding such materials used for gas cleaning, flocculation or filtration processes					
B2110	Bauxite residue ("red mud") (pH moderated to less than 11.5)					
B2120	Waste acidic or basic solutions with a pH greater than 2 and less than 11.5, which are not corrosive or otherwise hazardous (note the related entry on list A A4090)					
B3	Wastes containing principally organic constituents, which may contain metals and inorganic materials					

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B3010	<p>Solid plastic waste: The following plastic or mixed plastic materials, provided they are not mixed with other wastes and are prepared to a specification:</p> <ul style="list-style-type: none"> • Scrap plastic of non-halogenated polymers and co-polymers, including but not limited to the following: <ul style="list-style-type: none"> - 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 					

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B3010	<p>Solid plastic waste: The following plastic or mixed plastic materials, provided they are not mixed with other wastes and are prepared to a specification: Cured waste resins or condensation products including the following:</p> <ul style="list-style-type: none"> - urea formaldehyde resins - phenol formaldehyde resins - melamine formaldehyde resins - epoxy resins - alkyd resins - polyamides 					
B3010	<p>Solid plastic waste: The following plastic or mixed plastic materials, provided they are not mixed with other wastes and are prepared to a specification: The following fluorinated polymer wastes¹⁴</p> <ul style="list-style-type: none"> - perfluoroethylene/propylene (FEP) - Tetrafluoroethylene/perfluoro vinyl ether (PFA) - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA) - polyvinylfluoride (PVF) - polyvinylidene fluoride (PVDF) 					
B3020	<p>Paper, paperboard and paper products The following materials, provided they are not mixed with hazardous wastes: Waste and scrap of paper or paperboard of:</p> <ul style="list-style-type: none"> - unbleached paper or paperboard or of corrugated paper or paperboard 					

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B3020	Paper, paperboard and paper product wastes The following materials, provided they are not mixed with hazardous wastes: Waste and scrap of paper or paperboard of: other paper or paperboard, made mainly of bleached chemical pulp, not coloured in the mass					
B3020	Paper, paperboard and paper product wastes The following materials, provided they are not mixed with hazardous wastes: Waste and scrap of paper or paperboard of: paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter)					
B3020	Paper, paperboard and paper product wastes The following materials, provided they are not mixed with hazardous wastes: Waste and scrap of paper or paperboard of: other, including but not limited to 1) laminated paperboard 2) unsorted scrap.					

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B3030	<p>Textile wastes</p> <p>The following materials, provided they are not mixed with other wastes and are prepared to a specification:</p> <ul style="list-style-type: none"> • Silk waste (including cocoons unsuitable for reeling, yarn waste and garnetted stock) <ul style="list-style-type: none"> - not carded or combed - other • Waste of wool or of fine or coarse animal hair, including yarn waste but excluding garnetted stock <ul style="list-style-type: none"> - noils of wool or of fine animal hair - other waste of wool or of fine animal hair - waste of coarse animal hair • Cotton waste (including yarn waste and garnetted stock) <ul style="list-style-type: none"> - yarn waste (including thread waste) - garnetted stock - other • Flax tow and waste • Tow and waste (including yarn waste and garnetted stock) of true hemp (<i>Cannabis sativa</i> L.) • Tow and waste (including yarn waste and garnetted stock) of jute and other textile bast fibres (excluding flax, true hemp and ramie) • Tow and waste (including yarn waste and garnetted stock) of sisal and other textile fibres of the genus <i>Agave</i> • Tow, noils and waste (including yarn waste and garnetted stock) of coconut • Tow, noils and waste (including yarn waste and garnetted stock) of abaca (Manila hemp or <i>Musa textilis</i> Nees) 					

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B3030 (continued)	Textile wastes The following materials, provided they are not mixed with other wastes and are prepared to a specification: <ul style="list-style-type: none"> • Tow, noils and waste (including yarn waste and garnetted stock) of ramie and other vegetable textile fibres, not elsewhere specified or included • Waste (including noils, yarn waste and garnetted stock) of man-made fibres <ul style="list-style-type: none"> - of synthetic fibres - of artificial fibres • Worn clothing and other worn textile articles • Used rags, scrap twine, cordage, rope and cables and worn out articles of twine, cordage, rope or cables of textile materials <ul style="list-style-type: none"> - sorted - other 					
B3040	Rubber wastes The following materials, provided they are not mixed with other wastes: <ul style="list-style-type: none"> • Waste and scrap of hard rubber (e.g., ebonite) 					
B3040	Rubber wastes The following materials, provided they are not mixed with other wastes: <ul style="list-style-type: none"> • Other rubber wastes (excluding such wastes specified elsewhere) 					
B3050	Untreated cork and wood waste: <ul style="list-style-type: none"> • Wood waste and scrap, whether or not agglomerated in logs, briquettes, pellets or similar forms 					

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B3050	Untreated cork and wood waste: • Cork waste: crushed, granulated or ground cork					
B3060	Wastes arising from agro-food industries provided it is not infectious: • Wine lees • Dried and sterilized vegetable waste, residues and byproducts, whether or not in the form of pellets, of a kind used in animal feeding, not elsewhere specified or included • Degras: residues resulting from the treatment of fatty substances or animal or vegetable waxes • Waste of bones and horn-cores, unworked, defatted, simply prepared (but not cut to shape), treated with acid or degelatinised • Fish waste • Cocoa shells, husks, skins and other cocoa waste • Other wastes from the agro-food industry excluding by-products which meet national and international requirements and standards for human or animal consumption					
B3070	The following wastes: • Waste of human hair					
B3070	The following wastes: • Waste straw					
B3070	The following wastes: • Deactivated fungus mycelium from penicillin production to be used as animal feed					
B3080	Waste parings and scrap of rubber					

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B3090	Paring and other wastes of leather or of composition leather not suitable for the manufacture of leather articles, excluding leather sludges, not containing hexavalent chromium compounds and biocides (note the related entry on list A : A3100)					
B3100	Leather dust, ash, sludges or flours not containing hexavalent chromium compounds or biocides (note the related entry on list A: A3090)					
B3110	Fellmongery wastes not containing hexavalent chromium compounds or biocides or infectious substances (note the related entry on list A A3110)					
B3120	Wastes consisting of food dyes					
B3130	Waste polymer ethers and waste non-hazardous monomer ethers incapable of forming peroxides					
B3140	Waste pneumatic tyres, excluding those destined for Annex IVA operations					
B4	Wastes which may contain either inorganic or organic constituents					
B4010	Wastes consisting mainly of water-based/latex paints, inks and hardened varnishes not containing organic solvents, heavy metals or biocides to an extent to render them hazardous (note the related entry on list A A4070)					

1. Annex IX of the Basel Convention (List B)		2. National classification and control procedure for the import of wastes listed in Annex IX (list B) of the Basel Convention				3. Country:
1.a Code	1.b Waste	2.a Art. 1(1)b waste	2.b No control procedure	2.c PIC - Procedure	2.d Import prohibited	4. Comments and information (1)
B4020	w astes from production, formulation and use of resins, latex, plasticizers, glues/adhesives, not listed on list A, free of solvents and other contaminants to an extent that they do not exhibit Annex III characteristics, e.g. water based, or glues based on casein starch, dextrin, cellulose ethers, polyvinyl alcohols (note the related entry on List A A3050)					
B4030	Used single use cameras, with batteries not included on list A					

Note: The questions are voluntary and Parties have the full freedom to respond to all, to some or to none of the questions.
