

Regulation (EC) No 1013/2006 of the European Parliament  
and of the Council of 14 June 2006 on shipments of waste

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## CHAPTER 3

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Article 63	Transitional arrangements for certain Member States
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	Signature

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#### ANNEX IA

Notification document for transboundary movements/shipments of waste

#### ANNEX IB

Movement document for transboundary movements/shipments of waste

#### ANNEX IC

#### SPECIFIC INSTRUCTIONS FOR COMPLETING THE NOTIFICATION AND MOVEMENT DOCUMENTS

- I. Introduction
  1. The present instructions provide the necessary explanations for completing the...
  2. The documents include both the term ‘ disposal ’ and...
  3. The competent authorities of dispatch are responsible for providing and...
  4. Countries may wish to issue the documents in a paper...
- II. Purpose of the notification and movement documents
  5. The notification document is intended to provide the competent authorities...
  6. The movement document is intended to travel with a consignment...
- III. General requirements
  7. A planned shipment subject to the procedure of prior written...
  8. Those filling out printed copies of the documents should use...
  9. The forms have also been designed to be easily completed...
  10. To simplify translation, the documents require a code, rather than...
  11. A six-digit format should be used to indicate the date....
  12. Where it is necessary to add annexes to the documents...
- IV. Specific instructions for completing the notification document
  13. The notifier is to complete blocks 1–18 (except the notification...
  14. Blocks 1 (See Annex II, Part 1, points 2 and...
  15. Normally, the consignee would be the disposal or recovery facility...
  16. Block 3 (See Annex II, Part 1, points 1, 5,...
  17. Blocks 4 (See Annex II, Part 1, point 1), 5...
  18. Block 7 (See Annex II, Part 1, point 18): Types...
  19. Block 8 (See Annex II, Part 1, points 7 and...
  20. Block 9 (See Annex II, Part 1, points 3 and...
  21. Block 10 (See Annex II, Part 1, point 5): Provide...
  22. Block 11 (See Annex II, Part 1, points 5, 19...
  23. Block 12 (See Annex II, Part 1, point 16): Give...
  24. Block 13 (See Annex II, Part 1, point 16). Indicate...

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25. Block 14 (See Annex II, Part 1, point 16): State...
  - (a) Subheading (i): Basel Convention Annex VIII codes should be used...
  - (b) Subheading (ii): OECD member countries should use OECD codes for...
  - (c) Subheading (iii): European Union Member States should use the codes...
  - (d) Subheadings (iv) and (v): Where applicable, national identification codes other...
  - (e) Subheading (vi): If useful or required by the relevant competent...
  - (f) Subheading (vii): State the appropriate Y-code or Y-codes according to...
  - (g) Subheading (viii) : If applicable, state here the appropriate H-code...
  - (h) Subheading (ix): If applicable, state here the United Nations class...
  - (i) Subheadings (x and xi): If applicable, state here the appropriate...
  - (j) Subheading (xii): If applicable, state here customs code or codes,...
26. Block 15 (See Annex II, Part 1, points 8-10, 14):...
27. Block 16 (See Annex II, Part 1, point 14): Provide...
28. Block 17 (See Annex II, Part 1, points 21-22 and...
29. Block 18: Indicate the number of annexes containing any additional...
30. Block 19: Under the Basel Convention, the competent authority or...
31. Blocks 20 and 21: Block 20 is for use by...

#### V. Specific instructions for completing the movement document

32. At the time of notification, the notifier is to complete...
33. Block 1: The competent authority of dispatch is to enter...
34. Block 2 (See Annex II, Part 2, point 1): For...
35. Blocks 3 and 4: Reproduce the same information on the...
36. Block 5 (See Annex II, Part 2, point 6): Give...
37. Block 6 (See Annex II, Part 2, point 2): Enter...
38. Block 7 (See Annex II, Part 2, points 7 and...
39. Blocks 8 (a), (b) and (c) (See Annex II, Part...
40. Block 9: Reproduce the information given in block 9 of...
41. Blocks 10 and 11: Reproduce the information given in blocks...
42. Blocks 12, 13 and 14: Reproduce the information given in...
43. Block 15 (See Annex II, Part 2, point 9): At...
44. Block 16 (See Annex II, Part 2, point 5): This...
45. Block 17: This block is to be completed by the...
46. Block 18: This block is to be completed by the...
47. Receipt of the waste consignment must be certified by any...
48. Block 19: This block is to be completed by the...
49. The disposal or recovery of waste must be certified by...
50. Blocks 20, 21 and 22: The blocks must be used...

## ANNEX II

### INFORMATION AND DOCUMENTATION RELATED TO NOTIFICATION

#### Part 1:

Information to be supplied on, or annexed to, the notification document:

1. Serial number or other accepted identifier of the notification document...

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2. Notifier's name, address, telephone number, fax number, e-mail address, registration...
3. If the notifier is not the producer: producer's (producers') name,...
4. Dealer's (dealers') or broker's (brokers') name, address, telephone number, fax...
5. Recovery or disposal facility's name, address, telephone number, fax number,...
6. Consignee's name, address, telephone number, fax number, e-mail address, registration...
7. Intended carrier's (carriers') and/or their agent's (agents') name, address, telephone...
8. Country of dispatch and relevant competent authority.
9. Countries of transit and relevant competent authorities.
10. Country of destination and relevant competent authority.
11. Single notification or general notification. If general notification, period of...
12. Date(s) envisaged for start of the shipment(s).
13. Means of transport envisaged.
14. Intended routing (point of exit from and entry into each...
15. Evidence of registration of the carrier(s) regarding waste transports (e.g....
16. Designation of the waste on the appropriate list, the source(s),...
17. Estimated maximum and minimum quantities.
18. Type of packaging envisaged.
19. Specification of the recovery or disposal operation(s) as referred to...
20. If the waste is destined for recovery:
21. Evidence of insurance against liability for damage to third parties...
22. Evidence of a contract (or a declaration certifying its existence)...
23. A copy of the contract or evidence of the contract...
24. Evidence of a financial guarantee or equivalent insurance (or a...
25. Certification by the notifier that the information is complete and...
26. When the notifier is not the producer in accordance with...

Part 2:

Information to be supplied on, or annexed to, the movement document:

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### Part 3:

Additional information and documentation that may be requested by the competent authorities:

1. The type and duration of the authorisation pursuant to which...
2. Copy of the permit issued in accordance with Articles 4...
3. Information concerning the measures to be taken to ensure transport...
4. The transport distance(s) between the notifier and the facility, including...
5. Information about costs of transport between the notifier and the...
6. Copy of the registration of the carrier(s) regarding the waste...
7. Chemical analysis of the composition of the waste.
8. Description of the production process of the waste.
9. Description of the treatment process of the facility which receives...
10. The financial guarantee or equivalent insurance or a copy thereof....
11. Information concerning the calculation of the financial guarantee or equivalent...
12. Copy of the contracts referred to in Part 1, points...
13. Copy of the policy of insurance against liability for damage...
14. Any other information which is pertinent to the assessment of...

### ANNEX III

#### LIST OF WASTES SUBJECT TO THE GENERAL INFORMATION REQUIREMENTS LAID DOWN IN ARTICLE 18

Regardless of whether or not wastes are included on this...  
increases the risks associated with the wastes sufficiently to  
render...

#### Part I

#### Part II

Metal bearing wastes arising from melting, smelting and refining of...

Other wastes containing metals

Glass waste in non-dispersible form



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Ceramic wastes in non-dispersible form

Other wastes containing principally inorganic constituents, which may contain metals...

Solid plastic wastes

Wastes arising from tanning and fellmongery operations and leather use...

#### ANNEX IIIA

MIXTURES OF TWO OR MORE WASTES LISTED IN ANNEX III...

1. Regardless of whether or not mixtures are included on this...
2. The following mixtures of wastes are included in this Annex:...
3. The following mixtures of wastes classified under separate indents or...

#### ANNEX IIIB

ADDITIONAL GREEN LISTED WASTE AWAITING INCLUSION IN THE RELEVANT ANNEXES...

1. Regardless of whether or not wastes are included on this...
2. The following wastes are included in this Annex:
3. The shipments of waste listed in this Annex are without...

#### ANNEX IV

LIST OF WASTES SUBJECT TO THE PROCEDURE OF PRIOR WRITTEN NOTIFICATION AND CONSENT ('AMBER' LISTED WASTE)

##### Part I

##### Part II

Metal bearing wastes

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

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

Wastes which may contain either inorganic or organic constituents

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

#### ANNEX IVA

WASTE LISTED IN ANNEX III BUT SUBJECT TO THE PROCEDURE OF PRIOR WRITTEN NOTIFICATION AND CONSENT (ARTICLE 3(3))

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## ANNEX V

## WASTE SUBJECT TO THE EXPORT PROHIBITION IN ARTICLE 36

## Introductory notes

1. This Annex applies without prejudice to Directives 91/689/EEC and 2006/12/EC....
2. This Annex consists of three parts, Parts 2 and 3...
3. Wastes listed in List B of Part 1 or which...

## Part 1

## List A (Annex VIII to the Basel Convention)

- A1 METAL AND METAL BEARING WASTES
- A1010 Metal wastes and waste consisting of alloys of any of...
  - A1020 Waste having as constituents or contaminants, excluding metal waste in...
  - A1030 Wastes having as constituents or contaminants any of the following:...
  - A1040 Wastes having as constituents any of the following:
  - A1050 Galvanic sludges
  - A1060 Waste liquors from the pickling of metals
  - A1070 Leaching residues from zinc processing, dust and sludges such as...
  - A1080 Waste zinc residues not included on list B, containing lead...
  - A1090 Ashes from the incineration of insulated copper wire
  - A1100 Dusts and residues from gas cleaning systems of copper smelters...
  - A1110 Spent electrolytic solutions from copper electrorefining and electrowinning operations
  - A1120 Waste sludges, excluding anode slimes, from electrolyte purification systems in...
  - A1130 Spent etching solutions containing dissolved copper
  - A1140 Waste cupric chloride and copper cyanide catalysts
  - A1150 Precious metal ash from incineration of printed circuit boards not...
  - A1160 Waste lead-acid batteries, whole or crushed
  - A1170 Unsorted waste batteries excluding mixtures of only list B batteries....
  - A1180 Waste electrical and electronic assemblies or scrap containing components such...
  - A1190 Waste metal cables coated or insulated with plastics containing or...
- A2 WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND...
- A2010 Glass waste from cathode-ray tubes and other activated glasses
  - A2020 Waste inorganic fluorine compounds in the form of liquids or...
  - A2030 Waste catalysts but excluding such wastes specified on list B...
  - A2040 Waste gypsum arising from chemical industry processes, when containing Annex...
  - A2050 Waste asbestos (dusts and fibres)
  - A2060 Coal-fired power plant fly-ash containing Annex I substances in concentrations...
- A3 WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND...
- A3010 Waste from the production or processing of petroleum coke and...
  - A3020 Waste mineral oils unfit for their originally intended use
  - A3030 Wastes that contain, consist of or are contaminated with leaded...
  - A3040 Waste thermal (heat transfer) fluids

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- A3050 Wastes from production, formulation and use of resins, latex, plasticisers,...
- A3060 Waste nitrocellulose
- A3070 Waste phenols, phenol compounds including chlorophenol in the form of...
- A3080 Waste ethers not including those specified on list B
- A3090 Waste leather dust, ash, sludges and flours when containing hexavalent...
- A3100 Waste paring and other waste of leather or of composition...
- A3110 Fellmongery wastes containing hexavalent chromium compounds or biocides or infectious...
- A3120 Fluff — light fraction from shredding
- A3130 Waste organic phosphorous compounds
- A3140 Waste non-halogenated organic solvents but excluding such wastes specified on...
- A3150 Waste halogenated organic solvents
- A3160 Waste halogenated or unhalogenated non-aqueous distillation residues arising from organic...
- A3170 Wastes arising from the production of aliphatic halogenated hydrocarbons (such...
- A3180 Wastes, substances and articles containing, consisting of or contaminated with...
- A3190 Waste tarry residues (excluding asphalt cements) arising from refining, distillation...
- A3200 Bituminous material (asphalt waste) from road construction and maintenance, containing...
- A4 WASTES WHICH MAY CONTAIN EITHER INORGANIC OR ORGANIC CONSTITUENTS
  - A4010 Wastes from the production, preparation and use of pharmaceutical products...
  - A4020 Clinical and related wastes; that is wastes arising from medical,...
  - A4030 Wastes from the production, formulation and use of biocides and...
  - A4040 Wastes from the manufacture, formulation and use of wood-preserving chemicals...
  - A4050 Wastes that contain, consist of or are contaminated with any...
  - A4060 Waste oils/water, hydrocarbons/water mixtures, emulsions
  - A4070 Wastes from the production, formulation and use of inks, dyes,...
  - A4080 Wastes of an explosive nature (but excluding such wastes specified...
  - A4090 Waste acidic or basic solutions, other than those specified in...
  - A4100 Wastes from industrial pollution control devices for cleaning of industrial...
  - A4110 Wastes that contain, consist of or are contaminated with any...
  - A4120 Wastes that contain, consist of or are contaminated with peroxides...
  - A4130 Waste packages and containers containing Annex I substances in concentrations...
  - A4140 Waste consisting of or containing off-specification or out-dated chemicals corresponding...
  - A4150 Waste chemical substances arising from research and development or teaching...
  - A4160 Spent activated carbon not included on list B (note the...

List B (Annex IX to the Basel Convention)

B1 METAL AND METAL BEARING WASTES

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- B1010 Metal and metal-alloy wastes in metallic, non-dispersible form:
- B1020 Clean, uncontaminated metal scrap, including alloys, in bulk finished form...
- B1030 Refractory metals containing residues
- B1031 Molybdenum, tungsten, titanium, tantalum, niobium and rhenium metal and metal...
- B1040 Scrap assemblies from electrical power generation not contaminated with lubricating...
- B1050 Mixed non-ferrous metal, heavy fraction scrap, not containing Annex I...
- B1060 Waste Selenium and Tellurium in metallic elemental form including powder...
- B1070 Waste of copper and copper alloys in dispersible form, unless...
- B1080 Zinc ash and residues including zinc alloys residues in dispersible...
- B1090 Waste batteries conforming to a specification, excluding those made with...
- B1100 Metal-bearing wastes arising from melting, smelting and refining of metals:...
- B1110 Electrical and electronic assemblies:
- B1115 Waste metal cables coated or insulated with plastics, not included...
- B1120 Spent catalysts excluding liquids used as catalysts, containing any of:...
- B1130 Cleaned spent precious-metal-bearing catalysts
- B1140 Precious-metal-bearing residues in solid form which contain traces of inorganic...
- B1150 Precious metals and alloy wastes (gold, silver, the platinum group,...
- B1160 Precious-metal ash from the incineration of printed circuit boards (note...
- 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
- B1200 Granulated slag arising from the manufacture of iron and steel...
- B1210 Slag arising from the manufacture of iron and steel including...
- B1220 Slag from zinc production, chemically stabilised, having a high iron...
- B1230 Mill scaling arising from the manufacture of iron and steel...
- B1240 Copper oxide mill-scale
- B1250 Waste end-of-life motor vehicles, containing neither liquids nor other hazardous...
- B2 WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND...
  - B2010 Wastes from mining operations in non-dispersible form:
  - B2020 Glass waste in non-dispersible form:
  - B2030 Ceramic wastes in non-dispersible form:
  - B2040 Other wastes containing principally inorganic constituents:
  - B2050 Coal-fired power plant fly-ash, not included on list A (note...
  - B2060 Spent activated carbon not containing any Annex I constituents to...
  - B2070 Calcium fluoride sludge
  - B2080 Waste gypsum arising from chemical industry processes not included on...
  - B2090 Waste anode butts from steel or aluminium production made of...
  - B2100 Waste hydrates of aluminium and waste alumina and residues from...
  - B2110 Bauxite residue (red mud) (pH moderated to less than 11,5)...
  - B2120 Waste acidic or basic solutions with a pH greater than...

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- B2130 Bituminous material (asphalt waste) from road construction and maintenance, not...
- B3 WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND...
  - B3010 Solid plastic waste:
  - B3020 Paper, paperboard and paper product wastes
  - B3026 The following waste from the pre-treatment of composite packaging for...
  - B3027 Self-adhesive label laminate waste containing raw materials used in label...
  - B3030 Textile wastes
  - B3035 Waste textile floor coverings, carpets
  - B3040 Rubber wastes
  - B3050 Untreated cork and wood waste:
  - B3060 Wastes arising from agro-food industries provided it is not infectious:...
  - B3065 Waste edible fats and oils of animal or vegetable origin...
  - B3070 The following wastes:
  - B3080 Waste parings and scrap of rubber
  - B3090 Paring and other wastes of leather or of composition leather...
  - B3100 Leather dust, ash, sludges or flours not containing hexavalent chromium...
  - B3110 Fellmongery wastes not containing hexavalent chromium compounds or biocides or...
  - B3120 Wastes consisting of food dyes
  - B3130 Waste polymer ethers and waste non-hazardous monomer ethers incapable of...
  - 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...
  - B4020 Wastes from production, formulation and use of resins, latex, plasticisers,...
  - B4030 Used single use cameras, with batteries not included on list...

### Part 3

#### List A (Annex II to the Basel Convention)

- Y46 Waste collected from households
- Y47 Residues arising from the incineration of household wastes

#### List B (Waste from Appendix 4, Part II of the...)

- Metal bearing wastes
- Wastes containing principally inorganic constituents, which may contain metals and...
- Wastes containing principally organic constituents, which may contain metals and...
- Wastes which may contain either inorganic or organic constituents
- Wastes containing principally inorganic constituents, which may contain metals and...

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## ANNEX VI

## ANNEX VII

### INFORMATION ACCOMPANYING SHIPMENTS OF WASTE AS REFERRED TO IN ARTICLE 3(2) AND (4)

## ANNEX VIII

### GUIDELINES ON ENVIRONMENTALLY SOUND MANAGEMENT (ARTICLE 49)

- I. Guidelines and guidance documents adopted under the Basel Convention:
- II. Guidelines adopted by the OECD:
- III. Guidelines adopted by the International Maritime Organization (IMO):
- IV. Guidelines adopted by the International Labour Organization (ILO):

## ANNEX IX

### ADDITIONAL QUESTIONNAIRE FOR REPORTS BY MEMBER STATES PURSUANT TO ARTICLE 51(2)

Table 1 Information on exceptions to the implementation of the principles of...

Table 2 Objections to planned shipments or disposal (Article 11(1)(g))

Table 3 Objections to planned shipments or recovery (Article 12(1)(c))

Table 4 Information on decisions by competent authorities to issue pre-consents (Article...

Table 5 Information on illegal shipments of waste (Article 24 and Article...

Table 6 Information on any specific customs offices designated by Member States...

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- (1) [OJ C 108, 30.4.2004, p. 58.](#)
- (2) Opinion of the European Parliament of 19 November 2003 ([OJ C 87 E, 7.4.2004, p. 281](#)), Council Common Position of 24 June 2005 ([OJ C 206 E, 23.8.2005, p. 1](#)) and position of the European Parliament of 25 October 2005 (not yet published in the Official Journal). Council Decision of 29 May 2006.
- (3) [OJ L 30, 6.2.1993, p. 1.](#) Regulation as last amended by Commission Regulation (EC) No 2557/2001 ([OJ L 349, 31.12.2001, p. 1](#)).
- (4) [OJ L 310, 3.12.1994, p. 70.](#)
- (5) [OJ L 156, 23.6.1999, p. 37.](#)
- (6) [OJ L 39, 16.2.1993, p. 1.](#)
- (7) [OJ L 39, 16.2.1993, p. 3.](#)
- (8) [OJ L 272, 4.10.1997, p. 45.](#)
- (9) [OJ L 22, 24.1.1997, p. 14.](#)
- (10) [OJ L 273, 10.10.2002, p. 1.](#) Regulation as last amended by Commission Regulation (EC) No 416/2005 ([OJ L 66, 12.3.2005, p. 10](#)).
- (11) [OJ L 114, 27.4.2006, p. 9.](#)
- (12) [OJ L 257, 10.10.1996, p. 26.](#) Directive as last amended by Regulation (EC) No 166/2006 of the European Parliament and of the Council ([OJ L 33, 4.2.2006, p. 1](#)).
- (13) [OJ L 314, 30.11.2001, p. 1.](#)
- (14) [OJ L 184, 17.7.1999, p. 23.](#)

**Status:**

Point in time view as at 31/01/2020.

**Changes to legislation:**

There are currently no known outstanding effects for the Regulation (EC) No 1013/2006 of the European Parliament and of the Council.