

Commission Regulation (EC) No 1379/2007 of 26 November 2007
amending Annexes IA, IB, VII and VIII of Regulation (EC) No
1013/2006 of the European Parliament and of the Council on shipments
of waste, for the purposes of taking account of technical progress and
changes agreed under the Basel Convention (Text with EEA relevance)

Status: This is the original version (as it was originally adopted).

ANNEX I

Annex IA to Regulation (EC) No 1013/2006 is replaced by the following:

ANNEX IA

Notification document for transboundary movements/shipments of waste

1. Exporter — notifier Registration No: Name: Address: Contact person: Tel.: Fax: E-mail:	3. Notification No: Notification concerning A. (i) Individual shipment: <input type="checkbox"/> (ii) Multiple shipments: <input type="checkbox"/> B. (i) Disposal ⁽¹⁾ : <input type="checkbox"/> (ii) Recovery: <input type="checkbox"/> C. Pre-consented recovery facility ⁽²⁾ ⁽³⁾ Yes <input type="checkbox"/> No <input type="checkbox"/>
2. Importer — consignee Registration No: Name: Address: Contact person: Tel.: Fax: E-mail:	4. Total intended number of shipments: 5. Total intended quantity ⁽⁴⁾: Tonnes (Mg): m ³ : 6. Intended period of time for shipment(s) ⁽⁴⁾: First departure: Last departure: 7. Packaging type(s) ⁽⁵⁾: Special handling requirements ⁽⁶⁾: Yes <input type="checkbox"/> No <input type="checkbox"/>
8. Intended carrier(s) Registration No: Name ⁽⁷⁾ : Address: Contact person: Tel.: Fax: E-mail: Means of transport ⁽⁵⁾ :	11. Disposal/recovery operation(s) ⁽²⁾ D-code/R-code ⁽⁵⁾ : Technology employed ⁽⁶⁾ : Reason for export ⁽¹⁾ ⁽⁶⁾ : 12. Designation and composition of the waste ⁽⁶⁾:
9. Waste generator(s)—producer(s) ⁽¹⁾ ⁽⁷⁾ ⁽⁸⁾ Registration No: Name: Address: Contact person: Tel.: Fax: E-mail: Site and process of generation ⁽⁶⁾	13. Physical characteristics ⁽⁵⁾: 14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EC list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code ⁽⁵⁾ : (ix) UN class ⁽⁵⁾ : (x) UN number: (xi) UN shipping name: (xii) Customs code(s) (HS):
10. Disposal facility ⁽²⁾: <input type="checkbox"/> or recovery facility ⁽²⁾: <input type="checkbox"/> Registration No: Name: Address: Contact person: Tel.: Fax: E-mail: Actual site of disposal/recovery:	

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15. (a) Countries/States concerned, (b) code No of competent authorities where applicable, (c) specific points of exit or entry (border crossing or port)							
State of export — dispatch		State(s) of transit (entry and exit)				State of import — destination	
(a)							
(b)							
(c)							
16. Customs offices of entry and/or exit and/or export (European Community):							
Entry:		Exit:			Export:		
17. Exporter's — notifier's/generator's — producer's ⁽¹⁾ declaration:							
I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.						18. Number of annexes attached	
Exporter's — notifier's name:		Date:	Signature:				
Generator's — producer's name:		Date:	Signature:				
FOR USE BY COMPETENT AUTHORITIES							
19. Acknowledgement from the relevant competent authority of countries of import — destination/transit ⁽¹⁾/export — dispatch ⁽²⁾:				20. Written consent ⁽¹⁾ ⁽⁶⁾ to the movement provided by the competent authority of (country):			
Country:				Consent given on:			
Notification received on:				Consent valid from:		until:	
Acknowledgement sent on:				Specific conditions: No: <input type="checkbox"/> If Yes, see block 21 ⁽⁶⁾ : <input type="checkbox"/>			
Name of competent authority:				Name of competent authority:			
Stamp and/or signature:				Stamp and/or signature:			
21. Specific conditions on consenting to the movement or reasons for objecting							

⁽¹⁾ Required by the Basel Convention.

⁽²⁾ In the case of an R12/R13 or D13-D15 operation, also attach corresponding information on any subsequent R12/R13 or D13-D15 facilities and on the subsequent R1-R11 or D1-D12 facility/ies when required.

⁽³⁾ To be completed for movements within the OECD area and only if B(ii) applies.

⁽⁴⁾ Attach detailed list if multiple shipments.

⁽⁵⁾ See list of abbreviations and codes on the next page.

⁽⁶⁾ Attach details if necessary.

⁽⁷⁾ Attach list if more than one.

⁽⁸⁾ If required by national legislation.

⁽⁹⁾ If applicable under the OECD Decision.

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List of abbreviations and codes used in the notification document

DISPOSAL OPERATIONS (block 11)

- 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 list which results in final compounds or mixtures which are discarded by means of any of the operations in this list
- D9 Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (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 this list
- D14 Repackaging prior to submission to any of the operations in this list
- D15 Storage pending any of the operations in this list

RECOVERY OPERATIONS (block 11)

- R1 Use as a fuel (other than in direct incineration) or other means to generate energy (Basel/OECD) — Use principally as a fuel or other means to generate energy (EU)
- R2 Solvent reclamation/regeneration
- R3 Recycling/reclamation of organic substances which are not used as solvents
- R4 Recycling/reclamation of metals and metal compounds
- R5 Recycling/reclamation of other inorganic materials
- R6 Regeneration of acids or bases
- R7 Recovery of components used for pollution abatement
- R8 Recovery of components from catalysts
- R9 Used oil re-refining or other reuses of previously used oil
- R10 Land treatment resulting in benefit to agriculture or ecological improvement
- R11 Uses of residual materials obtained from any of the operations numbered R1-R10
- R12 Exchange of wastes for submission to any of the operations numbered R1-R11
- R13 Accumulation of material intended for any operation in this list.

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PACKAGING TYPES (block 7)	H-CODE AND UN CLASS (block 14)		
1. Drum 2. Wooden barrel 3. Jerrican 4. Box 5. Bag 6. Composite packaging 7. Pressure receptacle 8. Bulk 9. Other (specify)	UN Class	H-code	Characteristics
	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 water, emit flammable gases
	5.1	H5.1	Oxidising
	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
MEANS OF TRANSPORT (block 8) R = Road T = Train/rail S = Sea A = Air W = Inland waterways			
PHYSICAL CHARACTERISTICS (block 13) 1. Powdery/powder 2. Solid 3. Viscous/paste 4. Sludgy 5. Liquid 6. Gaseous 7. Other (specify)			

Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention.

ANNEX II

Annex IB to Regulation (EC) No 1013/2006 is replaced by the following:

Status: This is the original version (as it was originally adopted).

ANNEX IB

Movement document for transboundary movements/shipments of waste

1. Corresponding to notification No:		2. Serial/total number of shipments:	
3. Exporter — notifier Registration No:		4. Importer — consignee Registration No:	
Name:		Name:	
Address:		Address:	
Contact person:		Contact person:	
Tel.: Fax:		Tel.: Fax:	
E-mail:		E-mail:	
5. Actual quantity: tonnes (Mg): m ³ :	6. Actual date of shipment:		
7. Packaging Type(s) (1): Number of packages:			
Special handling requirements: (2) Yes: <input type="checkbox"/> No: <input type="checkbox"/>			
8.(a) First carrier (3):	8.(b) Second Carrier (3):	8.(c) Last carrier (3):	
Registration No:	Registration No:	Registration No:	
Name:	Name:	Name:	
Address:	Address:	Address:	
Tel.:	Tel.:	Tel.:	
Fax:	Fax:	Fax:	
E-mail:	E-mail:	E-mail:	
----- <i>To be completed by carrier's representative</i> -----			
Means of transport (1):		More than three carriers (2) <input type="checkbox"/>	
Date of transfer:			
Signature:			
Means of transport (1):		Means of transport (1):	
Date of transfer:		Date of transfer:	
Signature:		Signature:	
9. Waste generator(s) — producer(s) (4) (5) (6):		12. Designation and composition of the waste (2):	
Registration No:			
Name:			
Address:			
Contact person:			
Tel.: Fax:			
E-mail:			
Site of generation (2):			
10. Disposal facility <input type="checkbox"/> or recovery facility <input type="checkbox"/>		13. Physical characteristics (1):	
Registration No:			
Name:			
Address:			
Contact person:			
Tel.: Fax:			
E-mail:			
Actual site of disposal/recovery (2)			
11. Disposal/recovery operation(s)		14. Waste identification (<i>fill in relevant codes</i>)	
D-code/R-code (1):		(i) Basel Annex VIII (or IX if applicable):	
		(ii) OECD code (if different from (i)):	
		(iii) EC list of wastes:	
		(iv) National code in country of export	
		(v) National code in country of import:	
		(vi) Other (specify):	
		(vii) Y-code:	
		(viii) H-code (1):	
		(ix) UN class (1):	
		(x) UN number:	
		(xi) UN shipping name:	
		(xii) Customs code(s) (HS):	

Status: This is the original version (as it was originally adopted).

15. Exporter's — notifier's/generator's — producer's⁽⁴⁾ declaration: I certify that the above information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into, that any applicable insurance or other financial guarantee is in force covering the transboundary movement and that all necessary consents have been received from the competent authorities of the countries concerned. Name: _____ Signature: _____ Date: _____	
16. For use by any person involved in the transboundary movement in case additional information is required	
17. Shipment received by importer — consignee (if not facility): Name: _____ Signature: _____ Date: _____	
TO BE COMPLETED BY DISPOSAL/RECOVERY FACILITY	
18. Shipment received at disposal facility <input type="checkbox"/> or recovery facility <input type="checkbox"/> Date of reception: _____ Accepted: <input type="checkbox"/> Rejected ^(*) : <input type="checkbox"/> Quantity received: Tonnes (Mg): _____ m ³ : _____ <i>(*) immediately contact competent authorities</i> Approximate date of disposal/recovery: _____ Disposal/recovery operation ⁽¹⁾ : _____ Name: _____ Date: _____ Signature: _____	19. I certify that the disposal/recovery of the waste described above has been completed Name: _____ Date: _____ Signature and stamp: _____

⁽¹⁾ See list of abbreviations and codes on the next page.

⁽²⁾ Attach details if necessary.

⁽³⁾ If more than three carriers, attach information as required in blocks 8 (a,b,c).

⁽⁴⁾ Required by the Basel Convention.

⁽⁵⁾ Attach list if more than one.

⁽⁶⁾ If required by national legislation.

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FOR USE BY CUSTOMS OFFICES (if required by national legislation)			
20. Country of export — dispatch or customs office of exit		21. Country of import — destination or customs office of entry	
The waste described in this movement document left the country on:		The waste described in this movement document entered the country on:	
Signature:		Signature:	
Stamp:		Stamp:	
22. Stamps of customs offices of transit countries			
Name of country:		Name of country:	
Entry:	Exit:	Entry:	Exit:
Name of country:		Name of country:	
Entry:	Exit:	Entry:	Exit:

List of abbreviations and codes used in the movement document

DISPOSAL OPERATIONS (block 11)	RECOVERY OPERATIONS (block 11)
D1 Deposit into or onto land (e.g. landfill, etc.)	R1 Use as a fuel (other than in direct incineration) or other means to generate energy (Basel/OECD) — Use principally as a fuel or other means to generate energy (EU)
D2 Land treatment (e.g. biodegradation of liquid or sludgy discards in soils, etc.)	R2 Solvent reclamation/regeneration
D3 Deep injection (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)	R3 Recycling/reclamation of organic substances which are not used as solvents
D4 Surface impoundment (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)	R4 Recycling/reclamation of metals and metal compounds
D5 Specially engineered landfill (e.g. placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)	R5 Recycling/reclamation of other inorganic materials
D6 Release into a water body except seas/oceans	R6 Regeneration of acids or bases
D7 Release into seas/oceans including sea-bed insertion	R7 Recovery of components used for pollution abatement
D8 Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list	R8 Recovery of components from catalysts
D9 Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g., evaporation, drying, calcination, etc.)	R9 Used oil re-refining or other reuses of previously used oil
D10 Incineration on land	R10 Land treatment resulting in benefit to agriculture or ecological improvement
D11 Incineration at sea	R11 Uses of residual materials obtained from any of the operations numbered R1 to R10
D12 Permanent storage (e.g. emplacement of containers in a mine, etc.)	R12 Exchange of wastes for submission to any of the operations numbered R1 to R11
D13 Blending or mixing prior to submission to any of the operations in this list	R13 Accumulation of material intended for any operation in this list
D14 Repackaging prior to submission to any of the operations in this list	
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	4.2	H4.2	Substances or wastes liable to spontaneous combustion
	4.3	H4.3	Substances or wastes which, in contact with water, emit flammable gases
	5.1	H5.1	Oxidising
	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
MEANS OF TRANSPORT (block 8) R = Road T = Train/rail S = Sea A = Air W = Inland waterways			
PHYSICAL CHARACTERISTICS (block 13) 1. Powdery/powder 2. Solid 3. Viscous/paste 4. Sludgy 5. Liquid 6. Gaseous 7. Other (specify)			

Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention.

ANNEX III

Annex VII to Regulation (EC) No 1013/2006 is replaced by the following:

ANNEX IV

Annex VIII to Regulation (EC) No 1013/2006 is replaced by the following:

‘ANNEX VIII

GUIDELINES ON ENVIRONMENTALLY SOUND MANAGEMENT (ARTICLE 49)

- I. Guidelines adopted under the Basel Convention:
 1. Technical Guidelines on the Environmentally Sound Management of Biomedical and Health Care Wastes (Y1; Y3)⁽¹⁾;
 2. Technical Guidelines on the Environmentally Sound Management of Waste Lead Acid Batteries⁽¹⁾;
 3. Technical Guidelines on the Environmentally Sound Management of the Full and Partial Dismantling of Ships⁽¹⁾;
 4. Technical Guidelines on the Environmentally Sound Recycling/Reclamation of Metals and Metal Compounds (R4)⁽²⁾;
 5. Updated General Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with Persistent Organic Pollutants (POPs)⁽³⁾;
 6. Updated Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with Polychlorinated Biphenyls (PCBs), Polychlorinated Terphenyls (PCTs) or Polybrominated Biphenyls (PBBs)⁽³⁾;
 7. Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with the Pesticides Aldrin, Chlordane, Dieldrin, Endrin, Heptachlor, Hexachlorobenzene (HCB), Mirex or Toxaphene or with HCB as an Industrial Chemical⁽³⁾;
 8. Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with 1,1,1-trichloro-2,2-bis (4 chlorophenyl)ethane (DDT)⁽³⁾;
 9. Technical Guidelines for the Environmentally Sound Management of Wastes Containing or Contaminated with Unintentionally Produced Polychlorinated Dibenzop-dioxins (PCDDs), Polychlorinated Dibenzofurans (PCDFs), Hexachlorobenzene (HCB) or Polychlorinated Biphenyls (PCBs)⁽³⁾.
- II. Guidelines adopted by the OECD:

Technical guidance for the environmentally sound management of specific waste streams:
Used and scrap personal computers⁽⁴⁾.
- III. Guidelines adopted by the International Maritime Organisation (IMO):

Guidelines on ship recycling⁽⁵⁾.
- IV. Guidelines adopted by the International Labour Organisation (ILO):

Status: This is the original version (as it was originally adopted).

Safety and health in shipbreaking: guidelines for Asian countries and Turkey⁽⁶⁾.

Status: This is the original version (as it was originally adopted).

- (1) Adopted by the sixth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Waste and Their Disposal, 9-13 December 2002.
- (2) Adopted by the seventh meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, 25-29 October 2004.
- (3) Adopted by the eighth meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, 27 November-1 December 2006.
- (4) Adopted by the Environment Policy Committee of the OECD in February 2003 (document ENV/EPOC/WGWPR(2001)3/FINAL).
- (5) Resolution A.962 adopted by the Assembly of the IMO at its 23rd Regular session, 24 November to 5 December 2003.
- (6) Approved for publication by the Governing Body of the ILO at its 289th session, 11-26 March 2004.