
STATUTORY INSTRUMENTS

2007 No. 1711

The Transfrontier Shipment of Waste Regulations 2007

PART 1

Introduction

Title and commencement

1. These Regulations may be cited as the Transfrontier Shipment of Waste Regulations 2007 and come into force on 12th July 2007.

Application

^{F1}2.

Textual Amendments

F1 Reg. 2 revoked (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014](#) (S.I. 2014/861), regs. 1, 3 (with reg. 23)

Scope of the Regulations

3. These Regulations do not apply to the transit of waste occurring only through the marine area.

Interpretation

4.—(1) In these Regulations—

“Annex VII document” means the document set out in Annex VII to the Community Regulation;

“authorised person” means a person authorised by a competent authority in accordance with regulation [^{F2}50A(1)] ;

[^{F3}“Commission Regulation (EC) No 1418/2007” means [Commission Regulation \(EC\) No 1418/2007](#) concerning the export for recovery of certain waste listed in Annex III or IIIA to Regulation (EC) No 1013/2006 of the European Parliament and of the Council to certain countries to which the OECD Decision on the control of transboundary movements of wastes does not apply;]

“the Community Regulation” means Regulation (EC) No 1013/2006 of the European Parliament and of the Council on shipments of waste;

[^{F4}“competent authority” means a competent authority within the meaning of regulation 6 or 7;

“the English area” means that part of the marine area which is not the Northern Irish area, the Scottish area or the Welsh area;]

[^{F5}“the marine area” means—

- (a) the area of sea within the seaward limits of the territorial sea adjacent to the United Kingdom, including—
 - (i) any area submerged at mean high water spring tide, and
 - (ii) the waters of every estuary, bay, river or channel, so far as the tide flows at mean high water spring tide,
- (b) the seabed and the subsoil within any area designated under subsection (7) of section 1 of the Continental Shelf Act 1964 (exploration and exploitation of continental shelf), and
- (c) waters superjacent to the seabed and the seabed and its subsoil within any area designated under subsection (4) of section 84 of the Energy Act 2004 (exploitation of areas outside the territorial sea for energy production);]

[^{F6}“the Northern Irish area” means such of the marine area adjacent to Northern Ireland which lies to the west of the Northern Irish border;]

“notifiable waste” means waste that is subject to the prior written notification and consent procedures of Title II of the Community Regulation, by virtue of any provision of that Regulation;

[^{F7}“the Scottish area” means such of the marine area adjacent to Scotland which lies to the north of the Scottish border and east of the Northern Irish border;]

“waste vessel” means any vessel or any part of any vessel that is in itself waste within the meaning of the Community Regulation.

[^{F8}“the Welsh area” means such of the marine area adjacent to Wales which lies within the Welsh border;

“working day” means any day except a Saturday, a Sunday, Christmas Day, Good Friday or a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in any part of the United Kingdom.]

[^{F9}(1A) In these Regulations—

- (a) any reference to England, Wales, Scotland or Northern Ireland excludes any part of the marine area; and
- (b) except in the case of any reference to the territorial sea adjacent to the United Kingdom and in the definition of “Dividing Line” in regulation 4A(4), any reference to the United Kingdom includes the marine area.]

(2) Expressions used in these Regulations that are also used in the Community Regulation have the same meaning in these Regulations as they have in the Community Regulation.

(3) Any reference in these Regulations to—

- (a) an Article is, save where the context otherwise requires, a reference to an Article of the Community Regulation;
- (b) the Community Regulation is a reference to that Regulation as amended from time to time[^{F10};
- (c) [Commission Regulation \(EC\) No 1418/2007](#) is a reference to that Regulation as amended from time to time].

Textual Amendments

- F2** Word in reg. 4(1) substituted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **4(2)(a)** (with reg. 23)

- F3** Words in reg. 4(1) inserted (5.2.2008) by Transfrontier Shipment of Waste (Amendment) Regulations 2008 (S.I. 2008/9), regs. 1, **3(1)**
- F4** Words in reg. 4(1) inserted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(2)(b)** (with reg. 23)
- F5** Words in reg. 4(1) substituted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(2)(c)** (with reg. 23)
- F6** Words in reg. 4(1) inserted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(2)(d)** (with reg. 23)
- F7** Words in reg. 4(1) inserted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(2)(e)** (with reg. 23)
- F8** Words in reg. 4(1) inserted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(2)(f)** (with reg. 23)
- F9** Reg. 4(1A) inserted (1.5.2014) by The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, **4(3)** (with reg. 23)
- F10** Reg. 4(3)(c) and semicolon inserted (5.2.2008) by Transfrontier Shipment of Waste (Amendment) Regulations 2008 (S.I. 2008/9), regs. 1, **3(2)**

[F11] The Northern Irish border, the Scottish border and the Welsh border

4A.—(1) In these Regulations, “the Northern Irish border” means a line joining the co-ordinates numbered 1 to 12 in Part 1 of Schedule A1.

(2) In these Regulations, “the Scottish border” means—

(a) in the North Sea, a line—

- (i) joining the co-ordinates numbered 1 to 7 in Part 2 of Schedule A1,
- (ii) then following, in a south easterly direction, the seaward limits of the territorial sea adjacent to the United Kingdom until the co-ordinate 55° 50' 00" N; 1° 27' 31" W, and
- (iii) then following, in an easterly direction, the parallel of latitude 55° 50' 00" N until its intersection with the Dividing Line; and

(b) in the Irish Sea, a line—

- (i) joining the co-ordinates numbered 1 to 8 in Table 1 of Part 3 of Schedule A1,
- (ii) then following the seaward limits of the territorial sea adjacent to the United Kingdom until the co-ordinate numbered 1 in Table 2 of Part 3 of Schedule A1, and
- (iii) then joining the co-ordinates numbered 1 to 3 in Table 2 of Part 3 of Schedule A1.

(3) In these Regulations, “the Welsh border” means a line—

- (a) joining the co-ordinates numbered 1 to 8 in Table 1 of Part 4 of Schedule A1,
- (b) then following the seaward limits of the territorial sea adjacent to Wales until the co-ordinate numbered 15 in Table 2 of Part 4 of Schedule A1, and
- (c) then joining the co-ordinates numbered 15 to 1 in Table 2 of Part 4 of Schedule A1.

(4) In this regulation—

“co-ordinate” means a co-ordinate of latitude and longitude on the World Geodetic System 1984;

“Dividing Line” means the dividing line as defined in Article 1 of the Agreement between the United Kingdom and the Federal Republic of Germany relating to the Delimitation of the Continental Shelf under the North Sea between the two countries, signed in London on 25th November 1971;

“line” means a loxodromic line.

Textual Amendments

F11 Reg. 4A, 4B inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 5 (with reg. 23)

Offshore installations

4B.—(1) In these Regulations, “offshore installation” means an installation or structure, other than a ship, situated in the waters of, or on or under the seabed in, the marine area and used for carrying on any of the following activities—

- (a) the exploitation, or the exploration with a view to exploitation, of mineral resources in or under the shore or bed of waters in the marine area;
 - (b) the exploration of a place in, under or over such waters with a view to the storage of gas;
 - (c) the conversion of a place under the shore or bed of such waters for the purpose of storing gas;
 - (d) the storage of gas in, under or over such waters or the recovery of gas so stored;
 - (e) the unloading of gas at a place in, under or over such waters;
 - (f) the conveyance of things by means of a pipe, or system of pipes, constructed or placed on, in or under the shore or bed of such waters;
 - (g) the provision of accommodation for persons who work on or from an installation which is or has been maintained, or is intended to be established, for the carrying on of an activity in this paragraph.
- (2) In paragraph (1)—
- (a) “gas” means—
 - (i) gas as defined in section 2(4) of the Energy Act 2008, or
 - (ii) carbon dioxide;
 - (b) “installation” includes an installation as defined in section 16 of the Energy Act 2008;
 - (c) “ship” includes a hovercraft, submersible craft and any other floating craft but not a vessel which—
 - (i) permanently rests on or is permanently attached to the seabed, or
 - (ii) is an installation as defined in section 16 of the Energy Act 2008;
 - (d) references to storing gas include storing gas with a view to its permanent disposal.]

Textual Amendments

F11 Reg. 4A, 4B inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 5 (with reg. 23)

Meaning of transport and person who transports waste

5.—(1) Any reference in these Regulations to transport includes consigning for transport.

(2) Any reference in these Regulations to a person who transports waste includes the following persons—

- (a) the notifier;
- (b) any transporter of waste, by land or otherwise—

- (i) into or in the United Kingdom; or
- (ii) from the United Kingdom;
- (c) any freight-forwarder; or
- (d) any other person involved in the shipment of waste.

Competent authorities of destination and dispatch

- ^{F12}6. The competent authorities of destination and dispatch ^{F13}... are—
- (a) in England and the English area, the Environment Agency;
 - (b) in Wales and the Welsh area, the Natural Resources Body for Wales;
 - (c) in Scotland and the Scottish area, the Scottish Environment Protection Agency;
 - (d) in Northern Ireland and the Northern Irish area, the Department of [^{F14}Agriculture, Environment and Rural Affairs] in Northern Ireland.]

Textual Amendments

- F12** Reg. 6 substituted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **6** (with reg. 23)
- F13** Words in reg. 6 omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **14**; 2020 c. 1, Sch. 5 para. 1(1)
- F14** Words in reg. 6(d) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **4**

Competent authority of transit

^{F15}7.—(1) The Environment Agency is the competent authority of transit for the United Kingdom
^{F16}....

(2) The Natural Resources Body for Wales, the Scottish Environment Protection Agency and the [^{F17}Department of Agriculture, Environment and Rural Affairs] in Northern Ireland must supply the Environment Agency with any information which the Environment Agency may require in connection with its functions as the competent authority of transit [^{F18}under the Community Regulation].]

Textual Amendments

- F15** Reg. 7 substituted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **7** (with reg. 23)
- F16** Words in reg. 7(1) omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **15(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F17** Words in reg. 7(2) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **5**
- F18** Words in reg. 7(2) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **15(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Correspondent

^{F19}8.

Textual Amendments

F19 Reg. 8 omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **16**; 2020 c. 1, Sch. 5 para. 1(1)

Notices

9.—(1) Any notice under these Regulations must be in writing.

(2) A notice may be subject to conditions and may be amended, suspended or revoked by notice in writing at any time.

(3) A notice may be served on a person by—

- (a) delivering it to him in person;
- (b) leaving it at his proper address; or
- (c) sending it by post or electronic means to him at his proper address.

(4) Any such notice may—

- (a) in the case of a body corporate, be served on the secretary or clerk of that body;
- (b) in the case of a partnership, be served on a partner or a person having the control or management of the partnership business.

(5) If the person to be served with any such notice has specified an address in the United Kingdom other than his proper address as the one at which he or someone on his behalf will accept notices of the same description as those notices, that address is also to be treated for the purposes of this regulation as his proper address.

(6) For the purposes of this regulation, “proper address” means a person’s last known address, which for the purposes of paragraph (3)(c) includes an e-mail address, except that—

- (a) in the case of a body corporate or its secretary or clerk it is the address of the registered or principal office of that body;
- (b) in the case of a partnership, partner or person having the control or management of the partnership business, it is the principal office of the partnership,

and for the purposes of this paragraph, the principal office of a company registered outside the United Kingdom or of a partnership carrying on business outside the United Kingdom is its principal office within the United Kingdom.

Transitional provisions

^{F20}**10.**

Textual Amendments

F20 Reg. 10 omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **17**; 2020 c. 1, Sch. 5 para. 1(1)

PART 2

[^{F21}UK Plan for Shipments of Waste]

Textual Amendments

F21 Pt. 2 heading substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **18**; 2020 c. 1, Sch. 5 para. 1(1)

Waste management plan

^{F22}**11.**

Textual Amendments

F22 Reg. 11 omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **19**; 2020 c. 1, Sch. 5 para. 1(1)

[^{F23}UK Plan for Shipments of Waste: continuation and changes

11A.—(1) The UK Plan for Shipments of Waste of May 2012 continues to have effect.

(2) The Secretary of State may from time to time amend or replace the UK Plan for Shipments of Waste of May 2012; and that plan, as amended or replaced, is referred to in this Part as “the UK Plan”.

(3) Before amending or replacing the UK Plan, the Secretary of State must be satisfied that the change meets the objectives set out in—

- (a) Article 4(2)(b) and (d) and (9)(a) of the Basel Convention⁽¹⁾; and
- (b) paragraphs 1 to 3 of Schedule 1 to the Waste (England and Wales) Regulations 2011, reading those paragraphs as if—
 - (i) the objectives in those paragraphs related to the United Kingdom as a whole;
 - (ii) in paragraph 2(2), the reference to the appropriate authority were a reference to the Secretary of State.]

Textual Amendments

F23 Reg. 11A inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **20**; 2020 c. 1, Sch. 5 para. 1(1)

Public participation procedures

12.—(1) As soon as reasonably practicable after preparing proposals for [^{F24}amending or replacing the UK Plan], the Secretary of State must—

- (a) take such steps as he considers appropriate to bring the proposals to the attention of the persons who in his opinion are affected or likely to be affected by, or have an interest in, the [^{F25}proposals] (in this Part, referred to as “public consultees”);

(1) OJ No L 114, 27.4.2006, p 9.

- (b) inform public consultees of the address from which a copy of the proposals may be obtained;
 - (c) invite public consultees to express their opinions on the proposals, specifying the address to which, and the period within which, opinions must be sent.
- (2) The period referred to in paragraph (1)(c) must be sufficient to ensure that public consultees are given an effective opportunity to express their opinions on the proposals.
- (3) The Secretary of State must keep a copy of the proposals for inspection by the public at all reasonable times free of charge.
- (4) The Secretary of State may make a reasonable charge for copies provided under paragraph (1)(b).

Textual Amendments

- F24** Words in reg. 12(1) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **21(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F25** Word in reg. 12(1)(a) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **21(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Procedures following public participation

13.—(1) Before decisions on [^{F26}amending or replacing the UK Plan] are made, the Secretary of State must take account of any opinions expressed by public consultees in accordance with regulation 12.

(2) As soon as reasonably practicable after making decisions on [^{F27}amending or replacing the UK Plan], the Secretary of State must—

- (a) inform public consultees of the matters referred to in paragraph (3);
 - (b) take such steps as he considers appropriate to bring those matters to the attention of the public;
 - (c) if he has [^{F28}amended or replaced the UK Plan], make a copy of it available for inspection at all reasonable times free of charge.
- (3) The matters are—
- (a) the decisions made by the Secretary of State on the [^{F29}proposals];
 - (b) the reasons and considerations upon which those decisions are based; and
 - (c) information about the public participation procedure.

Textual Amendments

- F26** Words in reg. 13(1) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **22(2)**; 2020 c. 1, Sch. 5 para. 1(1)
- F27** Words in reg. 13(2) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **22(3)(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F28** Words in reg. 13(2)(c) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **22(3)(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F29** Word in reg. 13(3)(a) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **22(4)**; 2020 c. 1, Sch. 5 para. 1(1)

Provision of the plan to competent authorities

14. The Secretary of State must [^{F30}, on amending or replacing the UK Plan, send a copy of it] to—
- (a) the Environment Agency;
 - [^{F31}(aa) the Natural Resources Body for Wales;]
 - (b) the Scottish Environment Protection Agency; and
 - (c) the Department of [^{F32}Agriculture, Environment and Rural Affairs] in Northern Ireland.

Textual Amendments

- F30** Words in reg. 14 substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **23**; 2020 c. 1, Sch. 5 para. 1(1)
- F31** Reg. 14(aa) inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **9** (with reg. 23)
- F32** Words in reg. 14(c) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **6**

Objections to shipments of waste

15. For the purpose of preventing shipments of waste that are not in accordance with the [^{F33}UK Plan]—
- (a) a competent authority of destination must object to any shipment notified in accordance with the Community Regulation which [^{F34}the UK Plan] indicates should not be brought into the United Kingdom; and
 - (b) a competent authority of dispatch must object to any shipment notified in accordance with the Community Regulation which [^{F35}the UK Plan] indicates should not be dispatched from the United Kingdom.

Textual Amendments

- F33** Words in reg. 15 substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **24(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F34** Words in reg. 15(a) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **24(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F35** Words in reg. 15(b) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **24(c)**; 2020 c. 1, Sch. 5 para. 1(1)

[^{F36}Waste Management Licensing Regulations 1994][^{F36}The Waste (England and Wales) Regulations 2011]

16. [^{F37}Paragraph 6(1)(c) of Schedule 4 to the Waste Management Licensing (Scotland) Regulations 2011][^{F36}and paragraph 4(1)(b) of Part 1 of Schedule 3 to the Waste Management Licensing Regulations (Northern Ireland) 2003(2) have effect as if the references in those paragraphs to any plan made under the plan-making provisions include references to [^{F38}the UK Plan].]

[^{F36}The reference to a waste management plan in regulation 7 of the Waste (England and Wales) Regulations 2011 includes [^{F38}the UK Plan].]

Textual Amendments

- F36** Reg. 16 substituted (E.W.) (1.1.2017) by [The Environmental Permitting \(England and Wales\) Regulations 2016 \(S.I. 2016/1154\)](#), regs. 1(1), **76** (with regs. 1(3), 77-79, Sch. 4)
- F37** Words in reg. 16 substituted (S.NI.) (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **7**
- F38** Words in reg. 16 substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **25**; 2020 c. 1, Sch. 5 para. 1(1)

PART 3

General requirements for shipment of waste

Protection of the environment

17. A person commits an offence if he fails to comply with Article 49(1) (the management of shipments of waste in an environmentally sound manner and without endangering human health).

Compliance with notification etc.

- 18.** A person commits an offence if he transports waste other than in accordance with—
- the notification document or movement document, in the case of notifiable waste; or
 - the Annex VII document, in the case of waste subject to the procedural requirements of Article 18(1).

PART 4

Shipment of waste ^[F39]between the United Kingdom and EU countries]

Textual Amendments

- F39** Words in Pt. 4 heading substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **26**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for shipments of notifiable waste

19.—(1) This regulation applies to waste specified in Article 3(1)(a) or (b) ^[F40]or Article 3(5) that originates in ^[F41]the United Kingdom or ^[F42]the European Union] and is either brought into the United Kingdom or destined for ^[F43]an EU country], whether or not that waste passes through a ^[F44]non-EU country].

- (2) A person who transports such waste commits an offence if he does so without—
- the competent authority of dispatch having been notified in accordance with Article 4;
 - a contract having been entered into or a declaration having been made in accordance with Article 5;
 - a financial guarantee or equivalent insurance being in place and approved by the competent authority in accordance with Article 6;

- (d) a consent issued by the competent authority of dispatch and destination in accordance with Article 9 and a consent issued by the competent authority of transit, unless there is tacit consent to the transit in accordance with Article 9(1);
 - (e) the movement document having been—
 - (i) completed in accordance with Article 16, first paragraph and Article 16(a); or
 - (ii) sent to the competent authorities concerned and the consignee in accordance with Article 16(b);
 - (f) the waste being accompanied by the movement document and notification document in accordance with Article 16(c); or
 - (g) the competent authorities and consignee having been notified of any change in the details or conditions of the shipment in accordance with Article 17 and, in such a case, a new notification having been submitted in accordance with that Article.
- (3) He commits an offence if—
- (a) he does so in breach of any condition imposed under Article 10;
 - (b) in the case of a shipment covered by a general notification, he does so without the competent authorities concerned having been notified of a change in route in accordance with Article 13(2);
 - (c) in the case of a shipment of waste destined for an interim recovery or disposal operation, he does so without the notification document having been completed in accordance with Article 15(a); or
 - (d) he fails to comply with Article 19.

Textual Amendments

- F40** Words in reg. 19(1) inserted (5.2.2008) by [Transfrontier Shipment of Waste \(Amendment\) Regulations 2008 \(S.I. 2008/9\)](#), regs. 1, 4
- F41** Words in reg. 19(1) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **27(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F42** Words substituted (22.4.2011) by [The Treaty of Lisbon \(Changes in Terminology\) Order 2011 \(S.I. 2011/1043\)](#), arts. 2, **3-6**
- F43** Words in reg. 19(1) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **27(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F44** Words in reg. 19(1) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **27(c)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for shipment of waste specified in Article 3(2) and (4)

20.—(1) This regulation applies to waste specified in Article 3(2) or (4) that originates in [^{F45}the United Kingdom or][^{F46}the European Union] and is either brought into the United Kingdom or is destined for [^{F47}an EU country], whether or not that waste passes through a [^{F48}non-EU country].

- (2) A person who transports such waste commits an offence if—
- (a) he does so without the waste being accompanied by a completed Annex VII document in accordance with Article 18(1)(a), that is signed in accordance with Article 18(1)(b);
 - (b) in the case of waste specified in Article 3(2), he does so without a contract as referred to in Article 18(2) having been entered into; or
 - (c) he fails to comply with Article 19.

Textual Amendments

- F45** Words in [reg. 20\(1\)](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **28(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F46** Words substituted (22.4.2011) by [The Treaty of Lisbon \(Changes in Terminology\) Order 2011 \(S.I. 2011/1043\)](#), arts. 2, 3-6
- F47** Words in [reg. 20\(1\)](#) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **28(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F48** Words in [reg. 20\(1\)](#) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **28(c)**; 2020 c. 1, Sch. 5 para. 1(1)

PART 5

Export of waste to [^{F49}non-EU countries]

Textual Amendments

- F49** Words in [Pt. 5](#) heading substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **29**; 2020 c. 1, Sch. 5 para. 1(1)

Prohibition on export of waste for disposal other than to [^{F50}EU or]EFTA countries

21. A person commits an offence if he transports waste destined for disposal in a [^{F51}non-EU] country in breach of Article 34 (prohibition on export except, in certain circumstances, to [^{F52}EU or] EFTA countries Parties to the Basel Convention).

Textual Amendments

- F50** Words in [reg. 21](#) heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **30(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F51** Word in [reg. 21](#) substituted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **30(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F52** Words in [reg. 21](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **30(c)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for export of waste for disposal to EFTA countries

22.—(1) This regulation applies to waste destined for disposal in any EFTA country Party to the Basel Convention.

(2) A person who transports such waste commits an offence if he does so—

- (a) without the provisions of Article 35(1) having been complied with (procedural requirements for export to EFTA countries); or
- (b) in breach of Article 35(5) (requirement for consignment only to facilities operating or authorised to operate under the applicable national law of the country of destination).

Prohibition on export of certain waste for recovery to [^{F53}non-EU,] non-OECD Decision countries

23. A person commits an offence if, in breach of Article 36(1), he transports waste specified in that Article that is destined for recovery in a [^{F54}non-EU] country to which the OECD Decision does not apply.

Textual Amendments

- F53** Word in reg. 23 heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **31(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F54** Word in reg. 23 inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **31(b)**; 2020 c. 1, Sch. 5 para. 1(1)

[^{F55}Requirements for export of waste listed in Annex III or IIIA to [^{F56}non-EU,] non-OECD Decision countries

23A.—(1) This regulation applies to waste—

- (a) listed in Annex III or IIIA to the Community Regulation; and
- (b) the export of which is not prohibited under Article 36.

(2) A person who transports waste destined for recovery in any country listed in the Annex to [Commission Regulation \(EC\) No 1418/2007](#) (being a [^{F57}non-EU] country to which the OECD Decision does not apply) commits an offence if he does so in breach of that Regulation.

(3) A person who transports waste destined for recovery in any other [^{F58}non-EU] country to which the OECD Decision does not apply commits an offence if he does so without complying with the procedure of prior written notification and consent as described in Article 35, in accordance with the second paragraph of Article 37(2).

(4) In either case, he commits an offence if he transports such waste in breach of Article 37(4) (requirement for consignment only to facilities operating or authorised to operate under the applicable national law of the country of destination).

Textual Amendments

- F55** Regs. 23A, 23B inserted (5.2.2008) by [Transfrontier Shipment of Waste \(Amendment\) Regulations 2008 \(S.I. 2008/9\)](#), regs. 1, **5**
- F56** Word in reg. 23A heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **32(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F57** Word in reg. 23A(2) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **32(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F58** Word in reg. 23A(3) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **32(c)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for export of waste classified under more than one entry in Annex III etc. to [^{F59}non-EU,] non-OECD Decision countries

23B.—(1) This regulation applies to waste specified in Article 37(5) that is—

- (a) destined for recovery in a [^{F60}non-EU] country to which the OECD Decision does not apply; and
- (b) the export of which is not prohibited under Article 36.

- (2) A person who transports such waste commits an offence if he does so—
- (a) without the procedure of prior written notification and consent as described in Article 35 having been complied with in accordance with Article 37(5); or
 - (b) in breach of Article 37(4) (requirement for consignment only to facilities operating or authorised to operate under the applicable national law of the country of destination).]

Textual Amendments

- F55** Regs. 23A, 23B inserted (5.2.2008) by [Transfrontier Shipment of Waste \(Amendment\) Regulations 2008 \(S.I. 2008/9\)](#), regs. 1, 5
- F59** Word in [reg. 23B heading](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **33(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F60** Word in [reg. 23B\(1\)\(a\)](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **33(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for export of waste for recovery to [^{F61}non-EU] OECD Decision countries

24.—(1) This regulation applies to waste specified in Article 38(1) destined for recovery in any [^{F62}non-EU] country to which the OECD Decision applies (with or without transit through any country to which that Decision applies).

- (2) A person who transports such waste commits an offence if he does so—
- (a) without the provisions of Article 38(1) having been complied with (procedural requirements for the export of waste listed in Annexes III, IIIA, IIIB, IV and IVA); or
 - (b) in breach of Article 38(6) (requirement for consignment only to facilities operating or authorised to operate under the applicable national law of the country of destination).

Textual Amendments

- F61** Word in [reg. 24 heading](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **34(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F62** Word in [reg. 24\(1\)](#) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **34(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Miscellaneous prohibitions on export of waste

- 25.** A person commits an offence if—
- (a) he transports waste to the Antarctic;
 - (b) he transports waste destined for disposal in an overseas country or territory in breach of Article 40(1);
 - (c) he transports waste destined for recovery in an overseas country or territory in breach of Article 40(2)(prohibition on the export of certain waste); or
 - (d) he transports waste specified in Article 40(3) destined for recovery in an overseas country or territory without the provisions of that Article having been complied with (procedural requirements for exports to overseas countries or territories).

[^{F63}Disapplication of offences

- 25A.** Where an offence is committed under—

- (a) regulation 5(1)(a) of the Mercury Export and Data Regulations 2010, an offence will not be committed under regulations 21 to 23, 24 or 25; or
- (b) regulation 5(1)(b) of those Regulations, an offence will not be committed under regulation 25.]

Textual Amendments

F63 Reg. 25A inserted (8.3.2010) by [The Mercury Export and Data \(Enforcement\) Regulations 2010 \(S.I. 2010/265\)](#), regs. 2, 8

PART 6

Import of waste from third countries

Prohibition on the import of waste for disposal

26. A person commits an offence if, in breach of Article 41(1), he transports waste destined for disposal that has come from a third country or area other than those specified in that Article.

Procedure for import of waste for disposal from a [^{F64}non-EU] country Party to the Basel Convention

27.—(1) This regulation applies to waste destined for disposal that has come from a [^{F65}non-EU] country Party to the Basel Convention.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 42(1) having been complied with (procedural requirements for the import of waste destined for disposal from countries Parties to the Basel Convention).

Textual Amendments

- F64** Word in reg. 27 heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **35(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F65** Word in reg. 27(1) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **35(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Prohibition on import of waste for recovery

28. A person commits an offence if, in breach of Article 43(1), he transports waste destined for recovery that has come from a third country or area other than specified in that Article.

Requirements for import of waste for recovery from or through [^{F66}a non-EU] OECD Decision country

29.—(1) This regulation applies to waste destined for recovery that has come from or through a [^{F67}non-EU] country to which the OECD Decision applies.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 44(1) having been complied with (procedural requirements for imports of waste destined for recovery from, or through, an [^{F68}EU or] OECD Decision country).

Textual Amendments

- F66** Word in reg. 29 heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **36(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F67** Word in reg. 29(1) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **36(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F68** Words in reg. 29(2) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **36(c)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for import of waste for recovery from a [^{F69}non-EU,] non-OECD Decision country Party to the Basel Convention

- 30.**—(1) This regulation applies to waste destined for recovery that has come —
- from a [^{F70}non-EU] country to which the OECD Decision does not apply; or
 - through a [^{F71}non-EU] country to which the OECD Decision does not apply and that is Party to the Basel Convention.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 45 having been complied with (procedural requirements for imports from a [^{F72}non-EU,] non-OECD Decision country Party to the Basel Convention).

Textual Amendments

- F69** Word in reg. 30 heading inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **37(a)**; 2020 c. 1, Sch. 5 para. 1(1)
- F70** Word in reg. 30(1)(a) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **37(b)(i)**; 2020 c. 1, Sch. 5 para. 1(1)
- F71** Word in reg. 30(1)(b) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **37(b)(ii)**; 2020 c. 1, Sch. 5 para. 1(1)
- F72** Word in reg. 30(2) inserted (31.12.2020) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), **37(c)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for import of waste from overseas countries or territories

31. A person who transports waste that has come from any overseas country or territory commits an offence if he does so without the provisions of Article 46(1) having been complied with (procedural requirements for the import of waste from overseas countries or territories).

PART 7

Transit of waste

Requirements for transit of waste for disposal

- 32.**—(1) This regulation applies to waste destined for disposal that—
- originates from, and is destined for, a [^{F73}non-EU] country; and
 - is transported through the United Kingdom.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 47 having been complied with (procedural requirements for shipments of waste destined for disposal from and to a [^{F74}non-EU] country).

Textual Amendments

F73 Word in reg. 32(1)(a) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **38(a)**; 2020 c. 1, Sch. 5 para. 1(1)

F74 Word in reg. 32(2) substituted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **38(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for transit of waste for recovery: [^{F75}non-EU,] non-OECD Decision countries

33.—(1) This regulation applies to waste destined for recovery that—

- (a) originates from, and is destined for, a [^{F76}non-EU] country to which the OECD Decision does not apply; and
- (b) is transported through the United Kingdom.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 48(1) having been complied with (procedural requirements for shipments of waste destined for recovery from and to a country to which the OECD Decision does not apply).

Textual Amendments

F75 Word in reg. 33 heading inserted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **39(a)**; 2020 c. 1, Sch. 5 para. 1(1)

F76 Word in reg. 33(1)(a) inserted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **39(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for transit of waste for recovery: [^{F77}EU] OECD Decision countries

34.—(1) This regulation applies to waste destined for recovery that—

- (a) originates from, and is destined for, a [^{F78}EU] country to which the OECD Decision applies; and
- (b) is transported through the United Kingdom.

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 48(2) having been complied with (procedural requirements for shipments of waste destined for recovery from and to a country to which the OECD Decision applies).

Textual Amendments

F77 Word in reg. 34 heading inserted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **40(a)**; 2020 c. 1, Sch. 5 para. 1(1)

F78 Word in reg. 34(1)(a) inserted (31.12.2020) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(2), **40(b)**; 2020 c. 1, Sch. 5 para. 1(1)

Requirements for transit of waste between [^{F79}EU or] OECD Decision countries and [^{F80}non-EU,] non-OECD Decision countries

35.—^{F81}(1) This regulation applies to waste destined for recovery that—

- (a) originates from a non-EU country to which the OECD Decision does not apply and is destined for an EU country or a country to which the OECD Decision applies; or
- (b) originates from an EU country or a country to which the OECD Decision applies and is destined for a non-EU country to which the OECD Decision does not apply.]

(2) A person who transports such waste commits an offence if he does so without the provisions of Article 48(3) having been complied with (procedural requirements for shipments of waste destined for recovery between [^{F82}EU or] OECD Decision and [^{F83}non-EU,] non-OECD Decision countries).

Textual Amendments

- F79** Words in *reg. 35* heading inserted (31.12.2020) by *The International Waste Shipments (Amendment) (EU Exit) Regulations 2019* (S.I. 2019/590), regs. 2(2), **41(a)(i)**; 2020 c. 1, Sch. 5 para. 1(1)
- F80** Word in *reg. 35* heading inserted (31.12.2020) by *The International Waste Shipments (Amendment) (EU Exit) Regulations 2019* (S.I. 2019/590), regs. 2(2), **41(a)(ii)**; 2020 c. 1, Sch. 5 para. 1(1)
- F81** *Reg. 35(1)* substituted (31.12.2020) by *The International Waste Shipments (Amendment) (EU Exit) Regulations 2019* (S.I. 2019/590), regs. 2(2), **41(b)**; 2020 c. 1, Sch. 5 para. 1(1)
- F82** Words in *reg. 35(2)* inserted (31.12.2020) by *The International Waste Shipments (Amendment) (EU Exit) Regulations 2019* (S.I. 2019/590), regs. 2(2), **41(c)(i)**; 2020 c. 1, Sch. 5 para. 1(1)
- F83** Word in *reg. 35(2)* inserted (31.12.2020) by *The International Waste Shipments (Amendment) (EU Exit) Regulations 2019* (S.I. 2019/590), regs. 2(2), **41(c)(ii)**; 2020 c. 1, Sch. 5 para. 1(1)

PART 8

Additional duties

Illegal shipments of waste brought to a facility

36. If the operator of a facility knows or has reasonable grounds to suspect that waste brought to that facility is an illegal shipment of waste, he must notify the competent authority immediately and comply with their instructions and failure to do so is an offence.

Duties on operators of facilities in respect of notifiable waste

37.—(1) This regulation applies to the operator of a facility that receives notifiable waste.

(2) He commits an offence if he fails to—

- (a) ensure that the recovery or disposal of such waste is completed within the time period in Article 9(7);
- (b) comply with any condition of a consent imposed on him by the competent authority of destination in accordance with Article 10(1);
- (c) comply with any condition, imposed by the competent authority of destination in accordance with Article 10(5), requiring him to keep records specified in that Article and send them to that competent authority in accordance with that Article;
- (d) retain the movement document in accordance with Article 16(c);
- (e) provide, in accordance with Article 16(d), confirmation that waste has been received;

- (f) certify, in accordance with Article 16(e), that non-interim recovery or disposal has been completed;
- (g) keep any document sent to or by the competent authorities in relation to a notified shipment in accordance with Article 20(1); or
- (h) inform the competent authority of destination in accordance with Article 22(1) if a shipment of waste is rejected.

Interim recovery or disposal operations

38.—(1) This regulation applies to the operator of a facility that carries out interim recovery or disposal operations.

(2) He commits an offence if he fails to—

- (a) provide confirmation to the notifier or competent authorities concerned of the receipt of waste for interim recovery or disposal operations in accordance with Article 15(c); or
- (b) certify, in accordance with Article 15(d), that interim recovery or disposal has been completed.

(3) He commits an offence if, in the case of waste sent to another facility for subsequent interim or non-interim recovery or disposal operation, he fails to—

- (a) obtain from that facility, in accordance with Article 15(e), first paragraph, a certificate that such operation has been completed; or
- (b) transmit that certificate to the notifier and competent authorities concerned in accordance with Article 15(e), second paragraph.

(4) He commits an offence if he delivers waste for subsequent interim or non-interim recovery or disposal operations in accordance with Article 15(f), without complying with the notification requirements of that Article.

Duties on operators of facilities in respect of waste subject to general information requirements

39.—(1) This regulation applies to the operator of a recovery facility that receives waste subject to the procedural requirements of Article 18(1).

(2) He commits an offence if he fails to—

- (a) sign the Annex VII document, in accordance with Article 18(1)(b); or
- (b) keep the information given pursuant to Article 18(1), in accordance with Article 20(2).

Duties on consignees in respect of notifiable waste

40.—(1) This regulation applies to a consignee of notifiable waste.

(2) He commits an offence if he fails to keep any document sent to or by the competent authorities in relation to a notified shipment in accordance with Article 20(1).

Duties on consignees in respect of waste subject to general information requirements

41.—(1) This regulation applies to a consignee of waste subject to the procedural requirements of Article 18(1).

(2) He commits an offence if he fails to—

- (a) sign the Annex VII document, in accordance with Article 18(1)(b);

- (b) provide a copy of the contract referred to in Article 18(2), second paragraph, to the competent authority upon request, in accordance with that Article; or
- (c) keep information given pursuant to Article 18(1), in accordance with Article 20(2).

Duties on laboratories

42.—(1) This regulation applies to the operator of a laboratory that receives waste subject to the procedural requirements of Article 18(1).

(2) He commits an offence if he fails to—

- (a) sign the Annex VII document, in accordance with Article 18(1)(b); or
- (b) keep the Annex VII document for three years from the date the shipment started.

Notifier’s duty to keep documents

43. A notifier commits an offence if he fails to keep—

- (a) a copy of the movement document in accordance with Article 16(c); or
- (b) any document sent to or by the competent authorities in relation to a notified shipment in accordance with Article 20(1).

Duties on persons who arrange the shipment of waste

44.—(1) This regulation applies to a person who arranges the shipment of waste subject to the procedural requirements of Article 18(1).

(2) He commits an offence if he fails to—

- (a) provide the competent authority with a copy of the contract referred to in Article 18(2) upon request, in accordance with the second paragraph of that Article; or
- (b) keep the information given pursuant to Article 18(1), in accordance with Article 20(2).

Annex VII document

45.—(1) This regulation applies in Scotland and Northern Ireland only.

(2) A person who arranges the shipment of waste subject to the procedural requirements of Article 18(1) must ensure that a copy of the Annex VII document that he has signed in accordance with Article 18(1)(b) is received by the competent authority before the shipment takes place and failure to do so is an offence.

PART 9

Miscellaneous

Fees

46.—^{F84}(1)

(2) In order to meet any administrative costs incurred by them in implementing the notification and supervision procedures of the Community Regulation and of any costs of any analyses or inspections undertaken for the purpose of carrying out their functions under that Regulation—

^{F85}(a)

(b) the Department of [^{F86}Agriculture, Environment and Rural Affairs] in Northern Ireland may charge the fees in Schedule 3.

(3) Fees must be paid by the notifier when he submits a notification and the competent authorities may refuse to proceed with a notification unless the required fee is submitted.

Textual Amendments

- F84** Reg. 46(1) omitted (24.1.2022) by virtue of Environment Act 2021 (c. 30), ss. 62(11), 147(3) (with s. 144); S.I. 2022/48, reg. 2(k)
- F85** Reg. 46(2)(a) omitted (1.5.2014) by virtue of The Transfrontier Shipment of Waste (Amendment) Regulations 2014 (S.I. 2014/861), regs. 1, 10 (with reg. 23)
- F86** Words in reg. 46(2)(b) substituted (15.3.2019) by The International Waste Shipments (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/590), regs. 2(1), 8

Costs of take-back etc.

- 47.** A competent authority may charge fees to meet any costs arising from—
- (a) the return of waste from a shipment that cannot be completed (including costs of transport, recovery, disposal and storage) in accordance with Article 23; and
 - (b) the take-back, recovery or disposal of waste from an illegal shipment (including costs of transport and storage) in accordance with Article 25.

Approval of a financial guarantee

48. Schedule 4 (application for approval of a financial guarantee) has effect.

Supply of the financial guarantee

- 49.** For the purposes of Article 4(5), third paragraph, the notifier must supply—
- (a) the financial guarantee or equivalent insurance; or
 - (b) evidence of that guarantee or insurance or a declaration certifying its existence,

as part of the notification document at the time of notification or, with the consent of the competent authority, at any other time before the waste is shipped.

[^{F87}Power to share information

49A.—(1) Officers of Revenue and Customs may disclose any information in their possession to the following for the purposes of the enforcement of the Community Regulation or these Regulations—

- (a) the Environment Agency;
- (b) the Natural Resources Body for Wales;
- (c) the Scottish Environment Protection Agency; and
- (d) the Department of [^{F88}Agriculture, Environment and Rural Affairs] in Northern Ireland.

(2) Paragraph (1) is without prejudice to any other power of officers of Revenue and Customs to disclose information.

(3) Nothing in paragraph (1) authorises the making of a disclosure which contravenes the Data Protection Act 1998.

- (4) Paragraph (5) applies to information—

- (a) which was obtained by means of a disclosure authorised by paragraph (1); and
 - (b) which relates to a person whose identity is specified in the disclosure or can be deduced from it.
- (5) No person, including a servant of the Crown, may disclose any information to which this paragraph applies unless—
- (a) the disclosure is for a purpose specified in paragraph (1); and
 - (b) the Commissioners for Her Majesty’s Revenue and Customs have given their consent to the disclosure.
- (6) Consent for the purposes of paragraph (5)(b) may be given in relation to a particular disclosure or in relation to disclosures made in such circumstances as may be specified or described in the consent.
- (7) A person who breaches paragraph (5) is guilty of an offence.
- (8) It is a defence for a person charged with an offence under paragraph (7) to prove a reasonable belief—
- (a) that the disclosure was lawful; or
 - (b) that the information had previously been made available to the public lawfully.]

Textual Amendments

- F87** Reg. 49A inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **11** (with reg. 23)
- F88** Words in reg. 49A(1)(d) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **9**

Enforcement bodies

- [^{F89}**50.**—(1) The Community Regulation and these Regulations are enforced by—
- (a) in relation to England and the English area, the Environment Agency;
 - (b) in relation to Wales and the Welsh area, the Natural Resources Body for Wales;
 - (c) in relation to Scotland and the Scottish area, the Scottish Environment Protection Agency;
 - (d) in relation to Northern Ireland and the Northern Irish area, the Department of [^{F90}Agriculture, Environment and Rural Affairs] in Northern Ireland.
- (2) Nothing in this regulation authorises a competent authority to bring proceedings in Scotland for an offence.

Textual Amendments

- F89** Regs. 50-50B substituted for reg. 50 (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **12** (with reg. 23)
- F90** Words in reg. 50(1)(d) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **10**

Authorised persons

- 50A.**—(1) A competent authority may authorise persons in writing for the purposes of enforcing the Community Regulation and these Regulations.

(2) An authorisation under either of the following is an authorisation for the purposes of paragraph (1), unless the body which issued the authorisation specifies to the contrary—

- (a) section 108 of the Environment Act 1995;
- (b) Article 72 of the Waste and Contaminated Land (Northern Ireland) Order 1997.

Textual Amendments

F89 Regs. 50-50B substituted for reg. 50 (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 12 (with reg. 23)

Assistance by the Secretary of State in relation to offshore installations

50B.—(1) The Secretary of State may assist a competent authority in its enforcement of the Community Regulation and these Regulations on or in relation to offshore installations, in particular by inspecting such installations and providing a competent authority with information to facilitate the effective enforcement of the Community Regulation and these Regulations.

(2) The Secretary of State may authorise persons in writing for the purposes of exercising the function described in paragraph (1).

(3) An authorisation under either of the following is an authorisation for the purposes of paragraph (2), unless the Secretary of State specifies to the contrary—

- (a) regulation 16 of the Offshore Chemicals Regulations 2002;
- (b) regulation 12 of the Offshore Petroleum Activities (Oil Pollution Prevention and Control) Regulations 2005.]

Textual Amendments

F89 Regs. 50-50B substituted for reg. 50 (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 12 (with reg. 23)

Enforcement powers

51. Schedule 5 (enforcement powers) has effect.

Compliance with notices

52.—(1) A person on whom a notice is served under these Regulations commits an offence if he fails to comply with the provisions of that notice.

(2) Such a notice must be complied with at the expense of the person on whom it is served and, if it is not complied with, the competent authority may arrange for it to be complied with at the expense of that person.

(3) A competent authority may enforce compliance with a notice by way of an injunction or, in Scotland, by way of an order under section 45(b) of the Court of Session Act 1988(2).

Obstruction

53. A person commits an offence if he—

- (a) intentionally obstructs any person acting in the execution of these Regulations;

- (b) gives any information which he knows to be false or misleading to any person acting in the execution of these Regulations; or
- (c) fails, without reasonable excuse—
 - (i) to give any assistance or information that any person acting in the execution of these Regulations may require him to give; or
 - (ii) to produce any record that any person acting in the execution of these Regulations may require him to produce,
 for the performance of that person’s functions under these Regulations.

Falsely obtaining consent etc.

54. A person commits an offence if, for the purpose of obtaining consent to a shipment or approval of a financial guarantee or equivalent insurance, he—

- (a) makes any statement or declaration that he knows to be false or misleading; or
- (b) endeavours to obtain such consent or approval by deception.

Offences by bodies corporate

55.—(1) If an offence under these Regulations committed by a body corporate is shown—

- (a) to have been committed with the consent or connivance of an officer; or
- (b) to be attributable to any neglect on his part,

the officer as well as the body corporate is guilty of the offence and is liable to be proceeded against and punished accordingly.

(2) If the affairs of a body corporate are managed by its members, paragraph (1) applies in relation to the acts and defaults of a member in connection with his functions of management as if he were a director of the body.

(3) “Officer”, in relation to a body corporate, means a director, member of the committee of management, chief executive, manager, secretary or other similar officer of the body, or a person purporting to act in any such capacity.

Offences by Scottish partnerships

56. Where a Scottish partnership commits an offence under these Regulations, and that offence is proved to have been committed with the consent or connivance of, or to have been attributable to any neglect on the part of—

- (a) any of the partners; or
- (b) any person who was purporting to act in such capacity,

he, as well as the partnership, is guilty of the offence and is liable to be proceeded against and punished accordingly.

Acts of third parties

57. Where the commission by any person of an offence under these Regulations is due to the act or default of some other person, that other person is guilty of the offence and a person may be charged with and convicted of an offence by virtue of this regulation whether or not proceedings are taken against the first-mentioned person.

Penalties

58. A person guilty of an offence under these Regulations is liable—

- (a) on summary conviction, to a fine not exceeding the statutory maximum or to imprisonment not exceeding three months or to both;
- (b) on conviction on indictment, to a fine or to imprisonment for a term not exceeding two years or to both.

Fixed penalties

59.—(1) If an authorised person has reason to believe that a person has committed an offence under these Regulations [^{F91}(except an offence under regulation 49A(7))], he may give that person a notice (a “fixed penalty notice”) offering him the opportunity of discharging any liability to conviction for that offence by payment of a fixed penalty.

(2) Where a person is given a fixed penalty notice in respect of an offence—

- (a) no proceedings may be instituted for that offence before the expiry of 28 days following the date of the notice; and
- (b) he may not be convicted of that offence if he pays the fixed penalty before the expiry of that period.

(3) A fixed penalty notice must—

- (a) be in the form set out in Schedule 6;
- (b) give such particulars of the circumstances alleged to constitute the offence as are necessary for giving reasonable information of the offence; and
- (c) state—
 - (i) the period during which, by virtue of paragraph (2), proceedings will not be taken for the offence;
 - (ii) the amount of the fixed penalty; and
 - (iii) the name of the person to whom and the address at which the fixed penalty may be paid.

(4) Payment of the fixed penalty may be made by pre-paying and posting to that person at that address a letter containing the amount of penalty.

(5) Where a letter is sent in accordance with paragraph (4), payment is deemed to be made at the time at which that letter would be delivered in the ordinary course of post.

[^{F92}(6) The amount of fixed penalty payable in pursuance of a notice under this regulation is £300 which is to be paid in the case of a notice served by an authorised person from—

- (a) the Environment Agency or the Scottish Environment Protection Agency, to the Secretary of State;
- (b) the Natural Resources Body for Wales, to the Welsh Ministers;
- (c) the Department of [^{F93}Agriculture, Environment and Rural Affairs] in Northern Ireland, to that Department.]

(7) In any proceedings, a certificate which—

- (a) purports to be signed by or on behalf of the chief finance officer [^{F94}in England and Scotland, in Wales the principal accounting officer] , or in Northern Ireland an authorised person; and
- (b) states that payment of a fixed penalty was or was not received by a date specified in the certificate,

is evidence of the facts stated.

Textual Amendments

- F91** Words in reg. 59(1) inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **13(a)** (with reg. 23)
- F92** Reg. 59(6) substituted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **13(b)** (with reg. 23)
- F93** Words in reg. 59(6)(c) substituted (15.3.2019) by [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(1), **11**
- F94** Words in reg. 59(7)(a) inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **13(c)** (with reg. 23)

[^{F95}Civil sanctions [^{F96}, England]

59A.—(1) The Environment Agency may impose a variable monetary penalty, or accept an enforcement undertaking, in relation to an offence specified in the following Table of civil sanctions, as indicated in that Table, as if it were an offence under a provision specified in relation to that sanction in Schedule 5 to the Environmental Civil Sanctions (England) Order 2010.

Table of civil sanctions

<i>Offence under these Regulations</i>	<i>Variable monetary penalty</i>	<i>Enforcement undertaking</i>
regulation 17	Yes	Yes
regulation 18	Yes	Yes
regulation 19(2)	Yes	Yes
regulation 19(3)	Yes	Yes
regulation 20(2)	Yes	Yes
regulation 21	Yes	Yes
regulation 22(2)	Yes	Yes
regulation 23	Yes	Yes
regulation 24(2)	Yes	Yes
regulation 25	Yes	Yes
regulation 26	Yes	Yes
regulation 27(2)	Yes	Yes
regulation 28	Yes	Yes
regulation 29(2)	Yes	Yes
regulation 30(2)	Yes	Yes
regulation 31	Yes	Yes
regulation 32(2)	Yes	Yes
regulation 33(2)	Yes	Yes

<i>Offence under these Regulations</i>	<i>Variable monetary penalty</i>	<i>Enforcement undertaking</i>
regulation 34(2)	Yes	Yes
regulation 35(2)	Yes	Yes
regulation 36	Yes	Yes
regulation 37(2)	Yes	Yes
regulation 38(2)	Yes	Yes
regulation 38(3)	Yes	Yes
regulation 38(4)	Yes	Yes
regulation 39(2)	Yes	Yes
regulation 40(2)	Yes	Yes
regulation 41(2)	Yes	Yes
regulation 42(2)	Yes	Yes
regulation 43	Yes	Yes
regulation 44(2)	Yes	Yes
regulation 52(1)	Yes	No
regulation 53(a)	Yes	No
regulation 53(b)	Yes	No
regulation 53(c)	Yes	No
regulation 54(a)	Yes	No
regulation 54(b)	Yes	No

(2) The terms used in this regulation have the same meaning as in that Order.

(3) The provisions of that Order in relation to those sanctions apply as if they were provisions of these Regulations.

(4) This regulation applies only in England and the [^{F97}English area].]

Textual Amendments

F95 Reg. 59A inserted (E.) (6.4.2010) by [The Environmental Civil Sanctions \(Miscellaneous Amendments\) \(England\) Regulations 2010 \(S.I. 2010/1159\)](#), regs. 1, **9**

F96 Word in reg. 59A inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **14(1)** (with reg. 23)

F97 Words in reg. 59A(4) substituted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, **14(2)** (with reg. 23)

[^{F98}Civil sanctions, Wales

59B.—(1) The Natural Resources Body for Wales may impose a variable monetary penalty, or accept an enforcement undertaking, in relation to an offence specified in the following Table of civil sanctions, as indicated in that Table, as if it were an offence under a provision specified in relation to that sanction in Schedule 5 to the Environmental Civil Sanctions (Wales) Order 2010.

Changes to legislation: There are currently no known outstanding effects for the The Transfrontier Shipment of Waste Regulations 2007. (See end of Document for details)

Table of civil sanctions

<i>Offence under these Regulations</i>	<i>Variable monetary penalty</i>	<i>Enforcement undertaking</i>
regulation 17	Yes	Yes
regulation 18	Yes	Yes
regulation 19(2)	Yes	Yes
regulation 19(3)	Yes	Yes
regulation 20(2)	Yes	Yes
regulation 21	Yes	Yes
regulation 22(2)	Yes	Yes
regulation 23	Yes	Yes
regulation 24(2)	Yes	Yes
regulation 25	Yes	Yes
regulation 26	Yes	Yes
regulation 27(2)	Yes	Yes
regulation 28	Yes	Yes
regulation 29(2)	Yes	Yes
regulation 30(2)	Yes	Yes
regulation 31	Yes	Yes
regulation 32(2)	Yes	Yes
regulation 33(2)	Yes	Yes
regulation 34(2)	Yes	Yes
regulation 35(2)	Yes	Yes
regulation 36	Yes	Yes
regulation 37(2)	Yes	Yes
regulation 38(2)	Yes	Yes
regulation 38(3)	Yes	Yes
regulation 38(4)	Yes	Yes
regulation 39(2)	Yes	Yes
regulation 40(2)	Yes	Yes
regulation 41(2)	Yes	Yes
regulation 42(2)	Yes	Yes
regulation 43	Yes	Yes
regulation 44(2)	Yes	Yes
regulation 52(1)	Yes	No

<i>Offence under these Regulations</i>	<i>Variable monetary penalty</i>	<i>Enforcement undertaking</i>
regulation 53(a)	Yes	No
regulation 53(b)	Yes	No
regulation 53(c)	Yes	No
regulation 54(a)	Yes	No
regulation 54(b)	Yes	No

(2) The terms used in this regulation have the same meaning as in that Order.

(3) The provisions of that Order in relation to those sanctions apply as if they were provisions of these Regulations.

(4) This regulation applies only in Wales and the Welsh area.

Textual Amendments

F98 Reg. 59B, 59C inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 15 (with reg. 23)

Review

59C.—(1) The Secretary of State must from time to time—

- (a) carry out a review of these Regulations;
- (b) set out the conclusions of the review in a report; and
- (c) publish the report.

(2) The report must in particular—

- (a) set out the objectives intended to be achieved by these Regulations;
- (b) assess the extent to which those objectives are achieved; and
- (c) assess whether those objectives remain appropriate and, if so, the extent to which they could be achieved in a less burdensome way.

(3) The first report under this regulation must be published before the end of the period of five years beginning with 1st May 2014.

(4) Reports under this regulation are afterwards to be published at intervals not exceeding five years.]

Textual Amendments

F98 Reg. 59B, 59C inserted (1.5.2014) by [The Transfrontier Shipment of Waste \(Amendment\) Regulations 2014 \(S.I. 2014/861\)](#), regs. 1, 15 (with reg. 23)

Revocations

F99 60.

Changes to legislation: There are currently no known outstanding effects for the The Transfrontier Shipment of Waste Regulations 2007. (See end of Document for details)

Textual Amendments

F99 Reg. 60 omitted (31.12.2020) by virtue of [The International Waste Shipments \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/590\)](#), regs. 2(2), 42; 2020 c. 1, Sch. 5 para. 1(1)

Ben Bradshaw
Minister of State
Department for Environment, Food and Rural
Affairs

Changes to legislation:

There are currently no known outstanding effects for the The Transfrontier Shipment of Waste Regulations 2007.