ANNEXES

ANNEX I

CATEGORIES OF WASTES TO BE CONTROLLED

Waste Streams

Y1	Clinical wastes from medical care in hospitals, medical centers and clinics
Y2	Wastes from the production and preparation of pharmaceutical products
Y3	Waste pharmaceuticals, drugs and medicines
Y4	Wastes from the production, formulation and use of biocides and phytopharmaceuticals
Y5	Wastes from the manufacture, formulation and use of wood preserving chemicals
Y6	Wastes from the production, formulation and use of organic solvents
Y7	Wastes from heat treatment and tempering operations containing cyanides
Y8	Waste mineral oils unfit for their originally intended use
Y9	Waste oils/water, hydrocarbons/water mixtures, emulsions
Y10	Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCBs) and/or polychlorinated terphenyls (PCTs) and/or polybrominated biphenyls (PBBs)
Y11	Waste tarry residues arising from refining, distillation and any pyrolytic treatment
Y12	Wastes from production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish
Y13	Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives
Y14	Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on man and/or the environment are not known
Y15	Wastes of an explosive nature not subject to other legislation
Y16	Wastes from production, formulation and use of photographic chemicals and processing materials

Y17	Wastes resulting from surface treatment of metals and plastics
Y18	Residues arising from industrial waste disposal operations

Wastes having as constituents:

Y19	Metal carbonyls
Y20	Beryllium; beryllium compounds
Y21	Hexavalent chromium compounds
Y22	Copper compounds
Y23	Zinc compounds
Y24	Arsenic; arsenic compounds
Y25	Selenium; selenium compounds
Y26	Cadmium; cadmium compounds
Y27	Antimony; antimony compounds
Y28	Tellurium; tellurium compounds
Y29	Mercury; mercury compounds
Y30	Thallium; thallium compounds
Y31	Lead; lead compounds
Y32	Inorganic fluorine compounds excluding calcium fluoride
Y33	Inorganic cyanides
Y34	Acidic solutions or acids in solid form
Y35	Basic solutions or bases in solid form
Y36	Asbestos (dust and fibres)
Y37	Organic phosphorus compounds
Y38	Organic cyanides
Y39	Phenols; phenol compounds including chlorophenols
Y40	Ethers

Y41	Halogenated organic solvents
Y42	Organic solvents excluding halogenated solvents
Y43	Any congenor of polychlorinated dibenzo-furan
Y44	Any congenor of polychlorinated dibenzo-p-dioxin
Y45	Organohalogen compounds other than substances referred to in this Annex (e.g. Y39, Y41, Y42, Y43, Y44)

(a) To facilitate the application of this Convention, and subject to paragraphs (b), (c) and (d), wastes listed in Annex VIII are characterized as hazardous pursuant to Article 1, paragraph 1 (a), of this Convention, and wastes listed in Annex IX are not covered by Article 1, paragraph 1 (a), of this Convention.

(b) Designation of a waste on Annex VIII does not preclude, in a particular case, the use of Annex III to demonstrate that a waste is not hazardous pursuant to Article 1, paragraph 1 (a), of this Convention.

(c) Designation of a waste on Annex IX does not preclude, in a particular case, characterization of such a waste as hazardous pursuant to Article 1, paragraph 1 (a), of this Convention if it contains Annex I material to an extent causing it to exhibit an Annex III characteristic.

(d) Annexes VIII and IX do not affect the application of Article 1, paragraph 1 (a), of this Convention for the purpose of characterization of wastes.[4]

[4] The amendment whereby paragraphs (a), (b), (c) and (d) were added to at the end of Annex I entered into force on 6 November 1998, six months following the issuance of depositary notification C.N.77.1998 of 6 May 1998 (reflecting Decision IV/9, adopted by the Conference of the Parties at its fourth meeting).

ANNEX II[5]

CATEGORIES OF WASTES REQUIRING SPECIAL CONSIDERATION

Y46	Wastes collected from households
Y47	Residues arising from the incineration of household wastes
Y48[6, 7]	Plastic waste, including mixtures of such waste, with the exception of the following: • Plastic waste that is hazardous waste pursuant to paragraph 1 (a) of Article 1[8] • Plastic waste listed below, provided it is destined for recycling[9] in an environmentally sound manner and almost free from contamination and other types of wastes:[10] - Plastic waste almost exclusively[11] consisting of one non-halogenated polymer, including but not limited to the following polymers: ▪ Polyethylene (PE) ▪ Polypropylene (PP) ▪ Polystyrene (PS) ▪ Acrylonitrile butadiene styrene (ABS) ▪ Polyethylene terephthalate (PET) ▪ Polycarbonates (PC) ▪ Polyethers

5 This amendment to Annex II whereby one new entry was added entered into force on 24 March 2020 (depositary notification C.N. 432.2019), reflecting decision BC-14/12 adopted by the Conference of the Parties at its fourteenth meeting. For information on the status of individual Parties in relation to the amendment/s, please see the Status of Ratifications page on the Basel Convention website.

6 This entry becomes effective as of 1 January 2021.

7 Parties can impose stricter requirements in relation to this entry.

8 Note the related entry on list A A3210 in Annex VIII.

9 Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B) or, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

10 In relation to "almost free from contamination and other types of wastes", international and national specifications may offer a point of reference.

11 In relation to "almost exclusively", international and national specifications may offer a point of reference.

- Plastic waste almost exclusively[11] consisting of one cured resin or condensation product, including but not limited to the following resins:
  - Urea formaldehyde resins
  - Phenol formaldehyde resins
  - Melamine formaldehyde resins
  - Epoxy resins
  - Alkyd resins
- Plastic waste almost exclusively[11] consisting of one of the following fluorinated polymers:[12]
  - Perfluoroethylene/propylene (FEP)
  - Perfluoroalkoxy alkanes:
    - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
    - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
  - Polyvinylfluoride (PVF)
  - Polyvinylidenefluoride (PVDF)

• Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling[13] of each material and in an environmentally sound manner and almost free from contamination and other types of wastes.[10]

[12] Post-consumer wastes are excluded.

[13] Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B), with prior sorting and, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

ANNEX III

LIST OF HAZARDOUS CHARACTERISTICS

UN Class[14]	Code	Characteristics
1	**H1**	Explosive
		An explosive substance or waste is a solid or liquid substance or waste (or mixture of substances or wastes) which is in itself capable by chemical reaction of producing gas at such a temperature and pressure and at such a speed as to cause damage to the surroundings.
3	**H3**	Flammable liquids
		The word "flammable" has the same meaning as "inflammable". Flammable liquids are liquids, or mixtures of liquids, or liquids containing solids in solution or suspension (for example, paints, varnishes, lacquers, etc., but not including substances or wastes otherwise classified on account of their dangerous characteristics) which give off a flammable vapour at temperatures of not more than 60.5°C, closed-cup test, or not more than 65.6°C, open-cup test. (Since the results of open-cup tests and of closed-cup tests are not strictly comparable and even individual results by the same test are often variable, regulations varying from the above figures to make allowance for such differences would be within the spirit of this definition.)
4.1	**H4.1**	Flammable solids
		Solids, or waste solids, other than those classed as explosives, which under conditions encountered in transport are readily combustible, or may cause or contribute to fire through friction.

[14] Corresponds to the hazard classification system included in the United Nations Recommendations on the Transport of Dangerous Goods (ST/SG/AC.10/1Rev.5, United Nations, New York, 1988).

UN Class[14]	Code	Characteristics
4.2	**H4.2**	Substances or wastes liable to spontaneous combustion
		Substances or wastes which are liable to spontaneous heating under normal conditions encountered in transport, or to heating up on contact with air, and being then liable to catch fire.
4.3	**H4.3**	Substances or wastes which, in contact with water emit flammable gases
		Substances or wastes which, by interaction with water, are liable to become spontaneously flammable or to give off flammable gases in dangerous quantities.
5.1	**H5.1**	Oxidizing
		Substances or wastes which, while in themselves not necessarily combustible, may, generally by yielding oxygen cause, or contribute to, the combustion of other materials.
5.2	**H5.2**	Organic Peroxides
		Organic substances or wastes which contain the bivalent-o-o-structure are thermally unstable substances which may undergo exothermic self-accelerating decomposition.
6.1	**H6.1**	Poisonous (Acute)
		Substances or wastes liable either to cause death or serious injury or to harm human health if swallowed or inhaled or by skin contact.
6.2	**H6.2**	Infectious substances
		Substances or wastes containing viable micro organisms or their toxins which are known or suspected to cause disease in animals or humans.
8	**H8**	Corrosives
		Substances or wastes which, by chemical action, will cause severe damage when in contact with living tissue, or, in the case of leakage, will materially damage, or even destroy, other goods or the means of transport; they may also cause other hazards.

UN Class[14]	Code	Characteristics
9	**H10**	Liberation of toxic gases in contact with air or water
		Substances or wastes which, by interaction with air or water, are liable to give off toxic gases in dangerous quantities.
9	**H11**	Toxic (Delayed or chronic)
		Substances or wastes which, if they are inhaled or ingested or if they penetrate the skin, may involve delayed or chronic effects, including carcinogenicity.
9	**H12**	Ecotoxic
		Substances or wastes which if released present or may present immediate or delayed adverse impacts to the environment by means of bioaccumulation and/or toxic effects upon biotic systems.
9	**H13**	Capable, by any means, after disposal, of yielding another material, e.g., leachate, which possesses any of the characteristics listed above.

Tests

The potential hazards posed by certain types of wastes are not yet fully documented; tests to define quantitatively these hazards do not exist. Further research is necessary in order to develop means to characterise potential hazards posed to man and/or the environment by these wastes. Standardized tests have been derived with respect to pure substances and materials. Many countries have developed national tests which can be applied to materials listed in Annex I, in order to decide if these materials exhibit any of the characteristics listed in this Annex.

ANNEX IV

DISPOSAL OPERATIONS

A. Operations which do not lead to the possibility of resource recovery, recycling, reclamation, direct re-use or alternative uses

Section A encompasses all such disposal operations which occur in practice.

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 of 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 Annex which results in final compounds or mixtures which are discarded by means of any of the operations in Section A
D9	Physico chemical treatment not specified elsewhere in this Annex which results in final compounds or mixtures which are discarded by means of any of the operations in Section A, (e.g., evaporation, drying, calcination, neutralization, precipitation, etc.)
D10	Incineration on land
D11	Incineration at sea
D12	Permanent storage (e.g., emplacement of containers in a mine, etc.)
D13	Blending or mixing prior to submission to any of the operations in Section A
D14	Repackaging prior to submission to any of the operations in Section A
D15	Storage pending any of the operations in Section A

B. Operations which may lead to resource recovery, recycling reclamation, direct re-use or alternative uses

Section B encompasses all such operations with respect to materials legally defined as or considered to be hazardous wastes and which otherwise would have been destined for operations included in Section A

R1	Use as a fuel (other than in direct incineration) or other means to generate energy
R2	Solvent reclamation/regeneration
R3	Recycling/reclamation of organic substances which are not used as solvents
R4	Recycling/reclamation of metals and metal compounds
R5	Recycling/reclamation of other inorganic materials
R6	Regeneration of acids or bases
R7	Recovery of components used for pollution abatement
R8	Recovery of components from catalysts
R9	Used oil re-refining or other reuses of previously used oil
R10	Land treatment resulting in benefit to agriculture or ecological improvement
R11	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 Section B

ANNEX V A

Information to be provided on notification

1. Reason for waste export
2. Exporter of the waste 1/
3. Generator(s) of the waste and site of generation 1/
4. Disposer of the waste and actual site of disposal 1/
5. Intended carrier(s) of the waste or their agents, if known 1/
6. Country of export of the waste

   Competent authority 2/
7. Expected countries of transit

   Competent authority 2/
8. Country of import of the waste

   Competent authority 2/
9. General or single notification
10. Projected date(s) of shipment(s) and period of time over which waste is to be exported and proposed itinerary (including point of entry and exit)3/
11. Means of transport envisaged (road, rail, sea, air, inland waters)
12. Information relating to insurance 4/
13. Designation and physical description of the waste including Y number and UN number and its composition 5/ and information on any special handling requirements including emergency provisions in case of accidents
14. Type of packaging envisaged (e.g. bulk, drummed, tanker)
15. Estimated quantity in weight/volume 6/
16. Process by which the waste is generated 7/

17. For wastes listed in Annex I, classifications from Annex III: hazardous characteristic, H number, and UN class

18. Method of disposal as per Annex IV

19. Declaration by the generator and exporter that the information is correct

20. Information transmitted (including technical description of the plant) to the exporter or generator from the disposer of the waste upon which the latter has based his assessment that there was no reason to believe that the wastes will not be managed in an environmentally sound manner in accordance with the laws and regulations of the country of import

21. Information concerning the contract between the exporter and disposer.

Notes

1/ Full name and address, telephone, telex or telefax number and the name, address, telephone, telex or telefax number of the person to be contacted.

2/ Full name and address, telephone, telex or telefax number.

3/ In the case of a general notification covering several shipments, either the expected dates of each shipment or, if this is not known, the expected frequency of the shipments will be required.

4/ Information to be provided on relevant insurance requirements and how they are met by exporter, carrier and disposer.

5/ The nature and the concentration of the most hazardous components, in terms of toxicity and other dangers presented by the waste both in handling and in relation to the proposed disposal method.

6/ In the case of a general notification covering several shipments, both the estimated total quantity and the estimated quantities for each individual shipment will be required.

7/ Insofar as this is necessary to assess the hazard and determine the appropriateness of the proposed disposal operation.

ANNEX V B

Information to be provided on the movement document

1. Exporter of the waste 1/
2. Generator(s) of the waste and site of generation 1/
3. Disposer of the waste and actual site of disposal 1/
4. Carrier(s) of the waste 1/ or his agent(s)
5. Subject of general or single notification
6. The date the transboundary movement started and date(s) and signature on receipt by each person who takes charge of the waste
7. Means of transport (road, rail, inland waterway, sea, air) including countries of export, transit and import, also point of entry and exit where these have been designated
8. General description of the waste (physical state, proper UN shipping name and class, UN number, Y number and H number as applicable)
9. Information on special handling requirements including emergency provision in case of accidents
10. Type and number of packages
11. Quantity in weight/volume
12. Declaration by the generator or exporter that the information is correct
13. Declaration by the generator or exporter indicating no objection from the competent authorities of all States concerned which are Parties
14. Certification by disposer of receipt at designated disposal facility and indication of method of disposal and of the approximate date of disposal.

Notes

The information required on the movement document shall where possible be integrated in one document with that required under transport rules. Where this is not possible the information should complement rather than duplicate that required under the transport rules. The movement document shall carry instructions as to who is to provide information and fill-out any form.

1/ Full name and address, telephone, telex or telefax number and the name, address, telephone, telex or telefax number of the person to be contacted in case of emergency.

ANNEX VI

ARBITRATION

Article 1

Unless the agreement referred to in Article 20 of the Convention provides otherwise, the arbitration procedure shall be conducted in accordance with Articles 2 to 10 below.

Article 2

The claimant Party shall notify the Secretariat that the Parties have agreed to submit the dispute to arbitration pursuant to paragraph 2 or paragraph 3 of Article 20 and include, in particular, the Articles of the Convention the interpretation or application of which are at issue. The Secretariat shall forward the information thus received to all Parties to the Convention.

Article 3

The arbitral tribunal shall consist of three members. Each of the Parties to the dispute shall appoint an arbitrator, and the two arbitrators so appointed shall designate by common agreement the third arbitrator, who shall be the chairman of the tribunal. The latter shall not be a national of one of the Parties to the dispute, nor have his usual place of residence in the territory of one of these Parties, nor be employed by any of them, nor have dealt with the case in any other capacity.

Article 4

1. If the chairman of the arbitral tribunal has not been designated within two months of the appointment of the second arbitrator, the Secretary-General of the United Nations shall, at the request of either Party, designate him within a further two months period.

2. If one of the Parties to the dispute does not appoint an arbitrator within two months of the receipt of the request, the other Party may inform the Secretary-General of the United Nations who shall designate the chairman of the arbitral tribunal within a further two months' period. Upon designation, the chairman of the

arbitral tribunal shall request the Party which has not appointed an arbitrator to do so within two months. After such period, he shall inform the Secretary-General of the United Nations, who shall make this appointment within a further two months' period.

Article 5

1. The arbitral tribunal shall render its decision in accordance with international law and in accordance with the provisions of this Convention.

2. Any arbitral tribunal constituted under the provisions of this Annex shall draw up its own rules of procedure.

Article 6

1. The decisions of the arbitral tribunal both on procedure and on substance, shall be taken by majority vote of its members.

2. The tribunal may take all appropriate measures in order to establish the facts. It may, at the request of one of the Parties, recommend essential interim measures of protection.

3. The Parties to the dispute shall provide all facilities necessary for the effective conduct of the proceedings.

4. The absence or default of a Party in the dispute shall not constitute an impediment to the proceedings.

Article 7

The tribunal may hear and determine counter-claims arising directly out of the subject-matter of the dispute.

Article 8

Unless the arbitral tribunal determines otherwise because of the particular circumstances of the case, the expenses of the tribunal, including the remuneration of its members, shall be borne by the Parties to the dispute in equal shares. The tribunal shall keep a record of all its expenses, and shall furnish a final statement thereof to the Parties.

Article 9

Any Party that has an interest of a legal nature in the subject-matter of the dispute which may be affected by the decision in the case, may intervene in the proceedings with the consent of the tribunal.

Article 10

1. The tribunal shall render its award within five months of the date on which it is established unless it finds it necessary to extend the time-limit for a period which should not exceed five months.

2. The award of the arbitral tribunal shall be accompanied by a statement of reasons. It shall be final and binding upon the Parties to the dispute.

3. Any dispute which may arise between the Parties concerning the interpretation or execution of the award may be submitted by either Party to the arbitral tribunal which made the award or, if the latter cannot be seized thereof, to another tribunal constituted for this purpose in the same manner as the first.

ANNEX VII[15]

Parties and other States which are members of OECD, EC, Liechtenstein

[15] The amendment whereby Annex VII was added to the Convention entered into force on 5 December 2019, in accordance with article 17(5) of the Convention (depositary notification C.N.420.2019), reflecting decision III/1 adopted by the Conference of the Parties at its third meeting.

ANNEX VIII[16]

List A

Wastes contained in this Annex are characterized as hazardous under Article 1, paragraph 1 (a), of this Convention, and their designation on this Annex does not preclude the use of Annex III to demonstrate that a waste is not hazardous.

A1 Metal and metal-bearing wastes

A1010	Metal wastes and waste consisting of alloys of any of the following: • Antimony • Arsenic • Beryllium • Cadmium • Lead • Mercury • Selenium • Tellurium • Thallium but excluding such wastes specifically listed on list B.

[16] The amendment whereby Annex VIII was added to the Convention entered into force on 6 November 1998, six months following the issuance of depositary notification C.N.77.1998 of 6 May 1998 (reflecting Decision IV/9 adopted by the Conference of the Parties at its fourth meeting). The amendment to Annex VIII whereby new entries were added entered into force on 20 November 2003 (depositary notification C.N.1314.2003), six months following the issuance of depositary notification C.N.399.2003 of 20 May 2003 (reflecting Decision VI/35 adopted by the Conference of the Parties at its sixth meeting). The amendment to Annex VIII whereby one new entry was added entered into force on 8 October 2005 (depositary notification C.N.1044.2005), six months following the issuance of depositary notification C.N.263.2005 of 8 April 2005 (re-issued on 13 June 2005, reflecting Decision VII/19 adopted by the Conference of the Parties at its seventh meeting). The amendment to Annex VIII whereby one new entry was added entered into force on 24 March 2020, six months following the issuance of depositary notification C.N.432.2019 of 24 September 2019 (reflecting decision BC-14/12 adopted by the Conference of the Parties at its fourteenth meeting). The present text includes all amendments. For information on the status of individual Parties in relation to the amendment/s, please see the Status of Ratifications page on the Basel Convention website.

A1020	Waste having as constituents or contaminants, excluding metal waste in massive form, any of the following: • Antimony; antimony compounds • Beryllium; beryllium compounds • Cadmium; cadmium compounds • Lead; lead compounds • Selenium; selenium compounds • Tellurium; tellurium compounds
A1030	Wastes having as constituents or contaminants any of the following: • Arsenic; arsenic compounds • Mercury; mercury compounds • Thallium; thallium compounds
A1040	Wastes having as constituents any of the following: • Metal carbonyls • Hexavalent chromium compounds
A1050	Galvanic sludges
A1060	Waste liquors from the pickling of metals
A1070	Leaching residues from zinc processing, dust and sludges such as jarosite, hematite, etc.
A1080	Waste zinc residues not included on list B, containing lead and cadmium in concentrations sufficient to exhibit Annex III characteristics
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 copper electrorefining and electrowinning operations
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 included on list B[17]

[17] Note that mirror entry on list B (B1160) does not specify exceptions

A1160	Waste lead-acid batteries, whole or crushed
A1170	Unsorted waste batteries excluding mixtures of only list B batteries. Waste batteries not specified on list B containing Annex I constituents to an extent to render them hazardous
A1180	Waste electrical and electronic assemblies or scrap[18] containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or contaminated with Annex I constituents (e.g., cadmium, mercury, lead, polychlorinated biphenyl) to an extent that they possess any of the characteristics contained in Annex III (note the related entry on list B B1110)[19]
A1190	Waste metal cables coated or insulated with plastics containing or contaminated with coal tar, PCB[20], lead, cadmium, other organohalogen compounds or other Annex I constituents to an extent that they exhibit Annex III characteristics.

A2 Wastes containing principally inorganic constituents, which may contain metals and organic materials

A2010	Glass waste from cathode-ray tubes and other activated glasses
A2020	Waste inorganic fluorine compounds in the form of liquids or sludges but excluding such wastes specified on list B
A2030	Waste catalysts but excluding such wastes specified on list B
A2040	Waste gypsum arising from chemical industry processes, when containing Annex I constituents to the extent that it exhibits an Annex III hazardous characteristic (note the related entry on list B B2080)
A2050	Waste asbestos (dusts and fibres)
A2060	Coal-fired power plant fly-ash containing Annex I substances in concentrations sufficient to exhibit Annex III characteristics (note the related entry on list B B2050)

[18] This entry does not include scrap assemblies from electric power generation.

[19] PCBs are at concentration level of 50 mg/kg or more.

[20] PCBs are at concentration level of 50 mg/kg or more.

A3 Wastes containing principally organic constituents, which may contain metals and inorganic materials

A3010	Waste from the production or processing of petroleum coke and bitumen
A3020	Waste mineral oils unfit for their originally intended use
A3030	Wastes that contain, consist of or are contaminated with leaded anti-knock compound sludges
A3040	Waste thermal (heat transfer) fluids
A3050	Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives excluding such wastes specified on list B (note the related entry on list B B4020)
A3060	Waste nitrocellulose
A3070	Waste phenols, phenol compounds including chlorophenol in the form of liquids or sludges
A3080	Waste ethers not including those specified on list B
A3090	Waste leather dust, ash, sludges and flours when containing hexavalent chromium compounds or biocides (note the related entry on list B B3100)
A3100	Waste paring and other waste of leather or of composition leather not suitable for the manufacture of leather articles containing hexavalent chromium compounds or biocides (note the related entry on list B B3090)
A3110	Fellmongery wastes containing hexavalent chromium compounds or biocides or infectious substances (note the related entry on list B B3110)
A3120	Fluff - light fraction from shredding
A3130	Waste organic phosphorous compounds
A3140	Waste non-halogenated organic solvents but excluding such wastes specified on list B
A3150	Waste halogenated organic solvents
A3160	Waste halogenated or unhalogenated non-aqueous distillation residues arising from organic solvent recovery operations

A3170	Wastes arising from the production of aliphatic halogenated hydrocarbons (such as chloromethane, dichloro-ethane, vinyl chloride, vinylidene chloride, allyl chloride and epichlorhydrin)
A3180	Wastes, substances and articles containing, consisting of or contaminated with polychlorinated biphenyl (PCB), polychlorinated terphenyl (PCT), polychlorinated naphthalene (PCN) or polybrominated biphenyl (PBB), or any other polybrominated analogues of these compounds, at a concentration level of 50 mg/kg or more[21]
A3190	Waste tarry residues (excluding asphalt cements) arising from refining, distillation and any pyrolitic treatment of organic materials
A3200	Bituminous material (asphalt waste) from road construction and maintenance, containing tar (note the related entry on list B, B2130)
A3210[22]	Plastic waste, including mixtures of such waste, containing or contaminated with Annex I constituents, to an extent that it exhibits an Annex III characteristic (note the related entries Y48 in Annex II and on list B B3011).

A4 Wastes which may contain either inorganic or organic constituents

A4010	Wastes from the production, preparation and use of pharmaceutical products but excluding such wastes specified on list B
A4020	Clinical and related wastes; that is wastes arising from medical, nursing, dental, veterinary, or similar practices, and wastes generated in hospitals or other facilities during the investigation or treatment of patients, or research projects
A4030	Wastes from the production, formulation and use of biocides and phytopharmaceuticals, including waste pesticides and herbicides which are off-specification, outdated,[23] or unfit for their originally intended use
A4040	Wastes from the manufacture, formulation and use of wood-preserving chemicals[24]

[21] The 50 mg/kg level is considered to be an internationally practical level for all wastes. However, many individual countries have established lower regulatory levels (e.g., 20 mg/kg) for specific wastes.

[22] This entry becomes effective as of 1 January 2021.

[23] "Outdated" means unused within the period recommended by the manufacturer.

[24] This entry does not include wood treated with wood preserving chemicals.

A4050	Wastes that contain, consist of or are contaminated with any of the following: • Inorganic cyanides, excepting precious-metal-bearing residues in solid form containing traces of inorganic cyanides • Organic cyanides
A4060	Waste oils/water, hydrocarbons/water mixtures, emulsions
A4070	Wastes from the production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish excluding any such waste specified on list B (note the related entry on list B B4010)
A4080	Wastes of an explosive nature (but excluding such wastes specified on list B)
A4090	Waste acidic or basic solutions, other than those specified in the corresponding entry on list B (note the related entry on list B B2120)
A4100	Wastes from industrial pollution control devices for cleaning of industrial off-gases but excluding such wastes specified on list B
A4110	Wastes that contain, consist of or are contaminated with any of the following: • Any congenor of polychlorinated dibenzo-furan • Any congenor of polychlorinated dibenzo-p-dioxin
A4120	Wastes that contain, consist of or are contaminated with peroxides
A4130	Waste packages and containers containing Annex I substances in concentrations sufficient to exhibit Annex III hazard characteristics
A4140	Waste consisting of or containing off specification or outdated[25] chemicals corresponding to Annex I categories and exhibiting Annex III hazard characteristics
A4150	Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on human health and/or the environment are not known
A4160	Spent activated carbon not included on list B (note the related entry on list B B2060)

[25] "Outdated" means unused within the period recommended by the manufacturer.

ANNEX IX[26]

List B

Wastes contained in the Annex will not be wastes covered by Article 1, paragraph 1 (a), of this Convention unless they contain Annex I material to an extent causing them to exhibit an Annex III characteristic.

B1 Metal and metal-bearing wastes

B1010	Metal and metal-alloy wastes in metallic, non-dispersible form: • Precious metals (gold, silver, the platinum group, but not mercury) • Iron and steel scrap • Copper scrap • Nickel scrap • Aluminium scrap • Zinc scrap • Tin scrap • Tungsten scrap • Molybdenum scrap • Tantalum scrap

[26] The amendment whereby Annex IX was added to the Convention entered into force on 6 November 1998, six months following the issuance of depositary notification C.N.*77*.1998 (reflecting Decision IV/9 adopted by the Conference of the Parties at its fourth meeting). The amendment to Annex IX whereby new entries were added entered into force on 20 November 2003 (depositary notification C.N.1314.2003), six months following the issuance of depositary notification C.N.399.2003 of 20 May 2003 (reflecting Decision VI/35 adopted by the Conference of the Parties at its sixth meeting). The amendment to Annex IX whereby one entry was added entered into force on 8 October 2005 (depositary notification C.N.1044.2005) six months following the issuance of depositary notification C.N.263.2005 of 8 April 2005 (re-issued on 13 June 2005, reflecting Decision VII/19 adopted by the Conference of the Parties at its seventh meeting). The amendment to Annex IX whereby new entries where added entered into force on *27* May 2014 (depositary notification C.N. 304.2014) six months following the issuance of depositary notification C.N. 965.2013 of 26 November 2013 (reflecting decision BC-11/6 adopted by the Conference of the Parties at its eleventh meeting). Amendments to Annex IX entered into force on 24 March 2020, six months following the issuance of depositary notification C.N.432.2019 of 24 September 2019 (reflecting decision BC-14/12 adopted by the Conference of the Parties at its fourteenth meeting). The present text includes all amendments. For information on the status of individual Parties in relation to the amendment/s, please see the Status of Ratifications page on the Basel Convention website.

B1010	• Magnesium scrap • Cobalt scrap • Bismuth scrap • Titanium scrap • Zirconium scrap • Manganese scrap • Germanium scrap • Vanadium scrap • Scrap of hafnium, indium, niobium, rhenium and gallium • Thorium scrap • Rare earths scrap • Chromium scrap
B1020	Clean, uncontaminated metal scrap, including alloys, in bulk finished form (sheet, plate, beams, rods, etc), of: • Antimony scrap • Beryllium scrap • Cadmium scrap • Lead scrap (but excluding lead-acid batteries) • Selenium scrap • Tellurium scrap
B1030	Refractory metals containing residues
B1031	Molybdenum, tungsten, titanium, tantalum, niobium and rhenium metal and metal alloy wastes in metallic dispersible form (metal powder), excluding such wastes as specified in list A under entry A1050, Galvanic sludges
B1040	Scrap assemblies from electrical power generation not contaminated with lubricating oil, PCB or PCT to an extent to render them hazardous
B1050	Mixed non-ferrous metal, heavy fraction scrap, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics[27]
B1060	Waste selenium and tellurium in metallic elemental form including powder

[27] Note that even where low level contamination with Annex I materials initially exists, subsequent processes, including recycling processes, may result in separated fractions containing significantly enhanced concentrations of those Annex I materials.

B1070	Waste of copper and copper alloys in dispersible form, unless they contain Annex I constituents to an extent that they exhibit Annex III characteristics
B1080	Zinc ash and residues including zinc alloys residues in dispersible form unless containing Annex I constituents in concentration such as to exhibit Annex III characteristics[28]
B1090	Waste batteries conforming to a specification, excluding those made with lead, cadmium or mercury
B1100	Metal-bearing wastes arising from melting, smelting and refining of metals: • Hard zinc spelter • Zinc-containing drosses: - Galvanizing slab zinc top dross (>90% Zn) - Galvanizing slab zinc bottom dross (>92% Zn) - Zinc die casting dross (>85% Zn) - Hot dip galvanizers slab zinc dross (batch) (>92% Zn) - Zinc skimmings • Aluminium skimmings (or skims) excluding salt slag • Slags from copper processing for further processing or refining not containing arsenic, lead or cadmium to an extent that they exhibit Annex III hazard characteristics • Wastes of refractory linings, including crucibles, originating from copper smelting • Slags from precious metals processing for further refining • Tantalum-bearing tin slags with less than 0.5% tin

[28] The status of zinc ash is currently under review and there is a recommendation with the United Nations Conference on Trade and Development (UNCTAD) that zinc ashes should not be dangerous goods.

B1110	Electrical and electronic assemblies: • Electronic assemblies consisting only of metals or alloys • Waste electrical and electronic assemblies or scrap[29] (including printed circuit boards) not containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or not contaminated with Annex I constituents (e.g., cadmium, mercury, lead, polychlorinated biphenyl) or from which these have been removed, to an extent that they do not possess any of the characteristics contained in Annex III (note the related entry on list A A1180) • Electrical and electronic assemblies (including printed circuit boards, electronic components and wires) destined for direct reuse,[30] and not for recycling or final disposal[31]
B1115	Waste metal cables coated or insulated with plastics, not included in list A A1190, excluding those destined for Annex IVA operations or any other disposal operations involving, at any stage, uncontrolled thermal processes, such as open-burning.

[29] This entry does not include scrap from electrical power generation.

[30] Reuse can include repair, refurbishment or upgrading, but not major reassembly.

[31] In some countries these materials destined for direct re-use are not considered wastes.

<table>
<tr><td>B1120</td><td>Spent catalysts excluding liquids used as catalysts, containing any of:

Transition metals, excluding waste catalysts (spent catalysts, liquid used catalysts or other catalysts) on list A:
• Scandium
• Vanadium
• Manganese
• Cobalt
• Copper
• Yttrium
• Niobium
• Hafnium
• Tungsten
• Titanium
• Chromium
• Iron
• Nickel
• Zinc
• Zirconium
• Molybdenum
• Tantalum
• Rhenium

Lanthanides (rare earth metals):
• Lanthanum
• Praseodymium
• Samarium
• Gadolinium
• Dysprosium
• Erbium
• Ytterbium
• Cerium
• Neodymium
• Europium
• Terbium
• Holmium
• Thulium
• Lutetium</td></tr>
<tr><td>B1130</td><td>Cleaned spent precious-metal-bearing catalysts</td></tr>
<tr><td>B1140</td><td>Precious-metal-bearing residues in solid form which contain traces of inorganic cyanides</td></tr>
<tr><td>B1150</td><td>Precious metals and alloy wastes (gold, silver, the platinum group, but not mercury) in a dispersible, non-liquid form with appropriate packaging and labelling</td></tr>
<tr><td>B1160</td><td>Precious-metal ash from the incineration of printed circuit boards (note the related entry on list A A1150)</td></tr>
<tr><td>B1170</td><td>Precious-metal ash from the incineration of photographic film</td></tr>
<tr><td>B1180</td><td>Waste photographic film containing silver halides and metallic silver</td></tr>
</table>

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 slags as a source of TiO_2 and vanadium
B1220	Slag from zinc production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g., DIN 4301) mainly for construction
B1230	Mill scaling arising from the manufacture of iron and steel
B1240	Copper oxide mill-scale
B1250	Waste end-of-life motor vehicles, containing neither liquids nor other hazardous components

B2 Wastes containing principally inorganic constituents,which may contain metals and organic materials

B2010	Wastes from mining operations in non-dispersible form: • Natural graphite waste • Slate waste, whether or not roughly trimmed or merely cut, by sawing or otherwise • Mica waste • Leucite, nepheline and nepheline syenite waste • Feldspar waste • Fluorspar waste • Silica wastes in solid form excluding those used in foundry operations
B2020	Glass waste in non-dispersible form: • Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses
B2030	Ceramic wastes in non-dispersible form: • Cermet wastes and scrap (metal ceramic composites) • Ceramic based fibres not elsewhere specified or included

B2040	Other wastes containing principally inorganic constituents: • Partially refined calcium sulphate produced from flue-gas desulphurization (FGD) • Waste gypsum wallboard or plasterboard arising from the demolition of buildings • Slag from copper production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g., DIN 4301 and DIN 8201) mainly for construction and abrasive applications • Sulphur in solid form • Limestone from the production of calcium cyanamide (having a pH less than 9) • Sodium, potassium, calcium chlorides • Carborundum (silicon carbide) • Broken concrete • Lithium-tantalum and lithium-niobium containing glass scraps
B2050	Coal-fired power plant fly-ash, not included on list A (note the related entry on list A A2060)
B2060	Spent activated carbon not containing any Annex I constituents to the extent they exhibit Annex III characteristics, for example, carbon resulting from the treatment of potable water and processes of the food industry and vitamin production (note the related entry on list A A4160)
B2070	Calcium fluoride sludge
B2080	Waste gypsum arising from chemical industry processes not included on list A (note the related entry on list A A2040)
B2090	Waste anode butts from steel or aluminium production made of petroleum coke or bitumen and cleaned to normal industry specifications (excluding anode butts from chlor alkali electrolyses and from metallurgical industry)
B2100	Waste hydrates of aluminium and waste alumina and residues from alumina production excluding such materials used for gas cleaning, flocculation or filtration processes
B2110	Bauxite residue ("red mud") (pH moderated to less than 11.5)
B2120	Waste acidic or basic solutions with a pH greater than 2 and less than 11.5, which are not corrosive or otherwise hazardous (note the related entry on list A A4090)
B2130	Bituminous material (asphalt waste) from road construction and maintenance, not containing tar[32] (note the related entry on list A, A3200)

[32] The concentration level of Benzol (a) pyrene should not be 50mg/kg or more.

B3 Wastes containing principally organic constituents, which may contain metals and inorganic materials

B3010[33]	Solid plastic waste: The following plastic or mixed plastic materials, provided they are not mixed with other wastes and are prepared to a specification: • Scrap plastic of non-halogenated polymers and co-polymers, including but not limited to the following:[34] - ethylene - styrene - polypropylene - polyethylene terephthalate - acrylonitrile - butadiene - polyacetals - polyamides - polybutylene terephthalate - polycarbonates - polyethers - polyphenylene sulphides - acrylic polymers - alkanes C10-C13 (plasticiser) - polyurethane (not containing CFCs) - polysiloxanes - polymethyl methacrylate - polyvinyl alcohol - polyvinyl butyral - polyvinyl acetate • Cured waste resins or condensation products including the following: - urea formaldehyde resins - phenol formaldehyde resins - melamine formaldehyde resins - epoxy resins - alkyd resins - polyamides

[33] Entry B3010 is effective until 31 December 2020. Entry B3011 becomes effective as of 1 January 2021.

[34] It is understood that such scraps are completely polymerized.

	• The following fluorinated polymer wastes:[35] - perfluoroethylene/propylene (FEP) - perfluoro alkoxyl alkane: - tetrafluoroethylene/per fluoro vinyl ether (PFA) - tetrafluoroethylene/per fluoro methylvinyl ether (MFA) - polyvinylfluoride (PVF) - polyvinylidenefluoride (PVDF)
B3011[36]	Plastic waste (note the related entries Y48 in Annex II and on list A A3210): • Plastic waste listed below, provided it is destined for recycling[37] in an environmentally sound manner and almost free from contamination and other types of wastes:[38] - Plastic waste almost exclusively[39] consisting of one non-halogenated polymer, including but not limited to the following polymers: ▪ Polyethylene (PE) ▪ Polypropylene (PP) ▪ Polystyrene (PS) ▪ Acrylonitrile butadiene styrene (ABS) ▪ Polyethylene terephthalate (PET) ▪ Polycarbonates (PC) ▪ Polyethers

[35] Post-consumer wastes are excluded from this entry:
- Wastes shall not be mixed
- Problems arising from open-burning practices to be considered

[36] This entry becomes effective as of 1 January 2021. Entry B3010 is effective until 31 December 2020.

[37] Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B) or, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation

[38] In relation to "almost free from contamination and other types of wastes", international and national specifications may offer a point of reference.

[39] In relation to "almost exclusively", international and national specifications may offer a point of reference.

- Plastic waste almost exclusively[39] consisting of one cured resin or condensation product, including but not limited to the following resins:
  - Urea formaldehyde resins
  - Phenol formaldehyde resins
  - Melamine formaldehyde resins
  - Epoxy resins
  - Alkyd resins
- Plastic waste almost exclusively[39] consisting of one of the following fluorinated polymers:[40]
  - Perfluoroethylene/propylene (FEP)
  - Perfluoroalkoxy alkanes:
    - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
    - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
  - Polyvinylfluoride (PVF)
  - Polyvinylidenefluoride (PVDF)

- Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling[41] of each material and in an environmentally sound manner, and almost free from contamination and other types of wastes.[38]

[40] Post-consumer wastes are excluded

[41] Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B), with prior sorting and, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

B3020	Paper, paperboard and paper product wastes The following materials, provided they are not mixed with hazardous wastes: Waste and scrap of paper or paperboard of: • unbleached paper or paperboard or of corrugated paper or paperboard • other paper or paperboard, made mainly of bleached chemical pulp, not coloured in the mass • paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter) • other, including but not limited to 1) laminated paperboard 2) unsorted scrap
B3026	The following waste from the pre-treatment of composite packaging for liquids, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics: • Non-separable plastic fraction • Non-separable plastic-aluminium fraction
B3027	Self-adhesive label laminate waste containing raw materials used in label material production

B3030	Textile wastes The following materials, provided they are not mixed with other wastes and are prepared to a specification: • Silk waste (including cocoons unsuitable for reeling, yarn waste and garnetted stock) - not carded or combed - other • Waste of wool or of fine or coarse animal hair, including yarn waste but excluding garnetted stock - noils of wool or of fine animal hair - other waste of wool or of fine animal hair - waste of coarse animal hair • Cotton waste (including yarn waste and garnetted stock) - yarn waste (including thread waste) - garnetted stock - other • Flax tow and waste • Tow and waste (including yarn waste and garnetted stock) of true hemp (Cannabis sativa L.) • Tow and waste (including yarn waste and garnetted stock) of jute and other textile bast fibres (excluding flax, true hemp and ramie) • Tow and waste (including yarn waste and garnetted stock) of sisal and other textile fibres of the genus Agave • Tow, noils and waste (including yarn waste and garnetted stock) of coconut • Tow, noils and waste (including yarn waste and garnetted stock) of abaca (Manila hemp or Musa textilis Nee) • Tow, noils and waste (including yarn waste and garnetted stock) of ramie and other vegetable textile fibres, not elsewhere specified or included • Waste (including noils, yarn waste and garnetted stock) of man-made fibres - of synthetic fibres - of artificial fibres • Worn clothing and other worn textile articles • Used rags, scrap twine, cordage, rope and cables and worn out articles of twine, cordage, rope or cables of textile materials - sorted - other

B3035	Waste textile floor coverings, carpets
B3040	Rubber wastes The following materials, provided they are not mixed with other wastes: • Waste and scrap of hard rubber (e.g., ebonite) • Other rubber wastes (excluding such wastes specified elsewhere)
B3050	Untreated cork and wood waste: • Wood waste and scrap, whether or not agglomerated in logs, briquettes, pellets or similar forms • Cork waste: crushed, granulated or ground cork
B3060	Wastes arising from agro-food industries provided it is not infectious: • Wine lees • Dried and sterilized vegetable waste, residues and byproducts, whether or not in the form of pellets, of a kind used in animal feeding, not elsewhere specified or included • Degras: residues resulting from the treatment of fatty substances or animal or vegetable waxes • Waste of bones and horn-cores, unworked, defatted, simply prepared (but not cut to shape), treated with acid or degelatinised • Fish waste • Cocoa shells, husks, skins and other cocoa waste • Other wastes from the agro-food industry excluding by-products which meet national and international requirements and standards for human or animal consumption
B3065	Waste edible fats and oils of animal or vegetable origin (e.g. frying oils), provided they do not exhibit an Annex III characteristic
B3070	The following wastes: • Waste of human hair • Waste straw • Deactivated fungus mycelium from penicillin production to be used as animal feed
B3080	Waste parings and scrap of rubber
B3090	Paring and other wastes of leather or of composition leather not suitable for the manufacture of leather articles, excluding leather sludges, not containing hexavalent chromium compounds and biocides (note the related entry on list A A3100)

B3100	Leather dust, ash, sludges or flours not containing hexavalent chromium compounds or biocides (note the related entry on list A A3090)
B3110	Fellmongery wastes not containing hexavalent chromium compounds or biocides or infectious substances (note the related entry on list A A3110)
B3120	Wastes consisting of food dyes
B3130	Waste polymer ethers and waste non-hazardous monomer ethers incapable of forming peroxides
B3140	Waste pneumatic tyres, excluding those destined for Annex IVA operations

B4 Wastes which may contain either inorganic or organic constituents

B4010	Wastes consisting mainly of water-based/latex paints, inks and hardened varnishes not containing organic solvents, heavy metals or biocides to an extent to render them hazardous (note the related entry on list A A4070)
B4020	Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives, not listed on list A, free of solvents and other contaminants to an extent that they do not exhibit Annex III characteristics, e.g., water-based, or glues based on casein starch, dextrin, cellulose ethers, polyvinyl alcohols (note the related entry on list A A3050)
B4030	Used single-use cameras, with batteries not included on list A