



Distr.: General  
5 October 2012

English only

---

**Open-ended Working Group of the Basel Convention  
on the Control of Transboundary Movements of  
Hazardous Wastes and Their Disposal**

**Eighth meeting**

Geneva, 25–28 September 2012

Agenda item 3 (b) (ii) a

**Matters related to the work programme of the  
Open-ended Working Group for 2012–2013: scientific  
and technical matters: technical guidelines: technical  
guidelines on transboundary movements of electronic and  
electrical waste (e-waste), in particular regarding the  
distinction between waste and non-waste**

**Technical guidelines on transboundary movements of electronic  
and electrical waste (e-waste), in particular regarding the  
distinction between waste and non-waste**

**Note by the Secretariat**

1. Information about activities relating to the development of technical guidelines on transboundary movements of used electronic and electrical waste (e-waste) is set out in document UNEP/CHW/OEWG.8/6.
2. The annex to the present note contains the draft technical guidelines on transboundary movements of electronic and electrical waste (e-waste), in particular regarding the distinction between waste and non-waste under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal. The annex has not been formally edited.

## **Annex**

### **Draft technical guidelines on transboundary movements of e-waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-waste under the Basel Convention**

**(Version 27 September 2012)**

## Contents

Acronyms and Abbreviations .....	4
I. Introduction.....	5
II. Relevant provisions of the Basel Convention .....	7
III. Guidance on the distinction between waste and non-waste .....	9
IV. [Procedures for transboundary movements of used equipment that is not waste .....	12
V. Guidance on transboundary movements of e-waste.....	16
VI. Guidance on control of transboundary movements of used equipment and e-waste.....	18
Appendix I Glossary of Terms .....	20
Appendix III Correlation between the Harmonized System Codes and Basel Convention lists .....	21
Annex IV References .....	31

## Acronyms and Abbreviations

AQSIQ	Administration of Quality Supervision, Inspection and Quarantine of China
BAN	Basel Action Network
BFR	Brominated Flame Retardant
CCIC	China Certification & Inspection Group
CFC	Chlorofluorocarbon
CMR	Convention Relative au Contrat de Transport International de Marchandises par Route (Convention on the Contract for the International Carriage of Goods by Road)
CRT	Cathode Ray Tubes
EC	European Community
HS	Harmonized Commodity Description and Coding System (or short: Harmonized System)
ICT	Information and Communications Technologies
kg	Kilogram
LCD	Liquid Crystal Display
mg	Milligram
MPPI	Mobile Phone Partnership Initiative
PACE	Partnership for Action on Computing Equipment
PBB	Polybrominated biphenyls
PCB	Polychlorinated biphenyls
PCN	Polychlorinated naphthalenes
PCT	Polychlorinated terphenyls
PVC	Polyvinylchloride
UNECE	United Nations Commission for Europe
UNU	United Nations University
WCO	World Customs Organization

## I. Introduction

### A. Scope

1. The present technical guidelines provide guidance for managing transboundary movements of waste electrical and electronic equipment (in the following referred to as e-waste) and used electrical and electronic equipment (in the following referred to as used equipment), that may be e-waste, in particular on the distinction between waste and non-waste pursuant to decisions IX/6, BC-10/5 and BC-11/... of the Conference of the Parties to the Basel Convention on the control of Transboundary Movement of Hazardous Wastes and Their Disposal (further: the Convention).
2. These guidelines focus on the aspects related to transboundary movements of e-waste and used equipment that [may be e-waste][is not waste]. In particular the distinction between used equipment destined for repair, refurbishment or direct reuse that is not waste and e-waste destined for disposal has proven to be problematic for authorities to define and to evaluate. Further these guidelines consider which e-waste is hazardous waste or "other waste" and therefore would fall under the provisions of the Convention. Without such distinctions it is difficult for enforcement agencies to assess if the provisions of the Basel Convention for transboundary movements apply, as the Convention only applies to hazardous wastes and other wastes. Only whole equipment and components (e.g. monitors, hard-drive, motherboards, batteries) that can be removed from equipment and can be tested for functionality and either be subsequently directly re-used or re-used after repair or refurbishment are considered in these guidelines. For the purpose of these guidelines, the term equipment also covers such components. Materials removed or are derived from e-waste and used equipment e.g. metals, plastics, PVC-coated cables or activated glass, that are waste are not addressed in these guidelines, but may fall under the provisions of the Convention.
3. The present technical guidelines provide:
  - (a) information on the relevant provisions of the Convention applicable to transboundary movements of e-waste;
  - (b) guidance on the distinction between waste and non-waste when equipment is moved across borders
  - (c) guidance on the distinction between hazardous waste and non-hazardous waste; and
  - (d) general guidance on transboundary movements of used equipment and e-waste and enforcement of the control provisions of the Convention.
4. These guidelines are intended for government agencies including enforcement agencies that wish to implement, control and enforce legislation and provide training regarding transboundary movements. They are also intended to inform all actors involved in the management of e-waste and used equipment so they can be aware of this guidance when preparing or arranging for transboundary movements of such items.
5. Their application should help reduce transboundary movements to the minimum consistent with the environmentally sound and efficient management of such wastes and to reduce the environmental burden of e-waste that currently may be exported to countries and facilities that cannot handle it in an environmentally sound manner.
6. These guidelines do not cover other aspects of environmentally sound management of e-wastes such as collection, treatment and disposal. These aspects may be covered where appropriate in other guidance documents. In particular a series of guidelines were developed or are being developed in the context of the following public-private partnership initiatives under the Basel Convention (on the action of the COP regarding these guidelines, see decisions BC-10/20 and BC-10/21:
  - 1) Mobile Phone Partnership Initiative (MPPI):
    - (a) Revised guidance document on environmentally sound management of used and end-of-life mobile phones (UNEP/CHW.10/INF/27/Rev.1)
    - (b) Awareness raising and design considerations (MPPI, 2009a)
    - (c) Collection (MPPI, 2009b)
    - (d) Transboundary movement (MPPI, 2009 c)
    - (e) Refurbishment (MPPI, 2009 d)

- (f) Material recovery and recycling (MPPI, 2009 e).
- 2) Partnership for Action on Computing Equipment (PACE):
  - (a) Sections 1, 2, 4 and 5 of the guidance document on environmentally sound management of used and end-of-life computing equipment (UNEP/CHW.10/20, annex)
  - (b) Environmentally Sound Management Criteria Recommendations
  - (c) Guideline on Environmentally Sound Testing, Refurbishment, and Repair of Used Computing Equipment
  - (d) Guideline on Environmentally Sound Material Recovery and Recycling of End-of-Life Computing Equipment
  - (e) Guideline on Transboundary Movement (TBM) of Used and End-of-Life Computing Equipment.

## B. About e-waste

7. E-waste consists of electrical and electronic equipment that is no longer suitable for use or that the last owner has discarded with the view of its disposal i.e. recycling, recovery or disposal not leading to recovery. E-waste may be generated during repair or refurbishment of used equipment, e.g. in the form of unrepairable parts. The volume of e-waste being generated is growing rapidly, due to the wide use of this equipment, both in developed countries and in developing countries. The total amount of global e-waste generated in 2005 was estimated to be 40 million tonnes (StEP, 2009). The amount of e-waste in the EU was estimated between 8.3 and 9.1 million tonnes in 2005 and expected to reach some 12.3 million tonnes in 2020 (UNU, 2007). In developing countries and countries with economies in transition the sales of electrical and electronic equipment are increasing rapidly. Therefore the domestic generation of e-waste is likely to increase significantly in those countries. Currently e-waste is exported from developed countries to developing countries that are not likely to possess the infrastructure and societal safety nets to prevent harm to human health and the environment due to factors such as exports being less expensive than managing the waste domestically, the availability of markets for raw materials or recycling facilities and the location of manufacturers of electrical and electronic equipment. However, there are also examples of formal recycling facilities in developing countries and economies in transition that are repairing, refurbishing and recycling used equipment and e-waste in an environmentally sound manner.

8. E-waste may contain hazardous substances such as lead, mercury, PCB, asbestos and CFC's that pose risks to human health and the environment when improperly disposed of or recycled and that require specific attention as to their environmentally sound waste management. In most developing countries and countries with economies in transition capacity to manage the hazardous substances in e-waste is lacking. As an example, the informal recovery industry in Asia supplies manufacturers with some recycled raw materials. There is clear evidence however that the practice exploits women and child labourers who cook circuit boards, burn cables, and submerge equipment in toxic acids to extract precious metals such as gold (Schmidt, 2006) and subjects them and their communities to damaged health and a degraded environment. Moreover, the techniques used by the informal sector are not only damaging human health and the environment; often they also perform poorly as to their efficiency in recovering valuable resources, squandering precious resources such as critical metals for future use. Even management of non-hazardous wastes can cause significant harm to human health and the environment if not undertaken in an environmentally sound manner.

9. E-waste contains valuable materials that can be recovered for recycling including iron, aluminium, copper, gold, silver, platinum, palladium, indium, gallium and rare earth metals. The extraction of all of these metals from the Earth has significant environmental impact. And the use of such waste materials as a resource for raw materials can lead to conservation of energy and reduction in greenhouse gas emissions when adequate technologies and methods are applied.

10. Direct reuse or reuse after repair or refurbishment can contribute to sustainable development. Reuse extends the lifetime of the equipment and may provide for access to such equipment for groups in society that otherwise would not have access to it due to reduced costs of second-hand equipment. Failure to handle equipment properly, however, can have negative impacts and often entail disposal when parts are replaced and discarded. The lack of clarity in defining when equipment is waste and when it is not has led to a number of situations where such equipment was exported to, in particular, developing countries ostensibly for reuse where a large percentage of these goods in fact were not suitable for further use or were not marketable and had to be disposed of in the developing country as

waste. The presence of hazardous substances and components in this equipment and the lack of adequate installations to treat those in an environmentally sound manner has led to serious problems for human health and the environment in the countries receiving this e-waste.

## **II. Relevant provisions of the Basel Convention**

### **A. General provisions of the Basel Convention**

11. The Basel Convention aims to protect human health and the environment against the adverse effects resulting from the generation, management, transboundary movements and disposal of hazardous and other wastes.

12. In its Article 2 (“Definitions”), paragraph 1, the Basel Convention defines wastes as “substances or objects which are disposed of or are intended to be disposed of or are required to be disposed of by the provisions of national law”. In paragraph 4 of that Article, it defines disposal as “any operation specified in Annex IV” to the Convention. In paragraph 8, it defines the environmentally sound management (ESM) of hazardous wastes or other wastes as “taking all practicable steps to ensure that hazardous wastes or other wastes are managed in a manner which will protect human health and the environment against the adverse effects which may result from such wastes”.

13. Article 4 (“General obligations”), paragraph 1, establishes the procedure by which Parties exercising their right to prohibit the import of hazardous wastes or other wastes for disposal shall inform the other Parties of their decision. Paragraph 1 (a) states: “Parties exercising their right to prohibit the import of hazardous or other wastes for disposal shall inform the other Parties of their decision pursuant to Article 13.” Paragraph 1 (b) states: “Parties shall prohibit or shall not permit the export of hazardous or other wastes to the Parties which have prohibited the import of such waste when notified pursuant to subparagraph (a).”

14. Article 4, paragraphs 2 (a)–(e) and 2 (g), contains key provisions of the Basel Convention pertaining to ESM, transboundary movement, waste minimization, and waste disposal practices that mitigate adverse effects on human health and the environment:

“Each Party shall take appropriate measures to:

(a) Ensure that the generation of hazardous wastes and other wastes within it is reduced to a minimum, taking into account social, technological and economic aspects;

(b) Ensure the availability of adequate disposal facilities, for the environmentally sound management of hazardous wastes and other wastes, that shall be located, to the extent possible, within it, whatever the place of their disposal;

(c) Ensure that persons involved in the management of hazardous wastes or other wastes within it take such steps as are necessary to prevent pollution due to hazardous wastes and other wastes arising from such management and, if such pollution occurs, to minimize the consequences thereof for human health and the environment; and

(d) Ensure that the transboundary movement of hazardous wastes and other wastes is reduced to the minimum consistent with the environmentally sound and efficient management of such wastes, and is conducted in a manner which will protect human health and the environment against the adverse effects which may result from such movement”.

(e) Not allow the export of hazardous wastes or other wastes to a State or group of States belonging to an economic and/or political integration organization that are Parties, particularly developing countries, which have prohibited by their legislation all imports, or if it has reason to believe that the wastes in question will not be managed in an environmentally sound manner, according to criteria to be decided on by the Parties at their first meeting;

(f) Prevent the import of hazardous wastes and other wastes if it has reason to believe that the wastes in question will not be managed in an environmentally sound manner.”

15. Hazardous wastes and other wastes should, as far as is compatible with environmentally sound and efficient management, be disposed of in the country where they were generated (preambular paragraph 8). Transboundary movements of such wastes from the State of their generation to any other State should be permitted only when conducted under conditions which do not endanger human health and the environment (preambular paragraph 9). In addition, transboundary movements of such wastes are permitted only if:

- (b) such wastes, if exported, are managed in an environmentally sound manner in the country of import or elsewhere (Article 4, paragraph 8); and
- (c) one of the following conditions is met (Article 4, paragraph 9):
  - (i) if the country of export does not have the technical capacity and the necessary facilities to dispose of the wastes in question in an environmentally sound and efficient manner; or
  - (ii) if the wastes in question are required as a raw material for recycling or recovery industries in the country of import; or,
  - (iii) if the transboundary movement in question is in accordance with other criteria decided by the Parties.

## **B. Control procedure for transboundary movements**

16. Any transboundary movements of hazardous and other wastes are subject to prior written notification from the exporting country and prior written consent from the importing and, if appropriate, transit countries (Article 6, paragraphs 1 to 4). Parties shall prohibit the export of hazardous wastes and other wastes if the country of import prohibits the import of such wastes (Article 4, paragraph 1 (b)).[ Decision III/1 calling for an amendment to the Convention banning the export of hazardous wastes from OECD/EU countries and Liechtenstein (proposed Annex VII) to non-Annex VII countries, and its subsequent implementation by some countries has led to national prohibitions, even while this decision has not entered into force as an amendment to the Convention.] The Basel Convention also requires that information regarding any proposed transboundary movement is provided using the accepted notification form (Article 4, paragraph 2 (f)) and that the approved consignment is accompanied by a movement document from the point where the transboundary movement commences to the point of disposal (Article 4, paragraph 7 (c)).

17. Furthermore, hazardous wastes and other wastes subject to transboundary movements should be packaged, labelled and transported in conformity with international rules and standards (Article 4, paragraph 7 (b)).<sup>1</sup>

18. When transboundary movement of hazardous and other wastes to which consent of the countries concerned has been given cannot be completed, the country of export shall ensure that the wastes in question are taken back into the country of export if alternative arrangements cannot be made for their disposal in an environmentally sound manner (Article 8, first sentence). In the case of illegal traffic (as defined in Article 9, paragraph 1), as the result of the conduct on part of the exporter or generator, the country of export shall ensure that the wastes in question are (a) taken back by the exporter or the generator or, if necessary, by itself into the State of export, or if impracticable (b) are otherwise disposed of in accordance with the provisions of this Convention (Article 9, paragraph 2).

19. No transboundary movements of hazardous wastes and other wastes are permitted between a Party and a non-Party to the Basel Convention (Article 4, paragraph 5) unless a bilateral, multilateral or regional arrangement exists as required under Article 11 of the Basel Convention.

## **C. Definitions of waste and hazardous waste**

20. The Convention defines waste as "substances or objects which are disposed of or are intended to be disposed of or are required to be disposed of by the provisions of national law" (article 2, paragraph 1). It defines disposal in article 2 paragraph 4 as "any operation specified in Annex IV to this Convention". It is important to note that national provisions concerning the definition of waste may differ and, therefore, the same material may be regarded as waste in one country but as a non waste in another country.

21. Hazardous waste is defined in the Convention as "wastes that belong to any category contained in Annex I, unless they do not possess any of the characteristics contained in Annex III; (definition in article 1 paragraph 1.a) and wastes that are not covered under paragraph 1.a but are defined as, or considered to be, hazardous wastes by the domestic legislation of the Party of export, import or transit" (definition in article 1 paragraph 1.b). The definition of hazardous waste therefore incorporates domestic law such that material regarded as a hazardous waste in one country but not in another country is defined as hazardous waste under the Convention. The Convention also requires that Parties inform the other Parties, through the Secretariat of their national definitions (article 3).

<sup>1</sup> In this connection, the United Nations Recommendations on the Transport of Dangerous Goods (Model Regulations) (UNECE, 2003a – see annex V, Bibliography) ) or later versions should be used.



Providing detailed and specific information on the national definitions of hazardous waste can avoid ambiguity concerning the applicability of national definitions.

22. To aid in distinguishing hazardous wastes from non-hazardous wastes for the purpose of Article 1.1.a two Annexes have been inserted into the Convention. Annex VIII includes wastes considered to be hazardous according to Article 1.1 (a) of the Convention unless they do not possess any of the characteristics of Annex III. Annex IX includes wastes that are not covered by Article 1.1 (a) unless they contain Annex I material to an extent causing them to exhibit an Annex III characteristic. Both Annex VIII and Annex IX include listings for various types of e-waste. More information on the distinction between hazardous and non hazardous e-waste is included in section V B of these guidelines.

### **III. Guidance on the distinction between waste and non-waste**

#### **A. General considerations**

23. To determine if equipment is waste it may be necessary to examine the history of an item on a case by case basis. However, there are characteristics of the equipment that are likely to indicate whether it is waste or not.

24. Where the exporters of used equipment claim that this is intended to be or is a movement of used equipment intended for direct reuse and not e-waste, the following should be provided or in place to back up this claim to an authority on its request (either generally and prior to the transport, or on a case-by-case basis):

(a) a copy of the invoice and contract relating to the sale and/or transfer of ownership of the equipment with a signed statement that indicates that the equipment had been tested and is destined for direct reuse and fully functional<sup>2</sup>;

(b) evidence of evaluation<sup>3</sup> or testing in the form of copy of the records (certificate of testing – proof of functional capability) on every item within the consignment and a protocol containing all record information (see Section IV);

(c) a declaration made by the holder that arranges the transport of the equipment that none of the equipment or materials within the consignment is waste as defined by national law of the countries involved in the movement<sup>4</sup> (countries of export and import, and, if applicable countries of transit) and;

(d) appropriate protection against damage during transportation, loading and unloading, in particular through sufficient packaging<sup>5</sup> and stacking of the load.

Testing of used equipment should be performed in the country of export. Except from the situations described in paragraph 26, all the above-listed criteria would need to be met for the used equipment not to be considered waste.

#### **B. Situations where equipment and used equipment should normally be considered waste, or not be considered waste**

25. Equipment and used equipment should normally be considered waste if:

(a) the equipment is not complete - essential parts are missing and the equipment cannot perform its essential key functions;

(b) it shows a defect that materially affects its functionality and fails relevant functionality tests;

(c) it shows physical damage that impairs its functionality or safety, as defined in relevant standards;

---

2 Equipment or components are “fully functional” when they have been tested and demonstrated to be capable of performing the essential key functions they were designed to perform. Essential key functions are the originally-intended function(s) of a unit of equipment or component that will satisfactorily enable the equipment or component to be reused.

3 Testing of equipment needs to be done before shipment in the country of export.

4 In case of disagreement on the status of the equipment being waste or not the procedure for the strictest interpretation (i.e. the procedure for shipments of waste) should be followed.

5 With regard to computing equipment, see the packaging guidelines developed under PACE.

- (d) the protection against damage during transport, loading and unloading operations is inappropriate, e.g. the packaging or stacking of the load is insufficient;
- (e) the appearance is particularly worn or damaged, thus reducing the marketability of the item(s);
- (f) the item has among its constituent part(s) hazardous components that are required to be discarded or are prohibited to be exported or used in such equipment under national legislation<sup>6</sup>;
- (g) the equipment is destined for disposal or recycling instead of reuse or its fate is uncertain;
- (h) there is no regular market for the equipment ;
- (i) it is destined for cannibalization (to gain spare parts); or
- (j) the price paid for the items is significantly lower than would be expected from functional equipment intended for reuse.

26. Equipment and used equipment should normally not be considered waste:

- (a) where the criteria in paragraph 24 (a) to (d) are met and it is not destined for any of the operations listed in Annex IV of the Convention (recovery or disposal operations) and is directly reused for the purpose for which it was originally intended or presented for sale or exported for the purpose of being put back to direct reuse or sold to end consumers for such reuse, or
- (b) where the criteria in paragraph 24 (c) and (d) are met and it is documented by conclusive proof that [the transboundary movement is taking place in the framework of a business-to-business transfer agreement and that]:

#### **Proposal EU**

- i. the equipment is sent back as defective for repair to the producer or a third party acting on his behalf (under warranty) with the intention of re-use; or

#### **Proposal GRULAC**

- i) - Shipments by individual customers of their own defective equipment under warranty or subject to a law allowing for a right of return of the equipment, for repair and refurbishment for re-use.
- Batches of defective equipment under warranty that have been collected from individual customers or consolidated by manufacturers, original component suppliers, or their contractual agents, sent back to the manufacturer, original component suppliers, or their contractual agents, for re-use.

#### **Proposal BAN and US**

- i) - Shipments by individual customers of their own defective equipment under warranty or subject to a law allowing for a right of return of the equipment, for repair and refurbishment [and where the same type or similar product is intended to be returned to the customer]. This does not include equipment from take back programs.
- Batches of defective equipment under warranty that have been collected from individual customers or consolidated by manufacturers, original component suppliers, or their contractual agents, sent back to the manufacturer, original component suppliers, or their contractual agents, and for which the same type or similar product has been or will be returned to the customer, This does not include equipment from take back programs.

#### **Proposal EU**

- ii. the used equipment for professional use<sup>7</sup> is sent to the producer or a third party acting on his behalf or a third party facility as long as such export

<sup>6</sup> E. g. asbestos, PCBs, CFCs. The use of these substances is phased out or prohibited in the context of multilateral environmental agreements or in national legislation of certain countries for certain applications.

does not involve exports from Annex VII to non-Annex VII countries for refurbishment or repair under a valid contract with the intention of re-use;  
or

#### **Proposal GRULAC**

- ii. the used equipment for professional use is sent to the producer or third party acting on his behalf for repair under a valid contract with the intention of re-use;

#### **Proposal Japan**

- ii. the used equipment is sent to the producer or a third party acting on his behalf for refurbishment or repair under a valid service contract for re-use;  
or

#### **Proposal BAN**

- ii. the used equipment for professional use is sent to the producer or a third party acting on his behalf for refurbishment or repair under a valid contract for re-use, as long as it is not exported from Annex VII to non-Annex VII countries; or

#### **Proposal ITI and COCIR**

- ii) The used equipment is sent for refurbishment or repair under a valid contract with the intention of re-use to:
  - a. the producer or a third party facility acting on his behalf; or
  - b. a third party facility as long as such export does not involve exports from Annex VII to non-Annex VII countries;

#### **Proposal African Group**

- ii. the used equipment for professional use is sent to the producer or a third party acting on his behalf for refurbishment or repair under a valid contract, accompanied by a movement document and declaration (similar to PACE Appendix 7), as long as it is not exported from Annex VII to non-Annex VII countries
- iii. the defective used equipment for professional use, such as medical devices or their parts, [enterprise Information and Communications Technology (ICT) equipment (e.g. networking and infrastructure equipment)] is sent to the producer or a third party acting on his behalf for root cause analysis under a valid contract, in cases where such an analysis [as required under national law can only] [is needed for corrective and preventative actions as required by industry standards to] be conducted by the producer or third parties acting on his behalf; or
- iv. [ the used equipment is administered by or on behalf of a person engaged in the business of leasing equipment and such equipment is removed from service and shipped by the lessor or third parties acting on their behalf with the intention of reuse.]

Transboundary movement of used equipment covered by paragraph 26 b) would not fall under the procedure described in section IV.

26bis. A recommended form for the documentation according to para 26 b is contained in appendix ....

---

7 Equipment for professional use is equipment that is designed to be solely used by professional users. Equipment that is likely to be used only by private householders or both by private householders as professional users is not equipment for professional use. E.g, personal computers or small copying machines would not be equipment for professional uses whereas mainframe computers and large copying machines would be professional equipment.

## **IV. [Procedures for transboundary movements of used equipment that is not waste**

### **A. ] Recommended procedure for transboundary movements of used equipment suitable for direct reuse without repair or refurbishment**

27. Prior to any export of used equipment the exporter should be in a position to provide information to any relevant state authorities (e. g. customs, police or environmental agencies) that proves that the criteria in paragraph 26 are met. Failure to meet these criteria would generally indicate to the relevant authorities that the material is e-waste (see section VI). In some jurisdictions, however, it remains for the state authorities to prove that the used equipment at issue is e-waste.

28. Exporters that prepare an export of used equipment rather than e-waste should take the following steps:

#### **Step 1: Evaluation / testing**

29. Evaluation of the potential suitability for direct reuse and testing of the items that are evaluated as potentially suitable for direct reuse should be undertaken to ensure that used equipment is suitable for direct reuse. The tests to be conducted depend on the kind of equipment. Functionality should be tested and presence of hazardous substances or components should be evaluated. The completion of a visual inspection without testing functionality is unlikely to be sufficient. For most of the equipment a functionality test of the essential key functions is sufficient. Section V B of these guidelines provides guidance on the evaluation for the presence of hazardous substances and components. A list of references to examples of functionality tests for certain categories of used equipment is provided in ....

#### **Step 2: Recording**

30. Results of evaluation and testing should be recorded. The record should contain the following information:

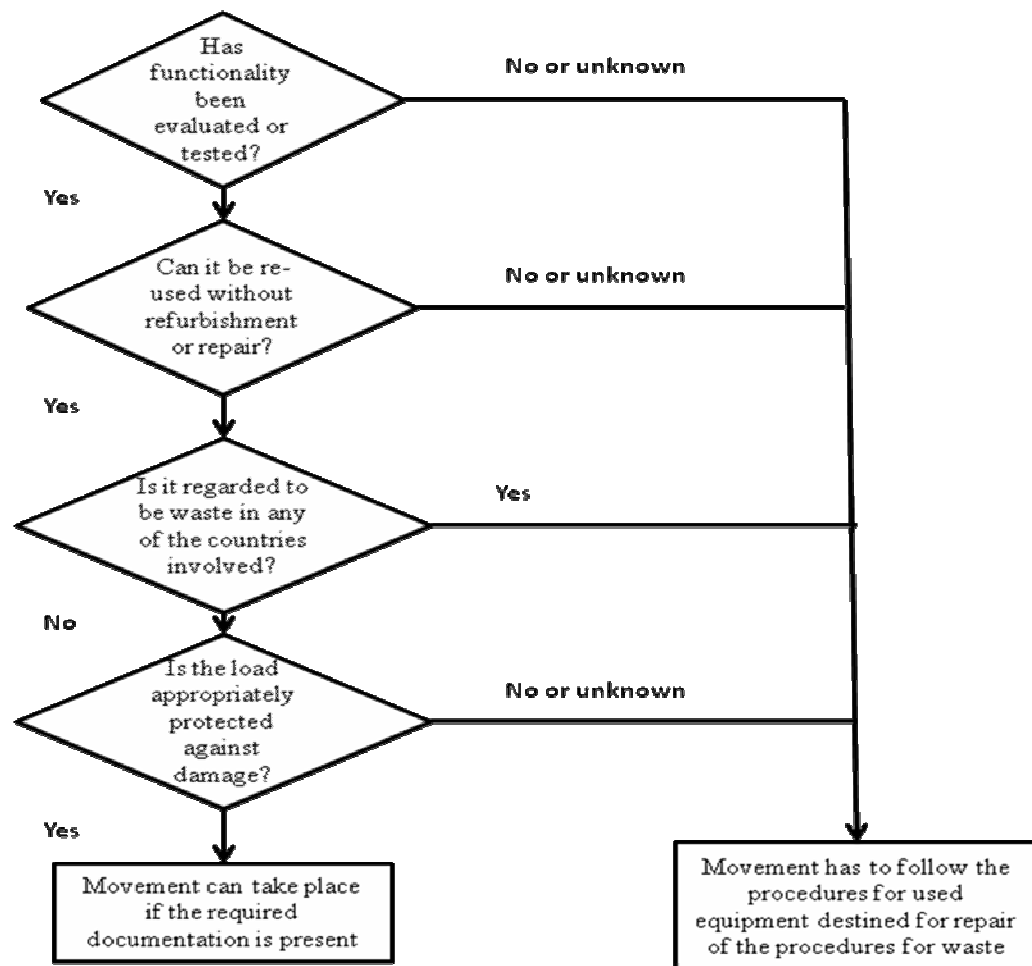
- (a) name of the item;
- (b) name of the producer
- (c) identification number of the item (type no.), where applicable;
- (d) year of production (if available);
- (e) name and address of the company responsible for evidence of functionality;
- (f) result of tests as described in step 1 (e. g. naming defective parts and defect or indication of full functionality) including date of the functionality test;
- (g) kind of tests performed
- (h) signed declaration.

31. The record should accompany the transport and should be fixed securely but not permanently on either the used equipment itself (if not packed) or on the packaging so it can be read without unpacking the equipment. A recommended form for this record is contained in Appendix ....

#### **Step 3: Appropriate protection against damage**

32. The used equipment should be appropriately protected from damage during transportation, loading and unloading in particular through sufficient packaging and appropriate stacking of the load.

33. A flow scheme representing the recommended decision-making procedure with regard to the transboundary movements of either used equipment or e-waste is presented in figure 1.



**Figure 1:** Recommended decision-making procedure with regard to the transboundary movements of either used equipment or e-waste

**PM:** figure will be updated after the OEWG on the application of the different procedures ( see also IV B).

## B. [Recommended procedures to follow in case of transboundary movements of used equipment destined for repair or refurbishment]

*PM should the section be maintained, some adaptations of the text may be needed as indicated in the reaction of a number of Parties and other stakeholders in the reaction on the previous draft.*

34. [Certain Parties may consider used equipment destined for repair, refurbishment or upgrading to be waste, while others may not. In accordance with the principles of the Convention, if one of the countries concerned considers this used equipment to be waste the procedures on transboundary movement of e-waste as indicated in section V A of this guidance should be followed. Note that in some cases, the decision to classify used equipment destined for repair or refurbishment as a hazardous waste could result in the imposition of a ban on the export or import of such equipment under national legislation or pursuant to the Convention's prohibition on trade with non-Parties.

35. If, however, following Article 2.1 of the Basel Convention and national legislation, none of the Parties involved in a transboundary movement has determined that used equipment destined for repair or refurbishment in the importing country are classified as hazardous wastes or other wastes, the Basel Convention control procedure will not apply.] Parties have expressed concerns that used equipment has been transported to their countries as destined for repair or refurbishment but in fact intended for disposal and such waste could enter their country without them knowing this and therefore without a possibility to oppose or to identify conditions to such movements in case this would create environmental problems. Therefore the voluntary notification procedure, described in this Section should be considered by the countries involved to ensure that such movements are being monitored, and the importing country is given an opportunity to react (consent, object, or identify conditions) to such movements. Alternatively, the countries involved may also consider applying the procedures applicable for transboundary movements of waste to such movements, even though the equipment is not considered to be waste.

### Voluntary Notification Procedure

36. In cases where used equipment is exported regularly to the same repair, refurbishment or upgrading facility by the same exporter, and if there is no existing agreement between the exporter and the governmental authorities (importing and exporting countries), the exporter should provide a Statement of Evaluation and Intent to Reuse ("the Statement") to the Governmental Authority<sup>8</sup> of the countries of export, import, and transit (if any), by means of email, fax or other agreed method, prior to the departure of the movement from the country of export. The Statement is intended to promote transparency and assist governments in distinguishing legitimate transboundary movements of equipment for environmentally sound refurbishment, repair and reuse from illegal movements of (potentially hazardous) e-waste for recycling that an exporter attempts to move under the guise of "reuse" so as to avoid legal controls on waste movements. One Statement would be sufficient for movements within a defined time period for up to one year, or other time period as agreed by the Parties involved.

37. In the case of single movement greater than a specific quantity<sup>9</sup> as agreed to by the parties involved (especially of trial movements to a new repair or refurbishment facility), that have been evaluated and assessed to be likely suitable for reuse, the exporter should provide a Statement to the Governmental Authority of the countries of export, import, and transit (if any), by means of e-mail, fax, or other agreed to method, prior to the departure of the movement from the country of export. In this case, the Statement would substitute an actual amount of material for the movement instead of the maximum amount as would be the case for a Statement of equipment that is regularly exported to the same facility.

38. Statements, as described in paragraph 38 and 39, should include the following:

- (a) a reference that the load is not considered to be waste by any of the countries involved;

<sup>8</sup> Governmental Authority: means a governmental authority designated by a Party or Signatory to be responsible, within such geographical areas under the legal jurisdiction of the Party or Signatory, as the Party or Signatory thinks appropriate for implementing relevant rules and regulations and to receive information related to exports of used equipment destined for reuse, possibly after repair, refurbishment or upgrading.

<sup>9</sup> For mobile phones the guidance document of the MPPI mentions an indicative number of 200 items.

- (b) a commitment by the exporter that applicable guidelines for the environmentally sound management of the equipment are to be followed and assurances that such transported equipment destined for reuse and will be managed in an environmentally sound manner<sup>10</sup>;
- (c) a description of the movement, in particular, content, maximum count, packaging to ensure safe movement and adequate protection of the equipment;
- (d) an indication whether the information is for a single movement or multiple movements, and estimated frequency at which such movements are to take place;
- (e) an indication of the proposed date of the first and the last movement during the defined time period;
- (f) identification of the route (including ports of export and import);
- (g) identification of and contact information (name, address and phone number) of the importer and exporter;
- (h) a description of the evaluation used to determine that the used equipment in the movement are suitable for reuse, possibly after repair, refurbishment or up-grading;
- (i) identification of and contact information (name, address, and phone number) of local persons associated with the importer and exporter who can provide any additional information about the movement;
- (j) information on how residues and wastes arising from repair, refurbishment or upgrading operations will be managed.

39. All item of used equipment, individually or in partitioned batches, should be appropriately documented with reference to the above-mentioned Statement, or other suitable method, so that recipients in the importing country are properly informed.

40. The Governmental Authorities should acknowledge by e-mail, fax or other agreed method the receipt of the Statement within the 3 working days, or other agreed time period, and should send this acknowledgement to the states concerned and to the exporter and the importer. After this time period has elapsed, any evidence of effective delivery of the Statement to the Governmental Authorities will be deemed as the acknowledgement date. If the Governmental Authorities have provided authorization or have not responded within the 14 calendar days from the acknowledgement date, transboundary movement may commence for the single movement or the movements within the period of time defined in the Statement. An updated Statement might be submitted at any time. However:

- (a) if further information<sup>11</sup> is requested by the Governmental Authority of the state of export, import or transit, such information should be provided before commencement of the movement.
- (b) if the response indicates that there is no objection, but suggests conditions, then the movement may commence only after necessary conditions have been taken into account.

41. The Statement is provided solely for use by the Governmental Authority and is not for disclosure to third parties if the statement is marked as business confidential.

#### **Alternative procedure**

42. Alternatively the Parties involved may want to decide that, on a voluntary basis the procedures applicable for waste as indicated in Section V A would be applied.

43. The Basel Convention procedure for hazardous waste controls could be utilized for equipment that contains hazardous components or substances that would need to be disposed of as a result of the repair or refurbishment operations after its importation into the country of destination. A voluntary procedure for non-hazardous waste could be utilized for transboundary movements if the equipment does not contain hazardous components or substances that would need to be disposed of as a result of the repair or refurbishment operations.

---

<sup>10</sup> It was suggested that third party certification of facilities could provide added assurance to authorities that the proposed exports would meet these requirements. If including such reference is considered to be appropriate this could be added in the next version of the guidelines.

<sup>11</sup> Such information may indicate that more stringent provisions to be applied like the provisions of the Basel Convention.

44. A flow scheme representing the alternative procedure for equipment destined for repair or refurbishment is given in figure 2.

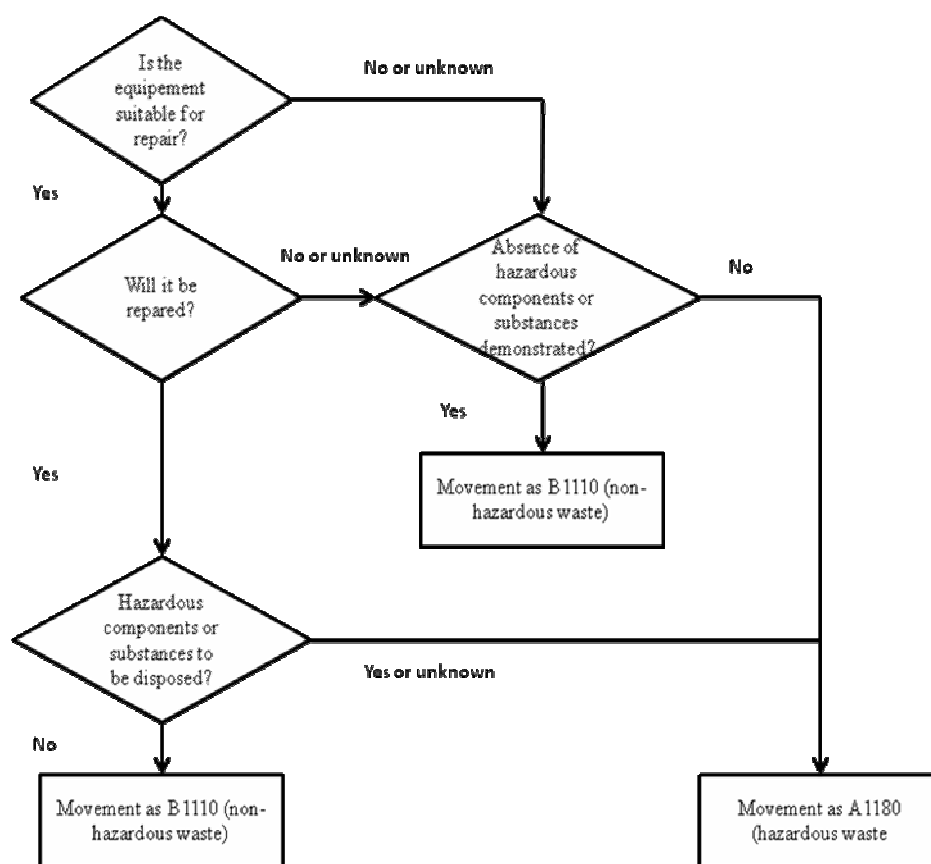


Figure 2 Alternative procedure for used equipment destined for repair or refurbishment]

## V. Guidance on transboundary movements of e-waste

### A. General considerations

45. When e-waste is considered to be hazardous waste according to Article 1.1.a. of the Convention or by national legislation (Article 1.1.b) national import or export prohibitions must be respected. Where no such national prohibitions apply the control procedure as mentioned in Section II B of these guidelines applies. For e-waste that is not considered to be hazardous the Basel Convention does not foresee a specific procedure. However certain Parties have implemented procedures in those cases, such as those applicable for transboundary movements of 'green'-listed waste under EU legislation<sup>12</sup> or the procedure for pre-movement inspection of recycling materials as applicable for China<sup>13</sup>.

46. In case a competent authority involved in transboundary movements of e-waste considers a specific item to be hazardous waste according to its national law, while the other authorities would not, the control procedure for hazardous waste would apply. The same mechanism is suggested for differences of opinion between competent authorities on the assessment if the equipment constitutes a waste or not. In those cases the applicable procedures for transboundary movements of waste would be applied. If this approach is taken and the applicable procedures are not followed, the movement would be regarded as illegal.

<sup>12</sup> Regulation (EC) No 1013/2006 on shipments of waste and 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 to certain countries to which the OECD Decision on the control of transboundary movements of wastes does not apply (see: <http://ec.europa.eu/environment/waste/shipments/legis.htm>)

<sup>13</sup> PSI for recycling materials is established by the General Administration of Quality Supervision, Inspection and Quarantine of People's Republic of China (AQSIQ). Information on the procedure can be found on the web-site of the China Certification & Inspection Group (CCIC), who is authorized to handle this procedure in various countries worldwide, e.g. on the website of the CCIC in Europe: <http://www.ccic-europe.com>



## B. Distinction of hazardous waste and non-hazardous waste

47. E-waste is included in Annex VIII of the Convention with the following entry for hazardous wastes:

A1180 Waste electrical and electronic assemblies or scrap<sup>14</sup> 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)<sup>15</sup>.

48. E-waste is also included in Annex IX of the Convention with the following entry for non-hazardous wastes:

B1110 Electrical and electronic assemblies:

- Electronic assemblies consisting only of metals or alloys
- Waste electrical and electronic assemblies or scrap<sup>16</sup> (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,<sup>17</sup> and not for recycling or final disposal<sup>18</sup>

49. Equipment will often contain hazardous components examples of which are indicated in the entry A1180 of Annex VIII. E-waste should therefore be presumed to be hazardous waste unless it can be shown that it does not contain such components and in particular<sup>19</sup>:

(a) lead-containing glass from cathode ray tubes (CRTs) and imaging lenses, which are assigned to Annex VIII entries A1180 or A2010 “glass from cathode ray tubes and other activated glass”. This waste also belongs to category Y31 in Annex I, “Lead; lead compounds” and is likely to possess hazard characteristics H6.1, H11, H12 and H13 included in Annex III;

(b) nickel-cadmium batteries and batteries containing mercury, which are assigned to Annex VIII entry A1170 “unsorted waste batteries...”. This waste also belongs to category Y26 in Annex I, “Cadmium; cadmium compounds” or Y29 “Mercury, mercury compounds” and are likely to possess hazard characteristics H6.1, H11, H12 and H13;

(c) selenium drums, which are assigned to Annex VIII entry A1020 “selenium; selenium compounds”. This waste also belongs to category Y25 in Annex I, “Selenium; selenium compounds” and is likely to possess hazard characteristics H6.1, H11, H12 and H13;

(d) printed circuit boards, which are assigned to Annex VIII entry A1180 “waste electronic and electrical assemblies.....”, and entry A1020 “antimony; antimony compounds” and “beryllium; beryllium compounds”. These assemblies contain brominated compounds and antimony oxides as flame retardants, lead in solder as well as beryllium in copper alloy connectors. They also belong in Annex I, to categories Y31, lead; lead compounds, Y20, beryllium, beryllium compounds and Y27 antimony, antimony compounds and Y45, organohalogen compounds other than substances referred to elsewhere in Annex I. They are likely to possess hazard characteristics H6.1, H11, H12 and H13;

(e) fluorescent tubes and backlight lamps from Liquid Crystal Displays (LCD), which contain mercury and are assigned to Annex VIII entry A1030 “mercury; mercury compounds”. This waste also belongs to category Y29 in Annex 1, “Mercury; mercury compounds” and is likely to possess hazard characteristics H6.1, H11, H12 and H13;

14 This entry does not include scrap assemblies from electric power generation.

15 PCBs are at a concentration level of 50 mg/kg or more.

16 This entry does not include scrap from electrical power generation.

17 Reuse can include repair, refurbishment or upgrading, but not major reassembly

18 In some countries these materials destined for direct reuse are not considered wastes.

19 The following list of components or constituents are non-exhaustive examples.

(f) plastic components containing Brominated Flame Retardants (BFRs), in particular BFR that are persistent organic pollutants according to the Stockholm Convention that can be assigned to Annex VIII entry 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 of 50 mg/kg or more.” This waste also belongs to category Y45 in Annex I, “Organohalogen compounds other than substances referred to elsewhere in Annex I”, and to category Y27 “Antimony, antimony compounds”, and is likely to possess hazard characteristics H6.1, H11, H12 and H13;

(g) other components containing or contaminated with mercury, such as mercury switches, contacts, thermometers, which are assigned to annex VIII entry A 1010, A1030 or A1180. This waste also belongs to category Y29 in Annex I, “Mercury; mercury compounds” and is likely to possess hazard characteristics H6.1, H11, H12 and H13;

(h) waste oils/liquids, which are assigned to annex VIII entry A 4060 “Waste oil/water, hydrocarbons/water mixtures, emulsions”. The waste belongs to category Y8 in Annex I, “Waste mineral oils unfit for their originally intended use” or Y9 in Annex I, “Waste oil/water, hydrocarbons/water mixtures, emulsions”, and is likely to possess hazardous characteristics H3, H11, H12 and H13;

(i) components containing asbestos, such as in wires, cooking stoves and heaters, which are assigned to annex VIII entry A 2050. The waste belongs to category Y 36 in Annex I, “Asbestos (dust and fibres)”, and is likely to possess hazardous characteristic H 11.

49 bis. A list of references to materials on non-hazardous equipment and on hazardous components that can be found in electronic and electrical equipment is provided in...

## VI. Guidance on control of transboundary movements of used equipment and e-waste

50. Inspections should be undertaken by competent bodies of state authorities (e.g. police, customs and (environmental) inspectors) at facilities and during the movement. Exporters of used equipment should ensure that it is accompanied by appropriate documentation according to paragraphs 24, 26, 30, 31, and 51 and that is appropriately protected against damage during transportation, loading and unloading, in particular through sufficient packaging or appropriate stacking of the load in order to demonstrate that the items concerned are not e-waste as indicated in section IV A.

51. For practical reasons of control hat every load of used equipment should also be accompanied by a declaration of the liable person on its responsibility and by a relevant transport document, e.g. by a waybill or a CMR document where applicable<sup>20</sup>. This document contains a description of the goods transported using the Harmonized Commodity Description and Coding System (normally referred to as “Harmonized System”) developed by the World Customs Organization (WCO).

52. In the absence of appropriate documentation according to paragraphs 24, 26, 30, 31, and 51 and appropriate protection against damage during transportation, loading and unloading in particular through sufficient packaging and appropriate stacking of the load which should be the obligations of the holder who arranges the export authorities should consider an item to be (potentially hazardous) e-waste and, in the absence of consents in accordance with the requirements of the Basel Convention, should presume that the export comprises a case of illegal traffic as specified in Article 9 of the Convention. In these circumstances the relevant competent authorities are obliged to be informed and the provisions of take back as foreseen in Article 9 are to be applied. Illegal traffic is to be considered a criminal offense in accordance with Article 4.3 of the Convention..

52bis. When e-waste is exported as hazardous waste the documentation required under the control procedure of the Convention should accompany the consignment .

52ter. The Secretariat of the Basel Convention has cooperated with the WCO to establish a correlation between the entries in Annexes VIII and IX and the codes of the Harmonized System. The

<sup>20</sup> Document containing the information as required under the UN Convention on the Contract for the International Carriage of Goods by Road (CMR Convention). Although the form in which the information should be presented is not mandatory it is recommended to use the standard CMR forms to facilitate communication in case of a control. An extract of the correlation table between codes used in customs documents to describe goods and entries in the Basel Convention Annexes VIII and IX has been included in Appendix III.

correlation table is included in Appendix III. This table can facilitate comparison of the CMR documents with the documents that should accompany the transport of used equipment or e-waste according to the procedures in these guidelines.

53. Health and safety issues and potential risks for enforcement agents (such as customs officers) are a key priority for any inspection of transports of e-waste or used equipment. Enforcement officers should have specific training before doing such inspections. Particular care should be applied when opening containers. In particular if the transport consists of waste the items may not have been stacked in a stable way and items may fall out of the container when opening it for inspection. The load may also contain hazardous substances that could be released when inspecting the load. References to additional information regarding health and safety aspects are provided in...

## Appendix I Glossary of Terms

**Note:** *Some of these terms were developed for the purpose of the present guidelines and should not be considered as being legally binding, or that these terms have been agreed to internationally. Their purpose is to assist readers to better understand these guidelines. Insofar as appropriate the use of these terms has been aligned with terms used in other guidelines developed under the Basel Convention.*

<b>Basel Convention:</b>	United Nations Environmental Programme's March 22, 1989 Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, which came into force in 1992.
<b>Component:</b>	Element with electrical or electronic functionality connected together with other components, including by soldering to a printed circuit board, to create an electronic circuit with a particular function (for example a monitor, hard-drive, motherboard, battery).
<b>Direct reuse:</b>	Continued use of electrical and electronic equipment by another person without the necessity of repair, refurbishment <sup>21</sup> , or (hardware) upgrading, provided that such continued use is for the intended purpose of the equipment.
<b>Disposal:</b>	Any operations specified in Annex IV of the Basel Convention (Article 2, paragraph 4 of the Convention).
<b>Environmentally sound management:</b>	Taking all practicable steps to ensure that hazardous wastes or other wastes are managed in a manner which will protect human health and the environment against the adverse effects which may result from such wastes (Article 2.8 of the Convention).
<b>Equipment:</b>	Electrical and electronic equipment which is dependent on electric currents or electromagnetic fields in order to work properly including components that can be removed from equipment and can be tested for functionality and either be subsequently directly re-used or re-used after repair or refurbishment.
<b>Equipment for professional use:</b>	[Equipment that is designed to be solely used by professional users. Equipment that is likely to be used by private households, or by private households as well as by professional users is not equipment for professional use]. [Specialized equipment that is designed for commercial and business use but not equipment that is considered to be common for use in households.] [E.g, mainframe computers and large copying machines would be professional equipment whereas personal computers, mobile phones and small copying machines would not be equipment for professional use.]
<b>Essential key function:</b>	The originally intended function(s) of a unit of equipment or component that will satisfactorily enable the equipment or component to be reused.
<b>Fully functional:</b>	Equipment is fully functional when it has been tested and demonstrated to be capable of performing at least the essential key functions it was designed to perform.
<b>Producer</b>	Note: may be developed
<b>Recovery:</b>	Relevant operations specified in Annex IV B of the Basel Convention; recycling operations are part of this Annex.
<b>Refurbishment:</b>	Process for creating refurbished or reconditioned equipment including such activities as cleaning, data sanitization, and (software) upgrading.
<b>Repair:</b>	Process of fixing specified faults in equipment.
<b>Reuse:</b>	Process of using again equipment that is not waste in the same [or a similar] function, possibly after refurbishment, repair or upgrading.
<b>Waste:</b>	Substances or objects which are disposed of or are intended to be disposed of or are required to be disposed of by the provisions of national law (Article 2, paragraph 1 of the Basel Convention).
<b>Waste electrical and electronic equipment</b>	Electrical or electronic equipment which is waste, including all components, sub-assemblies and consumables which are part of the equipment at the time the equipment becomes waste

<sup>21</sup> Cleaning and data sanitization in relation to direct re-use?

## Appendix III Correlation between the Harmonized System Codes and Basel Convention lists

The Secretariat of the Basel Convention has cooperated with the World Customs Organisation (WCO) to establish a correlation between the entries in Annexes VIII and IX of the Convention and the Harmonized Commodity Description and Coding System (normally referred to as "Harmonized System" further HS). The HS provides for a nomenclature of goods used by all customs organizations. This system is used by exporters to in documentation required by custom authorities throughout the world. The system uses 6-digit codes and descriptions of goods. Also wastes are included in the system.

The WCO prepared a document in which the correlation between relevant HS codes and the Annexes VIII and IX were established for the following entries of Annex VIII:

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 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)

A1190 Waste metal cables coated or insulated with plastics containing or contaminated with coal tar, PCB, lead, cadmium, other organohalogen compounds or other Annex I constituents to an extent that they exhibit Annex III characteristics.

It also contains the correlation with the following entries of Annex IX:

B1040 Scrap assemblies from electrical power generation not contaminated with lubricating oil, PCB or PCT to an extent to render them hazardous.

B1090 Waste batteries conforming to a specification, excluding those made with lead, cadmium or mercury

B1110 Electrical and electronic assemblies:

. Electronic assemblies consisting only of metals or alloys . Waste electrical and electronic assemblies or scrap (including printed circuit boards) not containing components such as accumulators and other batteries included on list A, mercury-switches, glass from cathode-ray tubes and other activated glass and PCB-capacitors, or not contaminated with Annex I constituents (e.g., cadmium, mercury, lead, polychlorinated biphenyl) or from which these have been removed, to an extent that they do not possess any of the characteristics contained in Annex III (note the related entry on list A A1180)

. Electrical and electronic assemblies (including printed circuit boards, electronic components and wires) destined for direct reuse, and not for recycling or final disposal<sup>22</sup>.

The correlation table (see below) lists the different HS codes and indicates if the relevant HS code only consists of waste (indicated with the symbol X) or also may consist of both wastes and of products that are not waste (indicated with the symbol EX). It is also indicated if the material covered by the HS code would be included in List A, List B or both. This correlation table may be useful for enforcement agencies undertaking controls of used equipment and e-waste when checking customs documents or CMR documents. These make use of the HS codes to describe the goods that are transported and generally do not make reference to the waste codes of the Convention. The table may give indications when movements indicated with certain HS codes could constitute waste and in which cases this could be hazardous waste. Such cases could be then be selected for further inspection.

<sup>22</sup> The relevant footnotes for these entries have not been reproduced here. They can be found in the relevant part of Section IV of this guidance document.

## **Correlation table between HS codes and entries in Annexes VIII and IV of the Basel Convention**

**Note:** This table was last reviewed in 2008 and will be applicable until end 2011. From 1 January 2012 the HS Nomenclature 2012 will come into effect. A correspondence table compatible with this new version of the HS Nomenclature will become available before that date. That correspondence table will be added in a later version of the document. It should be checked if it is possible to link the different HS codes to the different entries under the Annexes VIII and IX and if this available via a link to the WCO website.

HS Code	WASTE on Annex VIII	WASTE on Annex IX
0501.00		EX
0502.10		EX
0502.90		EX
0505.90		EX
0506.90		EX
0507.10		EX
0507.90		EX
0508.00		EX
0511.99	EX	EX
1213.00		EX
1404.90		EX
1501.00		EX
1502.00		EX
1503.00		EX
1505.00		EX
1506.00		EX
15.07		EX
15.08		EX
15.09		EX
1510.00		EX
15.11		EX
15.12		EX
15.13		EX
15.14		EX
15.15		EX
15.16		EX
15.17		EX
1518.00		EX
1520.00		EX
1522.00		X
1802.00		EX
2303.20		EX
2303.30		X
2307.00		EX
2308.00		EX
2501.00		EX
2503.00		EX
2504.90		EX
2505.10		EX
2505.90		EX
2514.00		EX
2517.20		EX
2521.00		EX
2524.10	X	
2524.90	X	
2525.30		X
2529.10		EX
2529.21		EX
2529.30		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
2530.90		EX
2618.00		X
2619.00		X
2620.11		X
2620.19	X	EX
2620.21	X	X
2620.29	X	EX
2620.30	X	EX
2620.40	X	EX
2620.60	X	EX
2620.91	X	EX
2620.99	X	EX
2621.10	X	EX
2621.90	X	EX
2706.00	EX	EX
27.07	EX	EX
2708.10	EX	EX
2708.20	EX	EX
2709.00	EX	EX
2710.19		EX
2710.91	X	
2710.99	X	
2713.90	X	EX
2715.00		EX
2804.50	EX	EX
2804.80	EX	EX
2804.90	EX	EX
2805.40	X	X
2827.35		EX
2827.39		EX
2827.49		EX
2841.50	EX	EX
2846.90		EX
2849.10		EX
2849.20		EX
2852.00	X	EX
3006.92	X	
3104.20		EX
3203.00		EX
3204.17	EX	EX
3604.90	EX	
3808.50	X	
3808.91	X	
3808.92	X	
3808.93	X	
3808.94	X	
3808.99	X	
3824.10	EX	
3824.30	EX	

HS Code	WASTE on Annex VIII	WASTE on Annex IX
3824.40	EX	
3824.50	EX	
3824.60	EX	
3824.71	X	
3824.72	X	
3824.73	X	
3824.74	X	
3824.75	X	
3824.76	X	
3824.77	X	
3824.78	X	
3824.79	X	
3824.81	X	
3824.82	X	
3824.83	X	
3824.90	X	
3825.10	X	EX
3825.20	X	EX
3825.30		EX
3825.41		EX
3825.49		EX
3825.50		EX
3825.61	X	X
3825.69	X	X
3825.90	X	EX
3905.19		EX
3905.30		EX
3905.99		EX
3906.10		EX
3906.90		EX
3907.10		EX
3907.20		EX
3907.30		EX
3907.40		EX
3907.50		EX
3907.60		EX
3907.70		EX
3907.91		EX
3907.99		EX
3908.10		EX
3908.90		EX
3909.10		EX
3909.20		EX
3909.30		EX
3909.40		EX
3909.50		EX
3915.10		X
3915.20		X
3915.30		X

HS Code	WASTE on Annex VIII	WASTE on Annex IX
3915.90		X
3918.10		EX
3918.90		EX
4004.00		EX
4012.20		X
4017.00		EX
4115.20	X	EX
4401.30		EX
4501.90		EX
4706.20		EX
4707.10		EX
4707.20		EX
4707.30		EX
4707.90	X	EX
5003.00		EX
5007.20		EX
5103.10		EX
5103.20		EX
5103.30		EX
5202.10		EX
5202.91		EX
5202.99		EX
5301.30		EX
5302.90		EX
5303.90		EX
5305.00		EX
5505.10		EX
5505.20		EX
57.01		EX
57.02		EX
57.03		EX
57.04		EX
5705.00		EX
6309.00		X
6310.10		X
6310.90		X
6806.90		EX
6809.11		EX
6809.19		EX
6809.90		EX
6811.40	X	
6903.90		EX
6909		EX
7001.00	EX	EX
7112.30	X	EX
7112.91		EX
7112.92		EX
7112.99		EX
7204.10		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
7204.21		EX
7204.29		EX
7204.30		EX
7204.41		EX
7204.49		EX
7204.50		EX
7404.00		X
7503.00		X
7602.00		X
7802.00	X	X
7902.00		EX
8002.00		EX
8101.10		X
8101.97		EX
8102.10		X
8102.97		EX
8103.20		EX
8103.30		EX
8103.90		EX
8104.20		X
8105.30		EX
8106.00		EX
8107.30	X	X
8108.20		EX
8108.30		EX
8109.20	X	
8109.30		X
8110.10	X	
8110.20	X	X
8111.00		EX
8112.12	X	X
8112.13	X	X
8112.22		EX
8112.52	X	X
8112.92	X	X
8113.00		EX
8401.40	EX	EX
8402.90	EX	EX
8403.90	EX	EX
8404.90	EX	EX
8405.90	EX	EX
8409.10	EX	EX
8409.91	EX	EX
8409.99	EX	EX
8410.90	EX	EX
8411.91	EX	EX
8411.99	EX	EX
8412.90	EX	EX
8413.11	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8413.19	EX	EX
8413.30	EX	EX
8413.40	EX	EX
8413.50	EX	EX
8413.60	EX	EX
8413.70	EX	EX
8413.81	EX	EX
8413.82	EX	EX
8413.91	EX	EX
8413.92	EX	EX
8414.10	EX	EX
8414.30	EX	EX
8414.40	EX	EX
8414.51	EX	EX
8414.59	EX	EX
8414.60	EX	EX
8414.80	EX	EX
8414.90	EX	EX
8415.10	EX	EX
8415.20	EX	EX
8415.81	EX	EX
8415.82	EX	EX
8415.83	EX	EX
8415.90	EX	EX
8416.10	EX	EX
8416.20	EX	EX
8416.30	EX	EX
8416.90	EX	EX
8417.10	EX	EX
8417.20	EX	EX
8417.80	EX	EX
8417.90	EX	EX
8418.10	EX	EX
8418.21	EX	EX
8418.29	EX	EX
8418.30	EX	EX
8418.40	EX	EX
8418.50	EX	EX
8418.61	EX	EX
8418.69	EX	EX
8418.99	EX	EX
8419.20	EX	EX
8419.31	EX	EX
8419.32	EX	EX
8419.39	EX	EX
8419.40	EX	EX
8419.81	EX	EX
8419.89	EX	EX
8419.90	EX	EX



HS Code	WASTE on Annex VIII	WASTE on Annex IX
8420.10	EX	EX
8420.91	EX	EX
8420.99	EX	EX
8421.11	EX	EX
8421.12	EX	EX
8421.19	EX	EX
8421.21	EX	EX
8421.22	EX	EX
8421.23	EX	EX
8421.29	EX	EX
8421.39	EX	EX
8421.91	EX	EX
8421.99	EX	EX
8422.11	EX	EX
8422.19	EX	EX
8422.20	EX	EX
8422.30	EX	EX
8422.40	EX	EX
8422.90	EX	EX
8423.10	EX	EX
8423.20	EX	EX
8423.30	EX	EX
8423.81	EX	EX
8423.82	EX	EX
8423.89	EX	EX
8423.90	EX	EX
8424.10	EX	EX
8424.20	EX	EX
8424.30	EX	EX
8424.81	EX	EX
8424.89	EX	EX
8424.90	EX	EX
8425.11	EX	EX
8425.31	EX	EX
8425.41	EX	EX
8425.42	EX	EX
8425.49	EX	EX
8426.11	EX	EX
8426.12	EX	EX
8426.19	EX	EX
8426.20	EX	EX
8426.30	EX	EX
8426.41	EX	EX
8426.49	EX	EX
8426.91	EX	EX
8426.99	EX	EX
8427.10	EX	EX
8427.20	EX	EX
8427.90	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8428.10	EX	EX
8428.20	EX	EX
8428.31	EX	EX
8428.32	EX	EX
8428.33	EX	EX
8428.39	EX	EX
8428.40	EX	EX
8428.60	EX	EX
8428.90	EX	EX
8429.11	EX	EX
8429.19	EX	EX
8429.20	EX	EX
8429.30	EX	EX
8429.40	EX	EX
8429.51	EX	EX
8429.52	EX	EX
8429.59	EX	EX
8430.10	EX	EX
8430.20	EX	EX
8430.31	EX	EX
8430.39	EX	EX
8430.41	EX	EX
8430.49	EX	EX
8430.50	EX	EX
8430.61	EX	EX
8430.69	EX	EX
8431.10	EX	EX
8431.20	EX	EX
8431.31	EX	EX
8431.39	EX	EX
8431.43	EX	EX
8431.49	EX	EX
8432.21	EX	EX
8432.29	EX	EX
8432.30	EX	EX
8432.40	EX	EX
8432.80	EX	EX
8432.90	EX	EX
8433.11	EX	EX
8433.19	EX	EX
8433.20	EX	EX
8433.30	EX	EX
8433.40	EX	EX
8433.51	EX	EX
8433.52	EX	EX
8433.53	EX	EX
8433.59	EX	EX
8433.60	EX	EX
8433.90	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8434.10	EX	EX
8434.20	EX	EX
8434.90	EX	EX
8435.10	EX	EX
8435.90	EX	EX
8436.10	EX	EX
8436.21	EX	EX
8436.29	EX	EX
8436.80	EX	EX
8436.91	EX	EX
8436.99	EX	EX
8437.10	EX	EX
8437.80	EX	EX
8437.90	EX	EX
8438.10	EX	EX
8438.20	EX	EX
8438.30	EX	EX
8438.40	EX	EX
8438.50	EX	EX
8438.60	EX	EX
8438.80	EX	EX
8438.90	EX	EX
8439.10	EX	EX
8439.20	EX	EX
8439.30	EX	EX
8439.91	EX	EX
8439.99	EX	EX
8440.10	EX	EX
8440.90	EX	EX
8441.10	EX	EX
8441.20	EX	EX
8441.30	EX	EX
8441.40	EX	EX
8441.80	EX	EX
8441.90	EX	EX
8442.30	EX	EX
8442.40	EX	EX
8442.50	EX	EX
8443.11	EX	EX
8443.12	EX	EX
8443.13	EX	EX
8443.14	EX	EX
8443.15	EX	EX
8443.16	EX	EX
8443.17	EX	EX
8443.19	EX	EX
8443.31	EX	EX
8443.32	EX	EX
8443.39	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8443.91	EX	EX
8443.99	EX	EX
8444.00	EX	EX
8445.11	EX	EX
8445.12	EX	EX
8445.19	EX	EX
8445.20	EX	EX
8445.30	EX	EX
8445.40	EX	EX
8445.90	EX	EX
8446.10	EX	EX
8446.13	EX	EX
8446.21	EX	EX
8446.29	EX	EX
8446.30	EX	EX
8447.11	EX	EX
8447.12	EX	EX
8447.20	EX	EX
8447.90	EX	EX
8448.11	EX	EX
8448.19	EX	EX
8448.20	EX	EX
8448.32	EX	EX
8448.39	EX	EX
8448.49	EX	EX
8448.59	EX	EX
8449.00	EX	EX
8450.11	EX	EX
8450.12	EX	EX
8450.19	EX	EX
8450.20	EX	EX
8450.90	EX	EX
8451.10	EX	EX
8451.21	EX	EX
8451.29	EX	EX
8451.30	EX	EX
8451.40	EX	EX
8451.50	EX	EX
8451.80	EX	EX
8451.90	EX	EX
8452.10	EX	EX
8452.21	EX	EX
8452.29	EX	EX
8452.90	EX	EX
8453.10	EX	EX
8453.20	EX	EX
8453.80	EX	EX
8453.90	EX	EX
8454.10	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8454.20	EX	EX
8454.30	EX	EX
8454.90	EX	EX
8455.10	EX	EX
8455.21	EX	EX
8455.22	EX	EX
8455.30	EX	EX
8455.90	EX	EX
8456.10	EX	EX
8456.20	EX	EX
8456.30	EX	EX
8456.90	EX	EX
8457.10	EX	EX
8457.20	EX	EX
8457.30	EX	EX
8458.11	EX	EX
8458.19	EX	EX
8458.91	EX	EX
8458.99	EX	EX
8459.10	EX	EX
8459.21	EX	EX
8459.29	EX	EX
8459.31	EX	EX
8459.39	EX	EX
8459.40	EX	EX
8459.51	EX	EX
8459.59	EX	EX
8459.61	EX	EX
8459.69	EX	EX
8459.70	EX	EX
8460.11	EX	EX
8460.19	EX	EX
8460.21	EX	EX
8460.29	EX	EX
8460.31	EX	EX
8460.39	EX	EX
8460.40	EX	EX
8460.90	EX	EX
8461.20	EX	EX
8461.30	EX	EX
8461.40	EX	EX
8461.50	EX	EX
8461.90	EX	EX
8462.10	EX	EX
8462.21	EX	EX
8462.29	EX	EX
8462.31	EX	EX
8462.39	EX	EX
8462.41	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8462.49	EX	EX
8462.91	EX	EX
8462.99	EX	EX
8463.10	EX	EX
8463.20	EX	EX
8463.30	EX	EX
8463.90	EX	EX
8464.10	EX	EX
8464.20	EX	EX
8464.90	EX	EX
8465.10	EX	EX
8465.91	EX	EX
8465.92	EX	EX
8465.93	EX	EX
8465.94	EX	EX
8465.95	EX	EX
8465.96	EX	EX
8465.99	EX	EX
8466.91	EX	EX
8466.92	EX	EX
8466.93	EX	EX
8466.94	EX	EX
8467.21	EX	EX
8467.22	EX	EX
8467.29	EX	EX
8467.81	EX	EX
8467.89	EX	EX
8467.91	EX	EX
8467.99	EX	EX
8468.80	EX	EX
8468.90	EX	EX
8469.00	EX	EX
8470.10	EX	EX
8470.21	EX	EX
8470.29	EX	EX
8470.30	EX	EX
8470.50	EX	EX
8470.90	EX	EX
8471.30	EX	EX
8471.41	EX	EX
8471.49	EX	EX
8471.50	EX	EX
8471.60	EX	EX
8471.70	EX	EX
8471.80	EX	EX
8471.90	EX	EX
8472.10	EX	EX
8472.30	EX	EX
8472.90	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8473.10	EX	EX
8473.21	EX	EX
8473.29	EX	EX
8473.30	EX	EX
8473.40	EX	EX
8473.50	EX	EX
8474.10	EX	EX
8474.20	EX	EX
8474.31	EX	EX
8474.32	EX	EX
8474.39	EX	EX
8474.80	EX	EX
8474.90	EX	EX
8475.10	EX	EX
8475.21	EX	EX
8475.29	EX	EX
8475.90	EX	EX
8476.21	EX	EX
8476.29	EX	EX
8476.81	EX	EX
8476.89	EX	EX
8476.90	EX	EX
8477.10	EX	EX
8477.20	EX	EX
8477.30	EX	EX
8477.40	EX	EX
8477.51	EX	EX
8477.59	EX	EX
8477.80	EX	EX
8477.90	EX	EX
8478.10	EX	EX
8478.90	EX	EX
8479.10	EX	EX
8479.20	EX	EX
8479.30	EX	EX
8479.40	EX	EX
8479.50	EX	EX
8479.60	EX	EX
8479.81	EX	EX
8479.82	EX	EX
8479.89	EX	EX
8479.90	EX	EX
8481.10	EX	EX
8481.20	EX	EX
8481.30	EX	EX
8481.40	EX	EX
8481.80	EX	EX
8481.90	EX	EX
8484.10	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8484.20	EX	EX
8484.90	EX	EX
8486.10	EX	EX
8486.20	EX	EX
8486.30	EX	EX
8486.40	EX	EX
8486.90	EX	EX
8501.10	EX	EX
8501.20	EX	EX
8501.31	EX	EX
8501.32	EX	EX
8501.33	EX	EX
8501.34	EX	EX
8501.40	EX	EX
8501.51	EX	EX
8501.52	EX	EX
8501.53	EX	EX
8501.61	EX	EX
8501.62	EX	EX
8501.63	EX	EX
8501.64	EX	EX
8502.11	EX	EX
8502.12	EX	EX
8502.13	EX	EX
8502.20	EX	EX
8502.31	EX	EX
8502.39	EX	EX
8502.40	EX	EX
8503.00	EX	EX
8504.10	EX	EX
8504.21	EX	EX
8504.22	EX	EX
8504.23	EX	EX
8504.31	EX	EX
8504.32	EX	EX
8504.33	EX	EX
8504.34	EX	EX
8504.40	EX	EX
8504.50	EX	EX
8504.90	EX	EX
8505.20	EX	EX
8505.90	EX	EX
8508.11	EX	EX
8508.19	EX	EX
8508.70	EX	EX
8509.40	EX	EX
8509.80	EX	EX
8509.90	EX	EX
8510.10	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8510.20	EX	EX
8510.30	EX	EX
8510.90	EX	EX
8511.10		EX
8511.20	EX	EX
8511.30	EX	EX
8511.40	EX	EX
8511.50	EX	EX
8511.80	EX	EX
8511.90	EX	EX
8512.10	EX	EX
8512.20	EX	EX
8512.30	EX	EX
8512.40	EX	EX
8512.90	EX	EX
8513.10	EX	EX
8513.90	EX	EX
8514.10	EX	EX
8514.20	EX	EX
8514.30	EX	EX
8514.40	EX	EX
8514.90	EX	EX
8515.11	EX	EX
8515.19	EX	EX
8515.21	EX	EX
8515.29	EX	EX
8515.31	EX	EX
8515.39	EX	EX
8515.80	EX	EX
8515.90	EX	EX
8516.10	EX	EX
8516.21	EX	EX
8516.29	EX	EX
8516.31	EX	EX
8516.32	EX	EX
8516.33	EX	EX
8516.40	EX	EX
8516.50	EX	EX
8516.60	EX	EX
8516.71	EX	EX
8516.72	EX	EX
8516.79	EX	EX
8516.80	EX	EX
8516.90	EX	EX
8517.11	EX	EX
8517.12	EX	EX
8517.18	EX	EX
8517.61	EX	EX
8517.62	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8517.69	EX	EX
8517.70	EX	EX
8518.10	EX	EX
8518.21	EX	EX
8518.22	EX	EX
8518.29	EX	EX
8518.30	EX	EX
8518.40	EX	EX
8518.50	EX	EX
8518.90	EX	EX
8519.20	EX	EX
8519.30	EX	EX
8519.50	EX	EX
8519.81	EX	EX
8519.89	EX	EX
8521.10	EX	EX
8521.90	EX	EX
8522.10	EX	EX
8522.90	EX	EX
8523.51		EX
8523.52		EX
8523.59		EX
8525.50	EX	EX
8525.60	EX	EX
8525.80	EX	EX
8526.10	EX	EX
8526.91	EX	EX
8526.92	EX	EX
8527.12	EX	EX
8527.13	EX	EX
8527.19	EX	EX
8527.21	EX	EX
8527.29	EX	EX
8527.91	EX	EX
8527.92	EX	EX
8527.99	EX	EX
8528.41	EX	EX
8528.49	EX	EX
8528.51	EX	EX
8528.59	EX	EX
8528.61	EX	EX
8528.69	EX	EX
8528.71	EX	EX
8528.72	EX	EX
8528.73	EX	EX
8529.10	EX	EX
8529.90	EX	EX
8530.10	EX	EX
8530.80	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8530.90	EX	EX
8531.10	EX	EX
8531.20	EX	EX
8531.80	EX	EX
8531.90	EX	EX
8532.10	EX	EX
8532.21	EX	EX
8532.22	EX	EX
8532.23	EX	EX
8532.24	EX	EX
8532.25	EX	EX
8532.29	EX	EX
8532.30	EX	EX
8532.90		EX
8533.10		EX
8533.21		EX
8533.29		EX
8533.31		EX
8533.39		EX
8533.40		EX
8533.90		EX
8534.00	EX	EX
8535.21	EX	EX
8535.29	EX	EX
8535.30	EX	EX
8535.40	EX	EX
8535.90	EX	EX
8536.20	EX	EX
8536.30	EX	EX
8536.41	EX	EX
8536.49	EX	EX
8536.50	EX	EX
8536.69		EX
8536.90	EX	EX
8537.10	EX	EX
8537.20	EX	EX
8538.90	EX	EX
8539.21	EX	EX
8539.22	EX	EX
8539.29	EX	EX
8539.31	X	EX
8539.32	X	EX
8539.39	EX	EX
8539.41	EX	EX
8539.49	EX	EX
8539.90	EX	EX
8540.11	X	EX
8540.12	X	EX
8540.20	X	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8540.40	X	EX
8540.50	X	EX
8540.60	X	EX
8540.71	EX	EX
8540.72	EX	EX
8540.79	EX	EX
8540.81	EX	EX
8540.89	EX	EX
8540.91	EX	EX
8540.99	EX	EX
8541.10		EX
8541.21		EX
8541.29		EX
8541.30		EX
8541.40		EX
8541.50		EX
8541.60		EX
8541.90		EX
8542.31	EX	EX
8542.32	EX	EX
8542.33	EX	EX
8542.39	EX	EX
8542.90	EX	EX
8543.10	EX	EX
8543.20	EX	EX
8543.30	X	EX
8543.70	EX	EX
8543.90	EX	EX
8544.11	X	EX
8544.19	X	EX
8544.20	X	EX
8544.30	X	EX
8544.42	EX	EX
8544.49	EX	EX
8544.60	EX	EX
8544.70	EX	EX
8545.20	X	EX
8546.90		EX
8547.20		EX
8547.90		EX
8548.10	X	EX
8548.90	X	EX
8601.10		EX
8601.20		EX
8602.10		EX
8602.90		EX
8603.10		EX
8603.90		EX
8604.00		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8605.00		EX
8606.10	EX	EX
8606.91	EX	EX
8606.99	EX	EX
8607.11	EX	EX
8607.12	EX	EX
8607.19	EX	EX
8607.21	EX	EX
8607.29	EX	EX
8607.91		EX
8607.99		EX
8608.00		EX
8609.00	EX	EX
87.01		EX
87.02		EX
87.03		EX
87.04		EX
87.05		EX
8706.00		EX
8707.10		EX
8707.90		EX
8708.10		EX
8708.21		EX
8708.29		EX
8708.30	X	EX
8708.40		EX
8708.50		EX
8708.70		EX
8708.80		EX
8708.91		EX
8708.92		EX
8708.93	EX	EX
8708.94		EX
8708.95	X	EX
8708.99	EX	EX
87.09		EX
8710.00		EX
87.11		EX
87.13		EX
8714.19		EX
8714.20		EX
8714.99		EX
8716.31		EX
8716.39		EX
8716.40		EX
8716.50		EX
8716.90		EX
8802.11		EX
8802.12		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
8802.20		EX
8802.30		EX
8802.40		EX
8802.60		EX
8803.20		EX
8803.30		EX
8803.90		EX
8805.10		EX
8805.21		EX
8805.29		EX
9005.10		EX
9005.80		EX
9005.90		EX
9006.10		EX
9006.30		EX
9006.40		EX
9006.51		EX
9006.52		EX
9006.53		EX
9006.59		EX
9006.61		EX
9006.69		EX
9006.91		EX
9006.99		EX
9007.11		EX
9007.19		EX
9007.20		EX
9007.91		EX
9007.92		EX
9008.10		EX
9008.20		EX
9008.30		EX
9008.40		EX
9008.90		EX
9010.10		EX
9010.50		EX
9010.90		EX
9011.10		EX
9011.20		EX
9011.80		EX
9011.90		EX
9012.10		EX
9012.90		EX
9013.20		EX
9013.80		EX
9013.90		EX
9014.10		EX
9014.20		EX
9014.80		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
9014.90		EX
9015.10		EX
9015.20		EX
9015.30		EX
9015.40		EX
9015.80		EX
9015.90		EX
9016.00		EX
9017.30		EX
9017.90		EX
9018.11		EX
9018.12		EX
9018.13		EX
9018.14		EX
9018.19		EX
9018.20		EX
9018.41		EX
9018.49		EX
9018.50		EX
9018.90		EX
9019.10		EX
9019.20		EX
9021.40	EX	EX
9021.50	EX	EX
9021.90	EX	EX
9022.12		EX
9022.13		EX
9022.14		EX
9022.19		EX
9022.21		EX
9022.29		EX
9022.30		EX
9022.90		EX
9023.00		EX
9024.10		EX
9024.80		EX
9024.90		EX
9025.11		EX
9025.19	EX	EX
9025.80	EX	EX
9025.90	EX	EX
9026.10		EX
9026.20		EX
9026.80		EX
9026.90		EX
9027.10		EX
9027.20		EX
9027.30		EX
9027.50		EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
9027.80		EX
9027.90		EX
9028.10		EX
9028.20		EX
9028.30		EX
9028.90		EX
9029.10		EX
9029.20		EX
9029.90		EX
9030.10	EX	EX
9030.20	EX	EX
9030.31		EX
9030.32		EX
9030.33		EX
9030.39		EX
9030.40		EX
9030.82		EX
9030.84	EX	EX
9030.89	EX	EX
9030.90	EX	EX
9031.10		EX
9031.20		EX
9031.41		EX
9031.49		EX
9031.80	EX	EX
9031.90		EX
9032.10	EX	EX
9032.20	EX	EX
9032.81		EX
9032.89		EX
9032.90		EX
9033.00	EX	EX
9101.11	EX	EX
9101.19	EX	EX
9101.91	EX	EX
9102.11	EX	EX
9102.12	EX	EX
9102.19	EX	EX
9102.91	EX	EX
9103.10	EX	EX
9104.00		EX
9105.11	EX	EX
9105.21	EX	EX
9105.91	EX	EX
9106.10		EX
9106.90		EX
9107.00		EX
9108.11	EX	EX
9108.12	EX	EX

HS Code	WASTE on Annex VIII	WASTE on Annex IX
9108.19	EX	EX
9109.11	EX	EX
9109.19	EX	EX
9110.11	EX	EX
9110.12	EX	EX
9110.90	EX	EX
9114.90		EX
9201.10		EX
9201.20		EX
9201.90		EX
9207.10	EX	EX
9207.90	EX	EX
9209.91		EX
9209.94		EX
9401.10		EX
9401.20		EX
9402.10		EX
9402.90		EX
9405.10		EX
9405.20		EX
9405.30		EX
9405.40		EX
9405.60		EX
9406.00	EX	EX
9503.00		EX
9504.10	EX	EX
9504.30		EX
9504.90	EX	EX
9505.10		EX
9505.90		EX
9506.91		EX
9608.10	EX	EX
9608.50	EX	EX
9608.60		EX
9613.10		EX
9613.20		EX
9618.00	EX	EX

## Annex IV References

- Basel Action Network (2002). Exporting harm. The high-tech trashing of Asia.
- Basel Convention Mobile Phone Partnership Initiative (MPPI), 2009a. Guideline on the awareness raising – design considerations. Revised and approved text March, 25 2009
- Basel Convention Mobile Phone Partnership Initiative (MPPI), 2009b. Guideline on the collection of used mobile phones. Revised and approved text March 25, 2009
- Basel Convention Mobile Phone Partnership Initiative (MPPI), 2009c. Guideline for the transboundary movement of collected mobile phones. Revised and approved text March, 25 2009
- Basel Convention Mobile Phone Partnership Initiative (MPPI), 2009d. Guideline on the refurbishment of used mobile phones. Revised and approved text March, 25 2009
- Basel Convention Mobile Phone Partnership Initiative (MPPI), 2009e. Guideline on material recovery and recycling of end-of-life mobile phones. Revised and approved text March 25, 2009
- Basel Convention Partnership on Action for Computing Equipment (PACE) Environmentally Sound Management Criteria Recommendations
- Basel Convention Partnership on Action for Computing Equipment (PACE) Guideline on Environmentally Sound Testing, Refurbishment, and Repair of Used Computing Equipment
- Basel Convention Partnership on Action for Computing Equipment (PACE) Guideline on Environmentally Sound Material Recovery and Recycling of End-of-Life Computing Equipment
- Basel Convention Partnership on Action for Computing Equipment (PACE) Guideline on Transboundary Movement (TBM) of Used and End-of-Life Computing Equipment.
- Schmidt (2006). Unfair trade: e-waste in Africa. Environmental Health Perspectives. Volume 114, number 4.
- United Nations Economic Commission for Europe (UNECE), 2009. Recommendations on the transport of dangerous goods. Model Regulations, sixteenth revised edition.
- United Nations University (UNU), 2007. 2008 review of Directive 2002/96 on Waste Electrical and Electronic Equipment.
- Yu Xiezhong et al (2008). E-waste recycling heavily contaminates a Chinese City. Organohalogen Compounds, Volume 70.
-