Transboundary movement of waste

FOEN Information brochure for applicants. Status 2025

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Abstracts

The transboundary movement of waste is regulated in the Basel Convention and in the OECD Council Decision. As Switzerland has ratified the Basel Convention and is a member of the OECD, the relevant provisions are also valid for Switzerland. This information brochure is directed at exporters and importers of waste and it describes the international and domestic regulations relating to transboundary shipments. Vague legal concepts are clarified and, in particular, the necessary conditions and procedures for obtaining an export authorisation and import consent are explained.

Keywords:
waste, transboundary movement

Der grenzüberschreitende Verkehr mit Abfällen ist im Basler Übereinkommen und im OECD-Ratsbeschluss geregelt. Da die Schweiz das Basler Übereinkommen ratifiziert hat und Mitglied der OECD ist, sind die betreffenden Bestimmungen auch für die Schweiz gültig. Diese Mitteilung richtet sich an Exporteure und Importeure von Abfällen und beschreibt die internationalen und innerstaatlichen Vorschriften zum grenzüberschreitenden Verkehr. Sie konkretisiert unbestimmter Rechtsbegriffe und erläutert insbesondere die Voraussetzungen und das Vorgehen für die Ausfuhrbewilligung und die Zustimmung für die Einfuhr.

Stichwörter:
Abfälle, grenzüberschreitender Verkehr

Les mouvements transfrontières de déchets sont régis par la Convention de Bâle et la Décision du Conseil de l’OCDE. La Suisse ayant ratifié la Convention de Bâle et étant membre de l’OCDE, les dispositions correspondantes lui sont également applicables. Destinée aux importateurs et aux exportateurs de déchets, la présente communication décrit les prescriptions internationales et nationales en matière de mouvements transfrontières. Elle concrétise des notions juridiques peu précises et explique en particulier les exigences à satisfaire et la procédure à suivre pour obtenir l’autorisation d’exporter et l’accord d’importer des déchets.

Mots-clés:
déchets, mouvement transfrontière

Il traffico transfrontaliero di rifiuti è disciplinato dalla Convenzione di Basilea e dalla Decisione del Consiglio dell’OCSE. Poiché la Svizzera ha ratificato la Convenzione di Basilea ed è membro dell’OCSE, le relative disposizioni valgono anche per la Svizzera. La presente comunicazione è destinata agli esportatori e agli importatori di rifiuti e descrive le disposizioni internazionali e nazionali concernenti il traffico transfrontaliero di rifiuti. Il testo concretizza concetti giuridici indeterminati e spiega in particolare i presupposti e la procedura per l’autorizzazione d’esportazione e l’approvazione per l’importazione.

Parole chiave:
rifiuti, traffico transfrontaliero

Preface

Switzerland has an extensive infrastructure for the collection and treatment of waste from households, industry and commerce. Mixed combustible waste, sludge and waste from street sweepings, along with waste that needs to be put into landfill, is all disposed of almost exclusively within Switzerland. For some other types of waste there are no suitable treatment plants or the capacities are inadequate. For example, metals such as copper, aluminium and zinc from Swiss waste are recovered in specialised plants abroad. Capacity in other countries is also required for the thermal treatment of waste resulting from the remediation of large polluted sites. The possibility of exporting waste is therefore an important element in the Swiss waste economy. The importation of waste is characterised by shipments close to the border of residential household waste or similar waste from industry and commerce for incineration in MSWIs.

The transboundary movement of waste is regulated in the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal and in the OECD Decision, and is enacted in the Environmental Protection Act (EPA) and the Ordinance on Movements of Waste (OMW). The shipment may only be carried out with prior consent from the relevant states. The licensing procedure requires proof that the waste will be disposed of in an environmentally compatible manner using up-to-date technology. Only certain non-hazardous waste may be transported across boundaries for recovery without an authorisation. All shipments of waste must be documented. This information brochure instructs exporters and importers about the form and content of the supporting documents that must be put forward in the licensing procedure and about the procedure for documenting transports. If the instructions are correctly followed then applications can be processed more quickly and delays to the transport because of checking procedures can be avoided.

Rahel Galliker, Vice-Director
Federal Office for the Environment FOEN

Purpose and content

This information brochure is aimed at exporters and importers of waste and explains the international and domestic regulations relating to transboundary movements. This covers in particular the clarification of vague legal concepts and explanation of the necessary conditions for obtaining the export authorisation and consent for imports. Further, the information brochure contains information on the different checking procedures and lists of wastes and accompanying documents.

1 Legal framework

At the international level, the transboundary movement of waste is regulated in the Basel Convention of 5 May 1992 on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (SR 0.814.05; hereafter Basel Convention [BC]) and in the OECD Council Decision C(2001)107/FINAL of 14 June 2001 concerning the amendment to the Council Decision C(92)39/FINAL of 30 March 1992 on the Control of Transboundary Movements of Waste destined for Recovery Operations (SR 0.814.052; hereafter OECD Council Decision). As Switzerland has ratified the Basel Convention and is a member of the OECD, the relevant provisions are also valid for Switzerland.

The Basel Convention requires that transboundary shipments of hazardous and other waste should be restricted to a minimum and that the waste in question must be disposed of in an environmentally sound manner. Each transboundary shipment of hazardous and other waste must be notified to the importing state and the transit state by the exporter or exporting state and may only be shipped after the states in question have agreed to the shipment. This procedure is known as Prior Informed Consent (PIC) (see Art. 6 BC).

The OECD Council Decision constitutes an agreement as defined by Article 11 Paragraph 1 of the Basel Convention. It fulfils the necessary condition that it neither deviates from the environmentally sound treatment of hazardous and other waste set down in the Basel Convention nor contains provisions that are less environmentally sound than those required in the Convention. In contrast to the Basel Convention, however, the Council Decision applies only to waste which is being transported for the purposes of recovery. Further, it sets two control procedures for the transboundary shipment of waste, i.e. the Green and the Amber Control Procedure. As specified in Appendix 3, the Green Control Procedure without a compulsory authorisation is valid for waste that is not classified by the Basel Convention as hazardous and is on List B (Annex IX) with the relevant amendments and variations (Part 1), as well as other types of waste (Part II). By contrast, the Amber Control Procedure requires the consent of the states in question as specified by the Basel Convention and is valid for the hazardous waste listed in Appendix 4, which consists of List A (Annex VIII) in Part 1 with the relevant amendments and variations and waste which has to be further tested (Annex II). Part II contains further types of waste that are shipped in accordance with the Amber Control Procedure.

The EC Regulation on the Movement of Waste[1] also constitutes in principle a multilaterial regional convention or other kind of agreement in terms of Art. 11 of the Basel Convention. In contrast to the OECD Council Decision it is not binding on Switzerland. However, if an applicant wishes to export waste to an EU member state he must also respect the EC Regulation on the Movement of Waste. The OMW and the EC Regulation on the Movement of Waste are broadly coordinated and synchronised with one another (e. g. with regard to lists of wastes, notification forms and accompanying documents). However, there are some differences (e. g. circle of usual addressees, regulations relating to transporters of and dealers in waste).

[1] Ordinance (EC) No. 1013/2006 of the European Parliament and of the Council of 14 June 2006 on the Movement of Waste: *http://eur-lex.europa.eu/legal-content/DE/ALL/?uri=CELEX%3A32006R1013*

Art. 30*f* of the Federal Environmental Protection Act (Environmental Protection Act, EPA, SR 814.01) is limited to authorising the Federal Council to issue regulations relating to the transport of special waste (Para. 1) and to determine the most important conditions for dealing with special waste (Paras. 2 and 3). Further, in Article 30*g* Para. 1 of the EPA the Federal Council is empowered to issue regulations relating to the transport of other types of waste if there is no guarantee of an environmentally sound disposal.

The Ordinance of 22 June 2005 on the Movement of Waste (OMW, SR 814.610) is based on both the Basel Convention and the OECD Council Decision as explained in the opening statement. The provisions of the Basel Convention are thoroughly covered by the OMW. In the case of discrepancies between international law and national law, international law as represented by the Basel Convention takes precedence without exception over subordinate legislation.

When types of waste were classified in the waste register of the DETEC Ordinance of 18 October 2005 on Lists for the Movement of Waste (SR 814.610.1; hereafter LMW), the registers of the Basel Convention and of the European Union were taken into account (Art. 2 Para. 1 OMW). Switzerland has, however, also made use of the possibility according to Art. 1 Letter b of the Basel Convention to subject further types of waste to the area of validity of the Convention. This includes, for example, used vehicles that have been cleaned of pollutants (LVA Code 16 01 04, B1250 in accordance with List B of the BC) and used tyres (LVA-Code 16 01 03, B3140 in accordance with List B of the BC) (see Table 1).

The Ordinance on the Charge for the Remediation of Contaminated Sites (OCRCS) of 26 September 2008 (SR 814.681) regulates the levy of fees for the deposit of waste within the country and for the export of waste for deposit abroad. Art. 2 Para. 2 of OCRCS requires a fee to be levied if waste is exported for deposit. A fee is also required for waste that is deposited abroad after being exported for recycling or treatment. It does not apply if the deposited amount makes up less than 15 percent of the exported quantity of waste.

2 Area of validity

2.1 Area of validity of the Basel Convention

As defined by Art. 1 Para. 1 Letter a of the Basel Convention, waste that belongs to a group from Annex 1 should be considered hazardous waste in terms of the Convention, unless it has none of the characteristics outlined in Annex III. Further, waste is also considered to be hazardous waste in terms of this Convention if it does not belong to one of the groups outlined in Annex I and has none of the characteristics outlined in Annex III, but is classified as hazardous waste or considered to be such according to the domestic statutory provisions of the contracting party, which is the exporting, importing or transit state (Art. 1 Para. 1 Letter b BC).

2.1.1 Waste as defined by the domestic statutory provisions of Switzerland

Art. 14 Para. 3 OMW defines the types of waste in Switzerland that are considered waste in terms of the Basel Convention. This refers to special waste (Letter a), other waste subject to control (Letter b) and further waste defined by Letter c, which fulfil the necessary conditions listed under the relevant letter (Nos. 1, 2 and 3). The other wastes subject to control in terms of Art. 14 Para. 3 Letter b OMW listed in Table 1 that do appear on the Green List of the OECD Council Decision or on List B of the Basel Convention yet do not contain materials listed in Annex I of the Basel Convention in such quantities that they exhibit the characteristics stipulated in Annex III of the Basel Convention are nevertheless still subject to compulsory licensing in transboundary movements with Switzerland.

Table 1

Waste that requires an authorisation according to Art. 1 Para. 1 Letter b of the Basel Convention on the basis of Swiss statutory provisions regarding transboundary movements (as of 01.01.2025).

Type of waste	OECD/Basel CODE	Waste code LMW
Used tyres	B3140	16 01 03 [ak]
Drained and stripped end-of-life vehicles	B1250	16 01 06 [ak]
Used metal cables with plastic insulation	B1115	16 02 98 [ak] 17 04 11 [ak]
Used cooking oils	B3065	19 08 09 [ak] 20 01 25 [ak]
Recovered asphalt with 250 to 1000 mg PAH per kg and less than 50 mg/kg benzopyrene	B2130	17 03 01 [ak]

Appendix 3 of this information brochure provides further assistance in classifying metal waste in transboundary movements.

2.1.2 Waste as defined by the domestic statutory provisions of other contracting parties

The OECD Council Decision applies only for the shipment of waste between OECD states. Numerous non-OECD states prohibit importation of all or some waste defined by the Green List of the OECD Council Decision or they require consent. The current list of states and domestic statutory provisions are on the Basel Convention website[2].

2.2 Area of validity of the OMW

The OMW regulates domestic movements of special waste and other waste subject to control (Art. 1 Para. 2 Letter a OMW), transboundary movements of all waste (Art. 1 Para. 2 Letter b OMW) and movements of special waste between third party sites if it is organised by or involves companies in Switzerland (Art. 1 Para. 2 Letter c OMW).

The OMW expressly does not apply to:

- **Radio-active waste (Art. 1, Para. 3, Letter c OMW):** Radio-active waste that is subject to radiation protection or nuclear energy legislation.[3]
- **Animal by-products (Art. 1, Para, 3, Letter d OMW):** Transboundary movements of animal by-products are regulated by the Ordinance on the Import, Transit and Export of Animals and Animal Products (OITE) and by the Ordinance of 25 May 2011 on the Disposal of Animal By-products (OESPA, SR 916.441.22). The control procedures of the OESPA and OITE are applicable for this type of waste[4]. Excepted from this are animal by-products that are considered special waste as defined by the DETEC Ordinance on its Lists for Movements of Waste.

[2] Basel Convention > Countries > Imports/Exports Restrictions. *http://www.basel.int/Countries/ImportExportRestrictions/tabid/4835/Default.aspx*

[3] The classification of wastes that are subject to radiation protection or nuclear energy legislation and wastes that are subject to the OMW is the responsibility of the Federal Office of Public Health (FOPH). The regulations of the importing/exporting state should also be respected.

[4] Federal Food Safety and Veterinary Office: *https://www.blv.admin.ch/blv/en/home.html*

3 Lists relating to waste and disposal procedures and domestic regulations

Whether certain waste falls into the category regulated by international and domestic provisions, described in Chapter 2, with relation to the transboundary movement of waste depends on what type of waste it is and how it is disposed of.

The decision is based on the lists of waste and the lists of disposal procedures laid down in the Basel Convention and the OECD Council Decision, along with any domestic provisions.

3.1 Lists of waste

For the transboundary movement of waste the following waste lists are relevant:

- Swiss Waste List
- Lists A and B of the Basel Convention
- Amber and Green list of the OECD Council Decision

3.1.1 The Swiss Waste List

The Swiss Waste List is comparable to that of the EU, with only a few exceptions. **Special waste is marked with "S"** and **other waste subject to control with "ak".** The differences between the Swiss List of Waste and the European Waste List are specified in Appendix 1 of this information brochure.

Definitions of over 800 types of waste with their code and description are defined in the waste list of the LMW and divided into 20 chapters according to source. The electronic publication "Enforcement aid for the movement of special waste and other waste subject to control in Switzerland[5]" contains further information and examples of the correct classification of waste in accordance with the Swiss waste register.

3.1.2 Lists for the Basel Convention

The Basel Convention[6] includes the following lists:

- **List A (Annex VIII)** comprises the waste that is classified expressly as hazardous waste by the Basel Convention.
- **List B (Annex IX)** comprises the waste that is not considered hazardous in terms of the Basel Convention. List B may however include waste that is subject to control in transboundary movements at a national level by individual states or that exhibits hazardous properties as defined by Annex III of the Basel Convention.

[5] Enforcement aid for the movement of special waste and other waste subject to control in Switzerland: *www.bafu.admin.ch/veva-inland*

[6] Basel Convention: *https://www.admin.ch/opc/de/classified-compilation/19890050/index.html*

- **List of Codes Y1-Y45 (Annex I)** comprises the group of wastes subject to control.
- **List of Codes Y46-Y49 (Annex II)** comprises the group of wastes that require special consideration. They are household waste (Y46), residues from the incineration of household waste (Y47), mixed plastic waste (e. g. from separate household collections) (Y48) and non-dangerous electrical and electronic waste (Y49) .
- **List of H Codes (Annex III)** comprises the list of hazardous properties. Wastes that contain a constituent as defined by Annex I in such quantities that they exhibit hazardous properties as defined by Annex III are classified as hazardous in the Basel Convention.

3.1.3 Lists for the OECD Council Decision

The OECD Council Decision includes the following lists:

- **The Amber List (Appendix 4)** includes waste that is explicitly subject to the amber control procedure.
- **The Green List (Appendix 3)** comprises the waste that is subject to the green control procedure. Like the Basel Convention, the Green List can include waste that is subject to control in transboundary movements at a national level by individual states or that exhibits the hazardous properties defined by the OECD Appendix 2.
- **The list of Codes Y1-Y45 (Appendix 1)** covers the group of wastes subject to control as defined by Annex I of the Basel Convention.
- **The list of H Codes (Appendix 2)** comprises the list of hazardous properties as defined by Annex III of the Basel Convention. Wastes that contain a constituent as defined by the list of Y Codes in such quantities that they exhibit a hazardous property from the list of H Codes are classified as hazardous in the OECD Council Decision.

The consolidated lists of the OECD Council Decision can be found in Appendix 2 of this information brochure.

3.2 Disposal procedures

When transboundary movements of waste are undertaken, the lists of disposal procedures as defined by Annex IV of the Basel Convention or Appendix 5 of the OECD Council Decision take effect. They are shown in Appendix 2 of the DETEC Ordinance on Lists for the Movement of Waste. Certain amendments (three-digit codes) are only applicable to domestic movements.

The disposal procedures are divided into

- Part A, disposal procedures that cannot be considered as recovery (elimination procedures): Codes D1 to D15.
- Part B, disposal procedures that can be considered as recovery: Codes R1 to R13.

The electronic publication “Enforcement aid for the movement of special waste and other waste subject to control in Switzerland” contains further information and examples of the relevant disposal procedures.

4 Export of wastes

4.1 General export prohibitions

Under the 'ban amendment' (Art. 4a in conjunction with Appendix VII BC), every contracting party listed in Appendix VII (contracting parties and other states that are members of the OECD, EU and Liechtenstein) ban all transboundary movements of hazardous wastes destined for procedures under Appendix IV A to states not listed in Appendix VII. Furthermore, each contracting party listed in Appendix VII must progressively cease by 31 December 1997 and prohibit from that date all transboundary movements of hazardous wastes referred to in Article 1, Para. 1(a) of the Convention concerning procedures specified in Appendix IV B to states not listed in Appendix VII. This transboundary movement is not prohibited as long as the wastes concerned are not deemed to be hazardous according to the Convention. Art. 4 Para. 2 Letter e of the Basel Convention specifies that the member states should take measures to prevent the export of hazardous and other waste to countries that do not have the appropriate infrastructure for treating waste in an environmentally compatible way. The 'ban amendment' is implemented in Art. 14 Para. 1 OMW which specifies that the export of waste as defined by Art. 14 Para. 3 is only permitted to states which are:

- Members of the OECD (Table 2) or of the EU (Table 3); **and**
- Contracting parties to the Basel Convention (Table 4) or with which there is an agreement as defined by Article 11 of the Basel Convention.

Example: The USA is not a contracting party to the Basel Convention yet is a member of the OECD. Since the OECD Council Decision represents an agreement as defined by Art. 11 of the Basel Convention, the export of wastes to the USA is permitted.

Movements between Switzerland and the Principality of Liechtenstein are not considered transboundary movements because of the existing Customs Treaty. The Federal Office for the Environment (FOEN) is the competent authority for movements between Liechtenstein and third countries.

Table 2: Member states of the OECD, as of 01.01.2022[7]

Australia	Austria	Belgium	Canada	Chile
Colombia	Costa Rica	Czech Republic	Denmark	Estonia
Finland	France	Germany	Greece	Hungary
Iceland	Ireland	Israel	Italy	Japan
Korea	Latvia	Lithuania	Luxemburg	Mexico
Netherlands	New Zealand	Norway	Poland	Portugal
Slovakia	Slovenia	Spain	Sweden	Switzerland
Türkiye	United Kingdom	United States (USA)		

[7] Current list of member states of the OECD: : www.oecd.org/about/members-and-partners/

Table 3: Member states of the European Union (EU), as of 01.01.2022[8]

Austria	Belgium	Bulgaria*	Croatia*	Cyprus*
Czech Republic	Denmark	Estonia	Finland	France
Germany	Greece	Hungary	Ireland	Italy
Latvia	Lithuania	Luxembourg	Malta*	Netherlands
Poland	Portugal	Romania*	Slovakia	Slovenia
Spain	Sweden			

* Non-OECD member

Table 4

States that are not contracting parties to the Basel Convention, as of 01.01.2022[9]

Fiji	Grenada	Haiti	Kosovo	Solomon Islands
South Sudan	Timor-Leste	United States (USA)	Western Sahara	

4.2 Authorisation requirement for export

Art. 15 Para. 1 OMW specifies that waste may only be exported with an authorisation from the FOEN.

Exemptions from the authorisation requirement:

1. No authorisation is required if the waste being exported to a member state of the OECD or the EU consists of samples that are being exported to check the technical possibility of disposing of it; only the necessary number of waste samples may be exported and a sample may weigh no more than 25 kg (Art. 15 Para. 2 Letter b).
2. No authorisation is required as stipulated in Art. 15 Para. 2 Letter a OMW if waste is exported for recovery:
   – to a member state of the OECD or the EU if it is waste specified by the Green List of the OECD Council Decision and not waste as defined by Art. 14 Para. 3 OMW (No. 1),
   – or to a state that is not a member of the OECD or the EU if the waste is as specified by List B of the Basel Convention and not waste as defined by Art. 14 Para. 3 OMW (No. 2).

[8] Current list of member states of the EU: *https://europa.eu/european-union/about-eu/countries/member-countries_en*

[9] Current list of contracting parties to the Basel Convention: *http://www.basel.int/Countries/StatusofRatifications/tabid/1341/*

With the exception of waste samples, the export of the following types of waste therefore requires an authorisation:

- Waste that is **not** being exported for the purpose of recovery[10].
- Waste that does **not** appear on the Green List of the OECD Council Decision or List B of the Basel Convention[11] (so-called unlisted waste, such as non-polluted excavation material, reject material from the paper industry and mixed demolition waste).

The export of waste as specified in the Basel Convention requires an authorisation whatever the disposal procedure, if the waste does not constitute samples as defined by Art. 15 Para. 2 Letter b OMW. Wastes specified in the Basel Convention and stipulated in Art. 14 Para. 3 OMW are as follows:

- Special waste (S) as specified in the LMW
- Other waste subject to control (ak) as specified in the LMW
- Waste as defined in Annex II and in List A of the Basel Convention or as specified by the Amber List of the OECD Council Decision[12] (e. g. mixed plastic waste, effluent sludge, municipal solid waste or residues from the incineration of household waste).
- Waste that belongs to a group specified in Annex I of the Basel Convention and exhibits a hazardous property as specified in Annex III of the Basel Convention (e. g. catalytic converters [B1120] that are polluted with organic solvents [Y42] and are therefore self-combustible [H4.2]).

If the export of waste requires an authorisation, the exporter must submit an application for the transboundary shipment to the FOEN. The FOEN will pass on the application, after it has been approved, to the competent authorities in the importing and transit states (notification). The export may only be carried out with the prior consent of the states in question. This is also called the notification procedure or, within the OECD, the amber control procedure.

If the waste can be exported in accordance with the OMW without an authorisation from the FOEN, but it does need an authorisation to comply with the regulations in the importing state (see Chap. 3.1.20), then the exporter should nevertheless submit the appropriate application to the FOEN.

[10] In accordance with Art. 15 Para. 3 OMW the disposal procedures specified in Part B of Appendix 2 of the DETEC Ordinance on the Lists for the Movement of Waste (Codes R1 to R13) are considered as recycling.

[11] For shipments from member states of the OECD or the EU the Green List of the OECD Council Decision applies; for countries that are members of neither the OECD nor the EU, Waste List B of the Basel Convention applies.

[12] For shipments to OECD or EU countries the Amber List of the OECD Council Decision applies; for countries that are members of neither the OECD nor the EU, Annex II and List A of the Basel Convention apply.

4.3 Application for the export of waste

4.3.1 The licensing procedure

The licensing procedure for the export of waste is described in Art. 6 of the Basel Convention, in Chapter 2 D of the OECD Council Decision and in Art. 16 Para. 2 to 4 and Art. 19 OMW and comprises the following steps (see also Figure 1):

1. The exporter sends the documents necessary for the application to the FOEN.
2. If the documents are complete and the necessary evidence has been produced, the FOEN passes the application to the relevant authorities in the importing state and any transit states and informs the competent cantonal department[13] about the planned export. The FOEN will make a written request to the exporter for any missing documents.
3. The authority in the importing state and any transit states will generally confirm receipt of the application within 3 days[14].
4. The foreign authority will deal with the application generally within 30 days[15] after confirmation of receipt. If documents are missing they will be requested from the exporter. If the conditions have been fulfilled the foreign authority gives their consent. Consent can also be tacitly given when the deadline has passed.
5. The FOEN will deal with the application within 30 days, after the relevant authority in the importing state has confirmed receipt of the notification form. The export authorisation is only valid if consent has been given by the states concerned (Art. 16 Para. 3 OMW). Where appropriate, the FOEN may license the export under the condition that the relevant authorities in the importing state and the transit states also give their consent. The appropriate cantonal departments receive a copy of the authorisation. If the conditions for an export authorisation are not fulfilled, the FOEN will inform the exporter of this. If the exporter requests it, an appealable export prohibition can be decreed. An appeal can be made against this decree at the Federal Administrative Court. The appeal has to be submitted within 30 days after the decree has been opened; the time period begins on the day after the decree has been opened.

The licensing procedure usually takes 1 to 3 months from receipt of the application until the authorisation is granted. The applicant is therefore recommended to submit the application in good time.

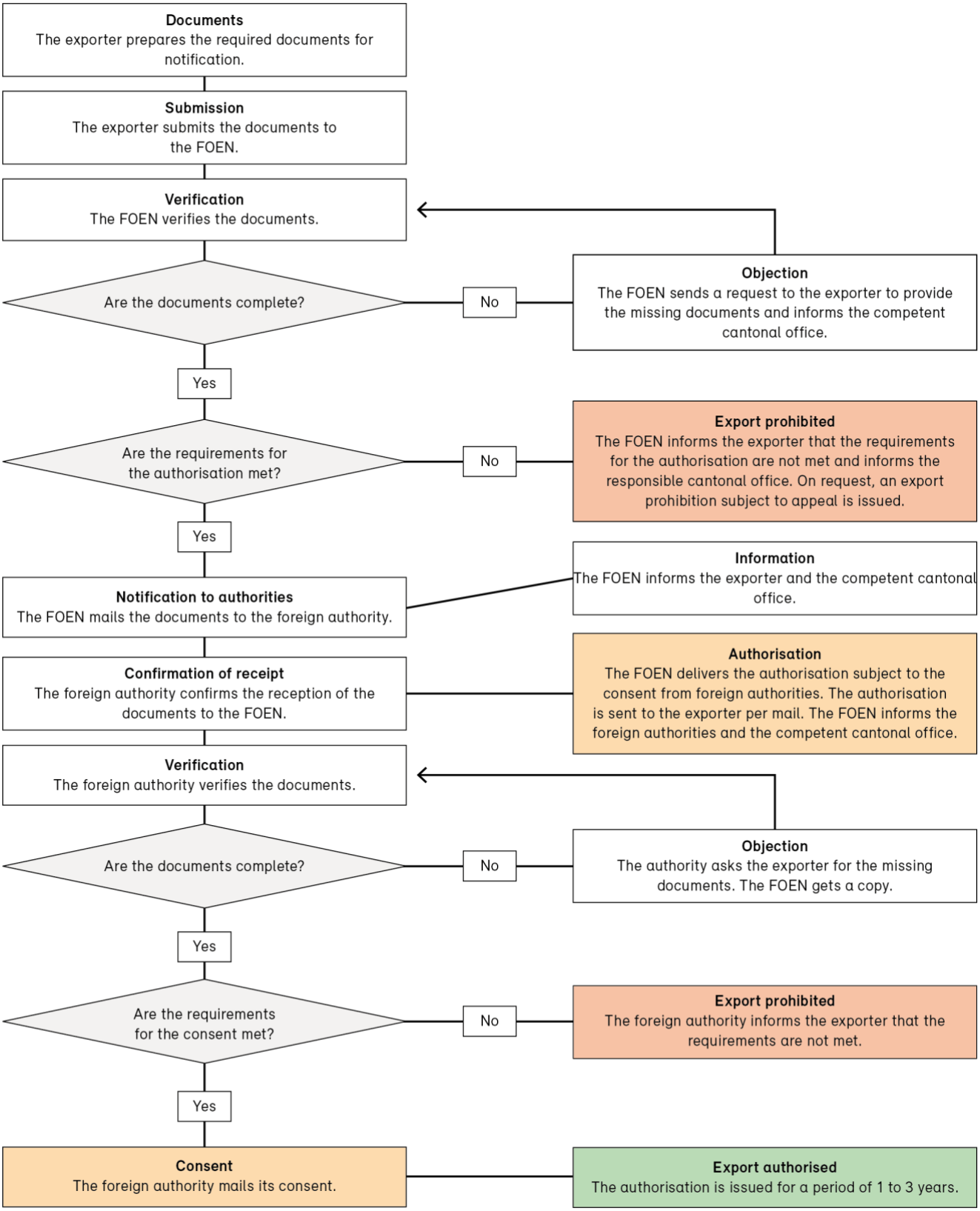
[13] The canton in which the waste producer is based will be informed.

[14] For exports destined for recovery in OECD member states (Chap. 2 D, No. 2 Case1 Letter c) or for exports to member states of the EU (Art. 44 Para. 1 of the Ordinance (EC) Nr. 1013/2006).

[15] For export and transit movements into or through a member state of the OECD for the purpose of recycling (Chap. 2 D, No. 2 Case 1 Letter g) or for export and transit movements into or through member states of the EU (Art. 42 Para. 1 and Art. 44 Para. 1 of the Ordinance (EG) Nr. 1013/2006). For transit through other member states of the Basel Convention the time limit for the transit states is 60 days.

Figure 1

Flow diagram of the export licensing procedure.



4.3.2 Conditions for obtaining an authorisation to export waste

To comply with Art. 16 Para. 1 and Art. 17 OMW, the application to export waste must include the following documents and evidence:

1. A completed and signed notification form (Chapter 5.3.2.1);
2. A valid contract between the exporter in Switzerland and the disposal company abroad (Chapter 5.3.2.2);
3. Evidence that the disposal route is known. (Chapter 5.3.2.3);
4. Evidence that the disposal will be environmentally compatible and carried out using up-to-date technology (Chapter 5.3.2.4);
5. Evidence that the disposal of municipal solid waste and waste of a similar composition from industry, waste slag, waste from the public upkeep of roads and the cleaning of public drains or combustible, mixed construction waste is not possible in Switzerland, or that the export of waste is provided for within a contractually agreed regional cooperative arrangement (Chap. 5.3.2.5);
6. Evidence that the waste will not be exported to be deposited in a landfill (Chapter 5.3.2.6);
7. Consent from the importing state and the transit states as required by the Basel Convention and the OECD Council Decision (Chap. 5.3.2.7);
8. Adequate financial guarantee to the FOEN (Chap. 5.3.2.8).

In the context of environmental compatibility checking, the proportion of exported waste deposited in landfill after treatment abroad and therefore subject to Art. 2 Para. 2 of the Ordinance on the Charge for the Remediation of Contaminated Sites (OCRCS) must also be determined (Chap. 5.3.2.9).

The documents that need to be submitted to the appropriate authorities in the importing state in compliance with Ordinance No. (EG) 1013/2006 will be described in Chap 5.3.2.10.

A checklist of all the required documents is available in Appendix 6.

The FOEN makes available on its website up-to-date versions of the documents necessary for export applications[16].

4.3.2.1 Completed notification form

A fully completed notification form must be available (see Appendix 4). The notification form should be completed in the FOEN databank[17,18] (Art 16. Para. 1 Letter c OMW).

- Box 1: The notification form is filled in by the exporter. The exporter must be based in Switzerland. The administrative address of the user stored on veva-online is automatically used in Box 1.
- Box 3: The web application veva-online allocates an individual notification number (e. g. CH0004510) to each form that is saved. This number must be used in all correspondence as a reference.

[16] *https://www.bafu.admin.ch/bafu/en/home/topics/waste/info-specialists/waste-policy-and-measures/transboundary-movements-of-waste--valid-for-the-principality-of-.html*

[17] Computer programme for enforcement of the Ordinance on the Movement of Waste (OMW): *www.veva-online.admin.ch*

[18] Companies exporting special waste and disposal companies get access to it from the cantonal departments: *https://www.bafu.admin.ch/bafu/de/home/themen/abfall/fachinformationen/abfallpolitik-und-massnahmen/vollzugshilfe-ueber-den-verkehr-mit-sonderabfaellen-und-anderen-/pflichten-der-inhaberinnen-und-inhaber-bei-der-uebergabe-von-abf/pflichten-der-abgeberbetriebe/erteilung-einer-betriebsnummer-durch-den-kanton.html*. Exporters who act only as traders should apply for access from the FOEN (*waste@bafu.admin.ch*).

- Box 8: All transport carriers (including sub-contractors) need to be listed.
- Box 9: If the transports are carried out from several different sites, then all the sites need to be listed in Box 9: as waste producers. However, some authorities in importing states take the view that only one place of origin i. e. waste producer may be listed and this must be respected.
- Box 9: In addition to giving the waste code and a description of the waste, it is also necessary to declare the process in which the waste was produced.
- Box 10: Only one disposal company may be listed per notification. In the case of a provisional elimination/recovery (D13, D14, D15, R12, R13) the subsequent disposal facilities must be indicated in the box “site of the actual elimination/recovery”.
- Box 12: The chemical composition must be given if this is not widely known.
- Box 14: The notification may include only one type of waste. The waste lists of the Basel Convention and the OECD Council Decision are structured according to properties. It is therefore usually the case that only one code is relevant (Nos. i and ii). The Waste Registers of Switzerland and the EU are structured according to source. The same types of waste can appear in several different chapters. In such cases several waste codes may be used (Nos. iii, iv and if required v). Under No. viii, H Codes according to Annex III of the Basel Convention should always be entered. If none of the H Codes under the Basel Convention is applicable, an HP Code according to Annex III of Directive 2008/98/EC may be entered, in accordance with Annex 1C Letter g) of Regulation (EC) No 1013/2006. In this case, the letters “EU” must be added to the HP Code (e. g. “HP4 EU”). A comparison of hazardous characteristics according to the Basel Convention and Directive 2008/98/EC can be found on the FOEN website. If the composition of the type of waste varies by site and production process (e. g. waste from contaminated sites or fractions arising from the mechanical processing of metal-containing waste), then a separate notification must be made per site.
- Box 17: The notification form should be printed and signed by the exporter and the waste producer. The exporter is responsible for the correct classification and description of the waste. The waste producer confirms the information with his signature. If several different waste producers are listed, they can confirm on a separate document or on a copy of the notification form that they are aware of the contents of the notification and that the information is correct.

4.3.2.2 Valid contract

There must be a disposal contract between the exporter and the disposal company in compliance with Appendix 2 OMW (Art. 16 Para. 1 Letter b and Appendix 2 OMW). The relevant forms are available on the FOEN website.

The contract must include the following information:

- The relevant notification number. If there is no notification number, then the type, quantity, source of the waste and period of validity of the contract need to be stated and must agree with the details on the notification form;
- Period of validity of the contract. The contract must be valid until all confirmations for the disposal have been submitted. If the period of validity is worded in an open manner, the contracting parties must confirm with every new application that the contract remains valid for the current notification;
- Confirmation from the disposal company that it is entitled in accordance with the legal provisions of its state to receive waste for disposal and that it will dispose of it in an environmentally sound manner within the agreed time period;
- An assurance from the disposal company that it will present a copy of the accompanying document to the exporter and the competent authorities within 3 working days from delivery of the waste (confirmation of receipt). This confirmation must be effected with a signature in Box No. 18 of the accompanying document relevant to the notification;

- An assurance from the disposal company that it will confirm the environmentally compatible disposal of the waste to the exporter and to the competent authorities within the agreed time period or at the latest 360 days after the last shipment. This confirmation should be effected with a signature in Box No. 19 of the accompanying document relevant to the notification. The amount of the financial guarantee can be influenced by the time period fixed in the contract for the presentation of the disposal certificates (see also Chapter 5.3.2.8);
- An assurance from the exporter that he will take back the waste or dispose of it elsewhere if the FOEN demands this with reference to Article 33 or 34 OMW; If the shipment of waste is to a country of the European Union, it is recommended that
  - in the context of the take-back obligation, Art. 22 – 25 of the Ordinance (EC) No. 1013/2006 should also be mentioned and it should be pointed out that in the case of export into the Union the order of precedence set in Art. 2 Number 15 Letter a), to which Articles 22 – 24 of the Ordinance (EG) 1013/2006 refer, is not applicable, but based on Art. 2 Number 15 Letter b) and in compliance with the OMW, only the exporter is obliged to take back the goods.
  - the requirements in terms of Art. 5 Para. 4 of the Ordinance (EC) No. 1013/2006 should be respected, if the disposal company is to carry out a provisional recovery operation (R12 or R13) or elimination (D13, D14 or D15) and the final treatment of the waste will be carried out later by a third party.

4.3.2.3 Evidence that the disposal route is known

The disposal route for the waste, including that of waste from the treatment process, must be completely transparent (Art. 17 Letter a). It is not sufficient to store waste abroad and then pass it on to disposal companies that are less than well-known.

The name, address and the authorised disposal procedures of subsequent disposal companies must be given. If fractions are produced in the course of the treatment process that may also be shipped in accordance with Swiss regulations using the green procedure (e. g. waste from metals and metal alloys with Code B1010), then it is not necessary to give details of the subsequent recovery plant.

If a contaminated site is to be remediated, the disposal concept must be attached to the application for the export of waste.

4.3.2.4 Evidence of environmentally compatible disposal

Evidence must be provided to show that the waste will be treated in the designated plants in an environmentally compatible manner and in accordance with up-to-date technology (Art. 17 Letter b). The documents supporting this evidence should only be presented if the FOEN does not already know the plant and if it has not yet been shown that the waste designated for export will be treated in an environmentally compatible manner or if the documents available to the FOEN are no longer up-to-date.

The environmental soundness of the disposal abroad will be judged by Swiss standards. It is not sufficient to adhere to all the regulations for the disposal of waste in the foreign country. An export can only be licensed if Swiss requirements for the environmental soundness of the disposal are also met. This results from Art. 4 Para. 8 and Art. 10 BC, which require the state in which the waste was produced, in the case of export shipments, not to transfer the responsibility for the environmental soundness of the disposal to the importing state.

Under the combined provisions of Article 32 para. 2 let. g and Article 54 para. 3 of the Ordinance on the Avoidance and the Disposal of Waste (ADWO; SR 814.600), metals must be recovered from the filter ash produced during the treatment of municipal waste and waste of similar composition. This requirement applies from 1 January 2026. Until then, filter ash may only be deposited untreated in an underground landfill without the recovery of metals if there are no treatment capacities for recovery available (in particular for the prelimary ‘acid wash’ stage in Switzerland). The FOEN can only issue an export authorisation for disposal in an underground landfill if evidence is provided that the treatment capacities for recovering metals from filter ash have been exhausted.

The following documents are required:

- A copy of the operating permit or written confirmation from the competent authority in the importing state, which shows that the relevant environmental regulations are being adhered to.
- Documentation and technical reports on the plant and its operation: plant layout, process flow, diagrams of the material and pollutant flows, photo-documentation.
- Description, characterisation and numerical data relating to the fractions produced during the waste treatment process. Evidence that this waste from the treatment process will be dealt with using up-to-date technology and in compliance with the environmental regulations prevailing in Switzerland and abroad.

4.3.2.5 Evidence for the export of municipal household waste and waste with a similar composition from industry, slag, waste from public road maintenance works, from public sewage treatment and combustible, mixed construction waste

Article 17 Letter c OMW requires that with the following types of waste, evidence must be produced to show that disposal in Switzerland is not possible or that the export of waste is taking place within a contractually agreed cross-border regional cooperative arrangement:

- Municipal household waste and waste with a comparable composition from industry (No. 1) e. g. mixed municipal waste from households and industry, separately collected plastics from households, and household green waste
- Slag from plants in which municipal household waste or waste with a comparable composition is incinerated (No. 2)
- Waste from public road maintenance works (No. 3)
- Effluent sludge from public sewage treatment (No. 3)
- Combustible, mixed construction waste (No. 4)

The phrase “not possible” can mean, for instance, that there is no capacity domestically or that it is inadequate, or that there are technical reasons (e. g. because there is no suitable plant available).

A contractually agreed regional cross-border cooperative arrangement is negotiated between neighbouring regional authorities (in Switzerland the cantons) that are responsible for the disposal of this waste. Cantonal waste planning in accordance with Art. 4 OADW should also be taken into account.

4.3.2.6 Evidence that the waste is not being exported for deposit in landfill

The export of waste for the purpose of depositing it in landfill is forbidden in principle (Art. 17 Letter d OMW). This also includes depositing the waste when it has previously been solidified or turned into landfill construction material. An exception is made for:

- Waste in the context of a contractually agreed regional cross-border cooperative arrangement (No. 1)
- Slag from imported municipal household waste, for which an application for take-back was included in the import application (No. 2)[19]
- Waste for deposit in an underground landfill that has been licensed in accordance with waste legislation (No. 3)
- Unpolluted excavation, spoil and demolition material for deposit in landfill sites in foreign countries close to the border (No. 4).

4.3.2.7 Consent of the importing state and transit states

If all other requirements have been met, the FOEN usually authorises the export after the confirmation of receipt from the importing state has been received, with the provision that the authorisation becomes valid only when the required consents have been obtained.

Tacit consent may be granted for transits. Tacit consent is valid if no objections are raised within a certain time period after confirmation of the notification by the importing state. This time limit with shipments between member states of the OECD or the EU is 30 days and between member states of the Basel Convention it is 60 days.

If a pre-consent as defined by OECD Council Decision Chap. II D No. 2 Case 2 exists, then the authorisation to ship waste for recovery in OECD states can be granted implicitly. The time limit for raising objections is 7 days, although the states concerned can prolong the time limit for up to a maximum of 30 days. Information on the different types of consent is available on the OECD websites or websites of the relevant authorities.

4.3.2.8 Security (financial guarantee)

In order to export waste subject to authorisation, it is necessary to offer a security (a bank or insurance guarantee) to the FOEN, as specified by Art. 17 Letter f and Art. 20 OMW. This covers the cost of taking back and disposing of the waste in an alternative manner if the exporter cannot fulfil his take-back obligation as defined in Art. 33 and 34 OMW (see Chap. 5.7).

If enforcement is delegated to a canton when clean excavation material is to be shipped in a regional cross-border transport, then the security must be made in favour of the appropriate canton (cf. Chap. 5.3.3).

[19] If municipal waste as defined by Art. 17 Letter d No. 2 OMW is imported into Switzerland for incineration, the slag (maximum of 25 % of the imported quantity of municipal waste) can be exported, if a request is made for this at the time of the import application and if it is supported by the authority in the foreign country where the municipal waste originates.

It should be noted that the importing states can ask for an additional security in their favour on the basis of their domestic legislation. In this case it may happen that two securities have to be provided (one each for the exporting and the importing state).

The following points should be taken into consideration when the security is issued:

- As described in Art. 20 Para. 1 OMW the FOEN accepts only bank or insurance guarantees in Swiss francs to secure disposal costs. It is essential for the FOEN to have direct access to the security deposit if need be. This is the case with bank or insurance guarantees, but not with sureties conforming to the Swiss Code of Obligations.
- It is possible to provide a global security deposit to the FOEN. Global securities are generally only accepted by the FOEN when the type and quantity of the waste remain constant over a period of several years. If there are significant alterations the amount has to be adjusted. With global security deposits, the full amount must be available for every individual notification that it includes. Setting maximum amounts for individual notifications within the global guarantee is not permitted. It should be noted that there are authorities within EU states that do not accept a global security guarantee. Separate security guarantees have to be provided for these notifications.
- The validity of the bank or insurance guarantee for individual notifications always has to be fixed for a period extending to the date 360 days after the last shipment. Global guarantees are valid for an unlimited period of time but may be cancelled by means of a written statement to the FOEN within a time limit of 3 months. For notifications that have been licensed until cancellation (the date of receipt by the FOEN), the global bank or insurance guarantee with a period of validity of 360 days beyond the date of the last shipment remains in place.

An up-to-date specimen form on the FOEN website shows the information that has to be included in a guarantee or global guarantee.

The amount of the security deposit is set by the FOEN on the basis of a proposal from the exporter. The FOEN provides instructions for calculating the guarantee amount on its website.

4.3.2.9 Information relating to the OCRCS

In accordance with Art. 2 Para. 2 of the Ordinance on the Charge for the Remediation of Contaminated Sites (OCRCS; SR 814.681), a tax is levied on waste that is exported for deposit and also on waste from treatment and recycling processes that is deposited abroad, if the deposited amount makes up at least 15 % of the exported waste. The deposit of unpolluted excavation material is exempted from this. The exporter must provide all the OCRCS-relevant information in the export application so that the FOEN can check the exporter’s tax declaration. It is the responsibility of the exporter to request, to collect and to document in advance these data from the disposal company abroad. This information should also be used for the OCRCS declaration which must be submitted by 28 February for the tax demands from the previous calendar year. If nevertheless there are divergences in the tax declaration from the data provided in the export application, then they must be justified within the context of the tax declaration and documented in a similar way to the OMW documents.

If residues are formed during treatment of the exported waste that will go on to be deposited in a landfill abroad, then the expected percentage of the residues must be added to the export application. The information must be clearly documented. If the expected percentage is higher than 15 %, then the name and address of the landfill and details of the type of landfill are to be given (e. g. details of the class of landfill as defined by the regulations of the importing state).

The proportion of the residue to be deposited abroad after treatment of the waste must generally be deduced from the composition of the waste being exported. The residues actually produced at the recycling/elimination plant are not representative as long as other waste is treated at the same time. For waste that is thermally treated, for example, the ash or the total organic carbon content (TOC) can be used. Proof of the composition must be provided with a chemical analysis. For waste that is mechanically separated into different fractions, the amount to be deposited can be deduced by means of a chemical analysis (e. g. determination of the mineral content) or decided experimentally. The results of the analysis must be included with the application.

It is assumed with the following types of waste that the percentage will be less than 15 %:

- Used wood, used tyres, used oil and organic solvents for material or thermal recovery;
- Lead batteries for smelting;
- Waste that is recycled in a cement works or a brickworks;
- Reclaimed asphalt for thermal treatment.

At the beginning of each calendar year, the FOEN sends out the official OCRCS tax declaration forms in which the exporter has to list the following information for the previous year:

- Quantity of waste exported during the year of declaration within the framework of the notification procedure;
- Percentage of exported waste that is deposited abroad after treatment or recycling;
- Type of landfill: underground landfill or similar landfill types as defined by the OADW (landfill type B, C, D or E)

It should be noted that Switzerland sometimes has a different interpretation of recovery in a landfill from that of the importing state. Recovery as landfill construction material is usually considered in Switzerland to be deposit of material in a landfill. The FOEN provides on its website a document that explains the OCRCS tax declaration.

4.3.2.10 Supplementary requirements as specified by the EC Waste Shipment Ordinance

On the basis of Ordinance (EC) No. 1013/2006, the following documents have to be provided to the competent authority when exporting into the EU:

A Evidence that the transport company is registered;
B Transport distance/transport route;
C Completed accompanying document.

As a service to the applicant, the FOEN checks whether the documents have been supplied but it does not check their contents.

A Evidence that the transport company is registered

The competent authorities in the importing and transit states within the EU require the waste transport carriers to be registered, and they require evidence of liability insurance and environmental liability insurance (to cover damage to bodies of water) from the transport services used for the shipment (including the vehicle licence number) and a transport licence. The EU member states do not in every case accept registration in a different member state.

Switzerland does not have a licence obligation for waste transport carriers. Neither Swiss nor foreign transport carriers need to register for the transport of waste within Switzerland. Other relevant regulations such as those relating to the transport of dangerous goods are listed in Chap. 10.

Swiss companies that carry out transboundary waste transports must consult the competent authority in the relevant EU member states.

B Transport distance/transport route
The authorities of the EU member states require details of the transport route between the site where the waste is produced and the site of the disposal company. This should also include information on possible alternative transport routes in case the originally planned transport route cannot be used. If carriage is by intermodal transport, the transhipment site must also be given.

C Completed accompanying document for the notification documents
In accordance with Art. 4 of the Ordinance (EC) No. 1013/2006, the accompanying document, if it is relevant, should be completed and attached to the notification documents **unsigned.** The accompanying document and the notification form can both be printed from veva-online.

4.3.3 Submission of the documents

A Competent authorities
The documents required for the application to export waste out of Switzerland and the Principality of Liechtenstein have to be sent to the FOEN. The postal address is: FOEN, Waste and Raw Materials Division, OMW, 3003 Bern.

Applications for the export of unpolluted excavation material (waste code 17 05 06) from the Cantons of Basel Land, Basel Stadt, St. Gallen, Waadt, Geneva and Ticino for deposit in landfill in countries close to the border or for recovery (e. g. for filling in gravel pits) have to be submitted to the appropriate cantonal department[20]. Enforcement authority relating to these types of waste has been delegated to the named cantons in accordance with Art. 43 EPA through an agreement. In this case, the applicants are asked to seek information directly from the competent cantonal departments about the relevant cantonal procedures.

B Copies
A full copy must be submitted with the original document for the security guarantee and all other original documents (Art. 16 Para. 2 OMW). A copy for the FOEN and the transit states is not required. The FOEN will make any copies necessary.

C Language
The language of the applications conforms primarily to the guidelines of the importing state. The FOEN accepts applications in the languages: German, French, Italian and English.

4.4 Granting of the authorisation

4.4.1 Time limit for the export authorisation

The FOEN usually grants an authorisation for a period of one year (Art. 18 Para. 1 OMW).

If the recovery plant in the importing state has a preconsent as defined by Chapter II D, No. 2, Case 2 of the OECD Decision, then the FOEN can grant the authorisation with a maximum period of validity of three years (Art. 18 Para. 2 OMW). In Box 3 Letter C of the notification form a mark should be placed next to “Yes”. The

[20] Cantonal departments: *http://kvu.ch/de/adressen/abfall*

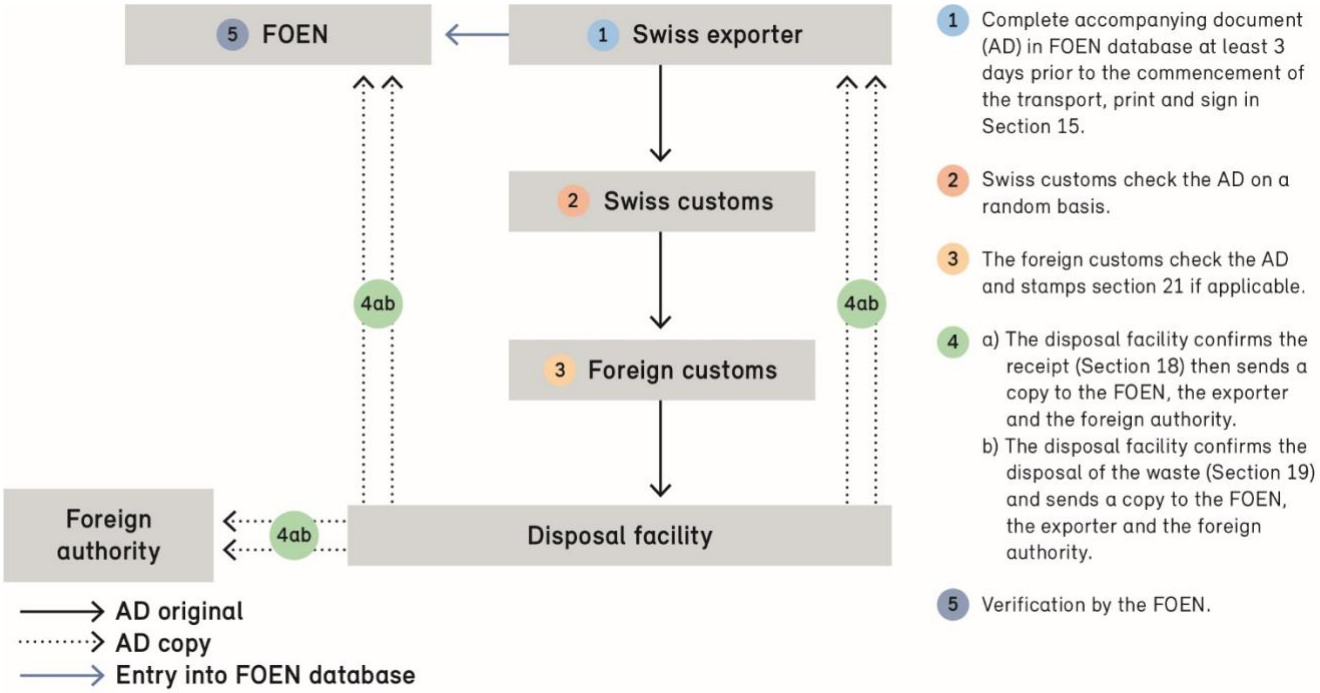
FOEN only grants an authorisation for more than one year if the status “Recovery plant with preconsent” is marked in the OECD data bank[21] or if confirmation from the relevant authority is available.

4.4.2 Fees

A basic fee of CHF 700 is charged for an authorisation when the application is complete. If there are queries or further clarification is necessary, the time expended by the FOEN will be charged at a rate of CHF 140/hour up to a maximum of CHF 2,500 (Appendix, No. 2a, FOEN Ordinance on Charges, SR 814.014). When authorisations have been granted they will be invoiced every two months. The invoice will be sent by separate post.

Figure 2

Use of the accompanying document for export.



4.5 Crossing the border and use of the accompanying document

Use as specified by the amendment to the OMW[22]

The exporter must enter the necessary information on an accompanying form in the FOEN data bank[23] at least 3 days before the transport begins (Art. 31 Para. 3 Letter a OMW). For export through or into the EU the exporter must announce the actual start date of the shipment by submitting signed copies of the completed accompanying document to the relevant authorities and to the consignee at least three working days before the shipment begins

[21] OECD data bank on the transboundary shipment of waste for recycling: *www2.oecd.org/waste/Countries.asp?q=71*

[22] *https://www.admin.ch/opc/de/official-compilation/2016/1117.pdf*

[23] *www.veva-online.admin.ch*

(Art. 16 Letter b of the Ordinance (EC) No. 1013/2006). The waste should be declared as such to the Swiss Customs Administration (Art. 31 Para. 3 Letter b). The Customs Administration will refuse the export if the necessary accompanying documents, key information or the authorisation are missing (Art. 43 Para. 2 OMW). It will inform the FOEN, which will decide about the take-back of the waste (Art. 43 Para. 3 OMW). The printed and signed accompanying form and a copy of the export authorisation should be carried on the transport (Art. 31 Para. 3 Letter b OMW). If the authorisation was issued under the condition that the importing state gives its consent, then this consent must also be carried. The accompanying document should be given to the foreign disposal company.

The foreign disposal company submits a copy of the accompanying document together with the confirmation of receipt and the disposal certificate to:

- the FOEN (by email to the relevant agency: *veva@band.ch*),
- the other competent authorities; and
- the exporter.

If submissions are made by email separate PDF files should be set up for the confirmation of receipt and the disposal certificates for each notification. The file name or subject line in the email should begin with the notification number. Example: Notification CH0010123 Disposal certificates Serial number.

The registration document for the shipment, the confirmation of receipt and the disposal certificates may also be submitted electronically, if the competent authorities have given their agreement to this (e. g. Austria and Switzerland). In this case the disposal company records the data in the data bank of the importing state. The data are submitted via an interface to the data bank of the FOEN. The exporter and the authorities have access to the data.

If the disposal certificates are not submitted within the time period agreed in the contract, then the FOEN can suspend further transports until an additional security guarantee is provided.

The exporter must retain the accompanying documents with the disposal certificate for a minimum of at least 5 years (Art. 31 Para. 3 Letter c OMW).

4.6 Unilateral licensing procedure

4.6.1 Submission of the documents

If the waste is subject to authorisation only in Switzerland, then only the FOEN deals with the application and it is not passed on to the authorities abroad (unilateral licensing procedure). In this case the additional documents required by the EU states in accordance with Chap. 5.3.2.10 do not have to be submitted.

This affects waste that is listed on the Green List of the OECD Council Decision or on List B of the Basel Convention but that is nevertheless subject to authorisation in transboundary movements with Switzerland (Chap. 3.1.1).

If the waste is also subject to control in the importing state on the basis of internal legislation or if it is being exported for elimination then the normal licensing procedure should be applied.

4.6.2 Validity

If the waste to be exported is subject to authorisation only in Switzerland then the export authorisation can generally be granted for 3 years.

4.6.3 Crossing the border and use of the accompanying document

Use as specified by the amendment to the OMW[24]

The exporter must enter the required information on an accompanying document in the FOEN data bank at least 3 days before the transport begins[25] (Art. 31 Para. 3 Letter a OMW). The accompanying document must be carried up to the Swiss border. The waste has to be declared as such to the Swiss Customs Administration (Art. 31 Para. 3 Letter b). The printed and signed accompanying document and one copy of the export authorisation have to be carried on the transport (Art. 31 Para. 5 Letter b OMW).

After crossing the border, the waste should be transported further under the conditions of the Green Control Procedure. The copy of the accompanying document along with the confirmation of receipt and the disposal certificate must be sent to the FOEN and to the exporter.

4.7 Take-back obligation

If so advised by the competent authority in the importing state, the FOEN will oblige the exporter to take back the waste whether the transport is legal or illegal (Art. 33 and 34 OMW). The take-back obligation is limited to the waste that was actually exported. If the waste that had a permit for transport in accordance with Art. 33 OMW has been mixed to the extent that it can no longer be separated, or if it has already been disposed of abroad in an environmentally compatible manner, then there is no take-back obligation. A signature in Box 19 of the accompanying document verifies that the disposal has been completed.

If the exporter does not fulfil the take-back obligation, the FOEN will organise the take-back and alternative disposal of the waste. The costs for any take-back are covered by the security guarantee. This is the case, for example, when disposal of the waste cannot be completed in the expected way and the exporter is insolvent.

[24] *https://www.admin.ch/opc/de/official-compilation/2016/1117.pdf*

[25] *www.veva-online.admin.ch*

5 Import of waste

5.1 General import prohibitions

The import of waste as defined by Art. 14 Para. 3 OMW is only permitted from states which are contracting parties to the Basel Convention or with which an agreement as specified by Article 11 of the Basel Convention exists.

Example: the USA is not a contracting party to the Basel Convention but is a member of the OECD. Because the OECD Council Decision represents an agreement as specified by Art. 11 of the Basel Convention, the import of waste from the USA is permitted.

Transport between Switzerland and the **Principality of Liechtenstein** is not considered as transboundary movement because of the existing Customs Treaty. The Federal Office of the Environment (FOEN) is the competent authority for transports between Liechtenstein and third-party states.

5.2 Consent requirement for import

As specified in Art. 22 Para. 1 OMW, waste may only be imported with the consent of the FOEN.

Exceptions from consent requirement:

1. No consent is required if the waste being imported from a member state of the OECD or the EU consists of samples that are being imported to check the technical possibility of disposing of it; only the necessary quantity of waste samples may be imported and a sample may weigh no more than 25 kg (Art. 22 Para. 2 Letter b).
2. Similarly, there is no requirement for consent as specified in Art. 22 Para. 2 Letter a OMW when waste for recovery:
   – is imported from a member state of the OECD or the EU, if the waste appears on the Green List of the OECD Council Decision and is not waste as defined by Art. 14 Para. 3 OMW (No. 1),
   – is imported from a state that is not a member of the OECD or the EU, if the waste appears on List B of the Basel Convention and is not waste as defined by Art. 14 Para. 3 OMW (No. 2).

With the exception of waste samples, the import of the following types of waste therefore requires consent:

- Waste that is **not** imported for recovery purposes[26].
- Waste that does **not** appear on the Green List of the OECD Council Decision or on List B of the Basel Convention[27] (so-called unlisted waste, such as unpolluted excavation material, reject material from the paper industry or mixed demolition material).

The import of waste as specified by the Basel Convention requires approval whatever the disposal method if it does not consist of waste samples as defined by Art. 22 Para. 2 Letter b OMW. Waste specified by the Basel Convention under Art. 14 Para. 3 OMW covers the following types:

- Special waste (S) as defined in the LMW
- Other waste subject to control (ak) as defined in the LMW, waste defined in Annex II and List A of the Basel Convention or on the Amber List of the OECD Council Decision[28] (e. g. effluent sludge, municipal household waste or residues from the incineration of municipal household waste).
- Waste that is part of a group described in Annex I of the Basel Convention and that has a hazardous property as defined in Annex III of the Basel Convention (e. g. catalytic converters [B1120] that are polluted with organic solvents [Y42] and are therefore self-combustible [H4.2]).

If the import of waste requires consent, then the exporter must generally submit an application for a transboundary shipment to the authorities of the exporting state. The competent authority in the exporting state passes on the application to the FOEN and any transit states. Import operations may only be carried out with the consent of all the states concerned. This is also called the notification procedure or, within the OECD, the amber control procedure.

If the transboundary shipment is subject to control only in Switzerland, then the disposal company in Switzerland ensures that the import operation is notified to the FOEN (Art. 26 OMW, Chap. 6.6).

[26] As specified in Art. 15 Para. 3 OMW, the disposal procedures described in Part B of Appendix 2 of the DETEC Ordinance on Lists for the Movement of Waste (Codes R1 to R13) are considered to be recovery operations.

[27] For shipments from member states of the OECD and the EU, the Green List of the OECD Council Decision is valid; for countries that are members of neither the OECD nor the EU, then Waste List B of the Basel Convention applies.

[28] For shipments to OECD or EU countries the Amber List of the OECD Council Decision applies; for countries that are members of neither the OECD nor the EU, Annex II and List A of the Basel Convention apply.

5.3 Application for the import of waste

5.3.1 Consent procedure for the import of waste

The consent procedure for the import of waste is described in in Art. 6 of the Basel Convention, in Chapter 2 D of the OECD Council Decision and in Art. 25 and 26 OMW and comprises the following steps (see also Fig. 3):

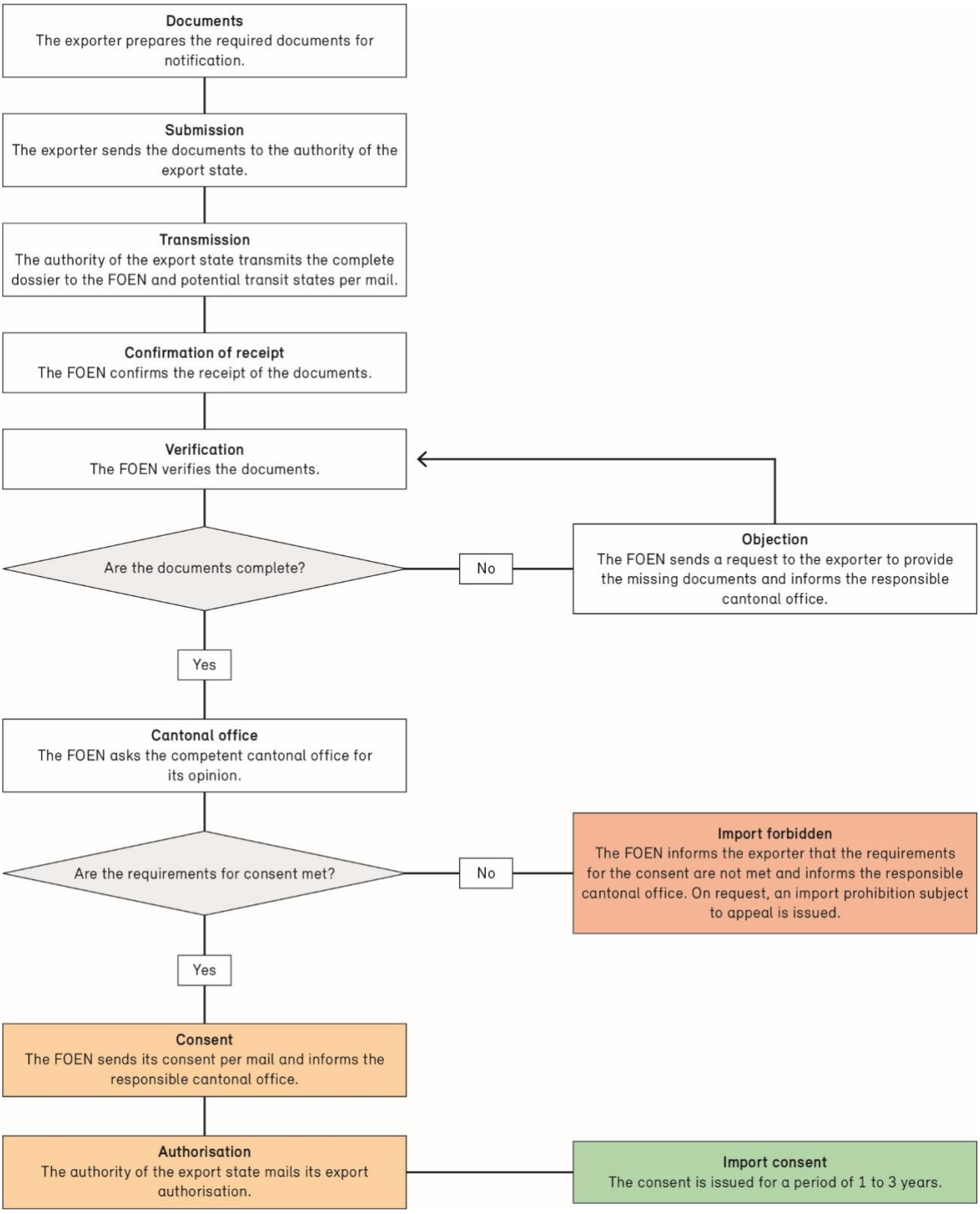
1. An exporter in another country who wants to import waste into Switzerland submits the application to the appropriate authority in the exporting state.
2. The competent authority in the exporting state requests any missing documents from the exporter.
3. Only when the dossier is complete are the documents sent to the FOEN and any transit states (notification).
4. The FOEN confirms receipt with the exporter and the states concerned. It then informs the cantonal department about the planned import and asks for their opinion.
5. Consent for the import operation is given in writing. The relevant authorities abroad and the cantonal department receive a copy.

The required consent from the exporting state and the transit states must be given before the transport begins (see also Chap. 5.3.2.7).

The consent procedure usually takes 1 to 3 months from receipt of the application by the exporting state to granting of the consent. Applicants are advised to submit applications in good time.

Figure 3

Flow diagram of the consent procedure for import.



5.3.2 Conditions for obtaining consent to import waste

When importing waste, the internet pages of the relevant authorities in the exporting state should first be consulted. Imports from the EU are dealt with as specified in Appendix II of the Ordinance (EC) No. 1013/2006.

The following documents must be submitted to the FOEN as specified in Art. 23 Para. 1 Letters f and g OMW:

- Notification form: a signed notification form must be presented. In Box 14 Nos. iii, iv and v it may be necessary to take account of different ways of coding waste in the exporting and importing state (see Appendix 1 of this information brochure and the FOEN website). Under No. viii, H Codes according to Annex III of the Basel Convention should always be entered. If none of the H Codes under the Basel Convention is applicable, an HP Code according to Annex III of Directive 2008/98/EC may be entered, in accordance with Annex C Letter g) of Regulation (EC) No. 1013/2006. In this case, the letters “EU” must be added to the HP Code (e. g. “HP4 EU”). In addition to the waste code and the description of the waste, the process by which the waste was produced (Box 9) and its chemical composition if this is not generally known (Box 12) should also be given.
- Valid contract: There must be a written disposal contract between the exporter abroad and the disposal company in Switzerland as specified in Appendix 2 No. 2 OMW. In particular, the contract has to regulate the take-back of the waste if it cannot be treated as planned.
- Contract on cross-border regional cooperative arrangements: If waste is imported for the purpose of depositing it in landfill, it has to be proved that the import is carried out within the framework of a contractually agreed cross-border regional cooperative arrangement or that the waste is incineration slag from exported municipal household waste (Art. 23 Para. 1 Letter b OMW). The contract is made between neighbouring regional authorities (the cantons in Switzerland). Waste planning measures at canton level as described in Art. 4 OMW must also be taken into account.

Switzerland does not have a licence obligation for waste transport carriers. Documents relating to transport carriers are not required. Neither Swiss nor foreign transport carriers need to register for the transport of waste within Switzerland. Other relevant regulations that need to be taken into account such as those relating to the transport of dangerous goods are listed in Chap. 10.

When waste is to be imported, the FOEN asks for the opinion of the relevant canton-level authority (Art. 23 Para. 2 OMW). This authority checks in line with Art. 23 Letters a, c, d and e whether

- the disposal company has the relevant authorisation,
- the planned disposal is environmentally compatible and complies with up-to-date technical standards,
- there is sufficient capacity for disposal of the waste,
- importing the waste is consistent with waste planning measures at canton level.

5.3.3 Submission of the documents

A Competent authorities

The exporter must submit the notification form and the disposal contract to the competent authorities in the exporting state[29].

If the exporter intends to ship waste from an exporting state that does not recognise administrative notification procedures or if the waste requires consent only in Switzerland (see also Chapter 6.6), the application must be submitted to the FOEN. The postal address is: FOEN, Waste and Raw Materials Division, OMW, 3003 Bern.

B Copies

The original document and as many copies as necessary should be submitted to the competent authority in the exporting state. That means:

- One copy for the competent authority in the exporting state;
- One copy each for any transit states[30];
- The original document for the FOEN as the importing state

C Language

The FOEN accepts applications in the languages: German, French, Italian and English.

5.4 Consent to import waste

5.4.1 Validity of the consent for the import

Consent is generally granted for a period of a year (Art. 24 Para. 1 OMW).

Art. 24 Para. 2 OMW specifies that the FOEN can grant consent for a period of up to three years if the recovery plant has obtained pre-consent as defined in Chapter II D No. 2 Case 2 of the OECD Council Decision. An up-to-date list of companies from Switzerland and the Principality of Liechtenstein with a pre-consent as defined in Chapter II D No. 2 Case 2 of the OECD Council Decision can be found on the FOEN website. A mark should be made in Box 3 Clause C of the notification form at “Yes”. No pre-consent is granted for interim storage and the transfer of waste. If the competent canton has given a positive opinion, the FOEN will enter the company into the OECD data bank with the appropriate waste codes, recovery procedures, the annual quantity and the validity status of the cantonal disposal authorisation[31].

5.4.2 Fees

A basic fee of CHF 700 is charged for an authorisation when the application is complete. If there are queries or further explanations are necessary, the time expended by the FOEN will be charged at a rate of CHF 140/hour up to a maximum of CHF 2,500 (FOEN Ordinance on Charges). When consents have been granted they will be invoiced every two months. The invoice will be sent by separate post.

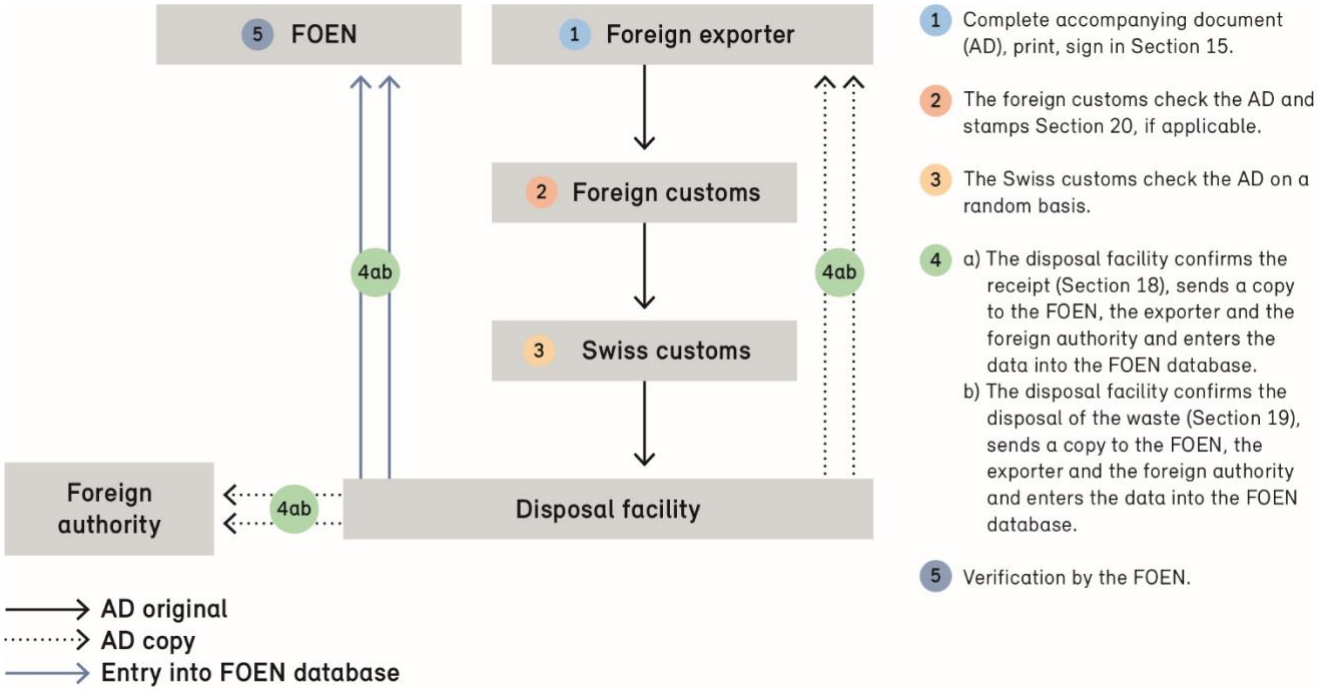
[29] List of competent authorities for the monitoring and control of movements of waste into and out of the European Community: *http://ec.europa.eu/environment/waste/shipments/pdf/list_competent_authorities.pdf*; List of competent authorities for the Basel Convention: *http://archive.basel.int/contact-info/frsetmain.html*

[30] In the case of maritime traffic, places where the ship calls at a port are to be considered as transit states.

[31] Date bank of the OECD on the transboundary shipment of waste for recycling: *www2.oecd.org/waste/Countries.asp?q=71*

Figure 4

Use of the accompanying document with imports.



5.5 Crossing the border and use of the accompanying documents

Use as specified by the amendment to the OMW[32]

Before the transport begins the exporter must enter the necessary information onto the accompanying document. For shipments through or out of the EU the exporter must announce the actual start of the shipment by forwarding signed copies of the completed accompanying document to the appropriate authorities and to the consignee at least three working days before the start of the shipment (Art. 16 Letter b EU 1013/2006). Switzerland does not require notification of shipments.

The waste should be declared as such to the Swiss Customs Administration (Art. 31 Para. 4 Letter a OMW). The Customs Administration will refuse the export if the necessary accompanying documents, key information or the authorisation are missing (Art. 43 Para. 2 OMW). It will inform the FOEN, which will decide about the take-back of the waste (Art. 43 Para. 3 OMW). The signed accompanying document and one copy of the consent document for import should be carried on the transport (Art. 31 Para. 4 Letter b OMW). The accompanying document should be given to the disposal company in Switzerland.

The disposal company in Switzerland passes a copy of the accompanying document along with the confirmation of receipt and the disposal certificate to the exporter and the other competent authorities abroad (Art. 31 Para. 5

[32] *https://www.admin.ch/opc/de/official-compilation/2016/1117.pdf*

Letter a and b OMW). The company enters the necessary information into the FOEN data bank[33] (Art. 31. Para. 5 Letter c OMW).

If the competent authorities have agreed to it (e. g. Austria and Switzerland), the confirmation of receipt and the disposal certificate can also be forwarded electronically. In this case, the announcement of the shipment as specified in Art. 16 Letter b EU 1013/2006 should also be forwarded. The data are exchanged via an interface between the data banks of the authorities (Art. 31 Para. 5 Letter c OMW).

The disposal company must retain the accompanying documents with the disposal certificate for at least 5 years (Art. 31 Para. 5 Letter d OMW).

5.6 Unilateral consent procedure

5.6.1 Submission of the documents

If a particular type of waste is subject to control only in Switzerland, then the disposal company in Switzerland submits the application to the FOEN (unilateral approval procedure). The documents must be passed on to the FOEN in accordance with Chap. 6.3.2. The notification form should be completed using the web application veva-online.

This is the case for waste that is on the Green List of the OECD Council Decision or List B of the Basel Convention but is nevertheless subject to control in transboundary movements with Switzerland (see Chapter 3.1.1).

5.6.2 Crossing the border and use of the accompanying document

Use in accordance with amendments to the OMW[34]

Waste that is on the Green List of the OECD Council Decision or on List B of the Basel Convention should be transported as far as the Swiss border using the green control procedure. The waste should be declared as such to the Swiss Customs Administration (Art. 31 Para. 4 Letter a). The printed and signed accompanying document and one copy of the consent document from the FOEN should be carried on the transport (Art. 31 Para. 4 Letter b OMW). The disposal company in Switzerland completes Boxes 18 and 19 of the accompanying document and enters the required information into the FOEN data bank.

5.7 Reporting obligation

If the transport carrier cannot pass on the imported waste to the disposal company named in the notification, then he must inform the FOEN and the competent cantonal authorities immediately (Art. 27 Para. 1 OMW).

If the disposal of imported waste cannot be carried out in accordance with the notification or if the disposal is greatly delayed, then the disposal company must inform the FOEN and the competent cantonal authorities of this immediately (Art. 27 Para. 2 OMW).

[33] Computer programme for enforcement of the Ordinance on Movements of Waste (OMW): *www.veva-online.admin.ch*

[34] *https://www.admin.ch/opc/de/official-compilation/2016/1117.pdf*

6 Transit movements of waste

6.1 Control in transit movements of waste

According to Art. 29 Para. 1 OMW, waste may only be carried through Switzerland if the transit has been notified to the FOEN and the FOEN has not forbidden the transit within 5 days after the competent authority in the importing state has confirmed receipt of the notification form. No notification is necessary for transit for the purpose of recovery of waste listed on the Green Waste List of the OECD Council Decision and on List B of the Basel Convention (Art. 29 Para. 1bis OMW).

Consent for the transit movement of waste through Switzerland is generally granted tacitly. There is also no written confirmation of receipt for the transit documents. For checking purposes, a list[35] is available on the FOEN website which shows the transit applications that have been entered with the FOEN. When applications for amendments are submitted subsequently (e. g. additional transport carrier or a longer transport route), tacit consent is granted if the FOEN does not raise an objection within 7 days.

It should be noted that special waste has to be declared as such on the transit customs documents in accordance with Article 31 OMW.

6.1.1 Validity of the transit consent

Tacit consent from the FOEN is valid for the period of validity permitted by the exporting and the importing state. In particular, the period of validity is not tied to the date on which the importing state confirms receipt of the notification.

6.1.2 Fees

No fees are charged for the transit movement of waste.

6.2 Submission of the documents

The application documents are usually submitted to the FOEN by the authority in the exporting state. To approve a transit, the FOEN needs copies of at least the following: a completed notification form and a disposal contract. No documents relating to the carriers are required.

The FOEN accepts applications in the languages: German, French, Italian and English.

Switzerland does not have an authorisation obligation for waste carriers. Neither Swiss nor foreign carriers have to register to transport waste. Any other regulations that need to be followed, such as those relating to the transport of hazardous goods, are listed in Chap. 10.

[35] https://www.bafu.admin.ch/bafu/en/home/topics/waste/info-specialists/waste-policy-and-measures/transboundary-movements-of-waste--valid-for-the-principality-of-/notification-procedures-for-the-transit-of-waste.html

6.3 Crossing the border and use of the accompanying document

The waste should be declared as such to the Swiss Customs Administration (Art. 31 Para. 4 OMW). A copy of the accompanying document must be carried. No transport registration documents and no confirmations of receipt or disposal certificates are required.

7 Green Control Procedure

7.1 Accompanying documents and forms

If waste or waste samples are imported or exported without an authorisation in accordance with Art. 15 Para. 2 or Art. 22 Para. 2 in conjunction with Art. 31 Para. 7 OMW, there is no requirement to carry an accompanying document. The completed form specified in Appendix VII of the Ordinance (EC) No. 1013/2006 must be carried.

The Green Control Procedure is as follows:

1. The person who arranges the shipment has to fill in the form describing what is being carried in accordance with Appendix VII of the Ordinance (EC) No. 1013/2006 if waste samples are involved or if the waste weighs more than 20 kg (OMW Art. 31 Para. 8).
2. The waste should be declared to the Customs Administration as such (Art. 31 Para. 3 Letter b and Art. 31 Para. 5 Letter a OMW).
3. The completed and signed form or a copy of it has to be carried with every transport and shown at the border crossing if required.

The form specified in Appendix VII of the Ordinance (EU) No. 1013/2006 is available on the FOEN website[36]. The person who arranges the shipment is responsible for the correct classification and description of the waste and the recovery procedures.

For transboundary movements of waste, the lists of disposal procedures in Annex IV of the Basel Convention or Appendix 5 of the OECD Council Decision are relevant. They are depicted in Appendix 2 of the DETEC Ordinance on Lists for the Movement of Waste. Certain additions (three-digit codes) are only applicable to domestic shipments. Recovery procedures are those listed in Part B (Codes R1 to R13) in Appendix 2 of the DETEC Ordinance on Lists for the Movement of Waste.

Where waste samples are concerned (Chap. 5.2 and 6.2), the applicant is free to decide whether he wants to specify certain elimination or recovery procedures.

7.2 Additional requirements in accordance with the EU Regulation on the Shipment of Waste

7.2.1 Retention of the form specified in Appendix VII

With shipments into, out of or through EU states, the completed form specified in Appendix VII must be retained for at least 3 years (Art. 20 Para. 2 of the Ordinance (EU) No. 1013/2006).

[36] FOEN website Transboundary Movements of Waste: *https://www.bafu.admin.ch/bafu/en/home/topics/waste/info-specialists/waste-policy-and-measures/transboundary-movements-of-waste--valid-for-the-principality-of-.html*

7.2.2 Contract

With shipments into, out of or through states of the European Union, a contract between the person arranging the shipment and the recovery plant or laboratory must be drawn up to comply with Art. 18 Para. 2.

A sample contract is available on the FOEN website. The contract does not have to be carried on the transport but it must be shown if the authorities ask to see it. As well as showing the general terms and conditions, the contract must regulate the take-back of waste as specified in Art. 22 – 25 of Ordinance (EU) No. 1013/2006 of the European Parliament and Council on the Shipment of Waste. The OMW does not require such a contract.

7.2.3 Registration of transport companies

A person wanting to transport waste as specified in the Green List of the OECD Council Decision into, out of or through member states of the European Union must register in the states concerned as a waste carrier. No such registration is required in Switzerland. Swiss carriers should apply to the competent authority in the EU member states concerned.

8 Movement of special waste abroad

A person who organises or is involved in the movement of special waste between third-party states must report this activity to the FOEN on a yearly basis and submit a copy of the notification sheet for every planned transboundary movement (Art. 36 Para. 1 OMW).

The FOEN will inform the competent authorities abroad and the Secretariat of the Basel Convention if it finds out that a planned transport across a national boundary represents a prohibited movement as described in Art. 9 Para. 1 BC (Art. 36 Para. 2 OMW).

9 Advice regarding further regulations

As well as waste legislation, the following regulations also need to be followed in the context of transboundary movements of waste:

9.1 Customs procedures

The import and export of waste must be declared as such to the appropriate customs offices[37].

The customs offices or the General Directorate of Customs[38] can supply information on customs tariff numbers.

If waste is imported or exported with an authorisation or consent from the FOEN, then the notification number and the serial number of the accompanying document must be registered in the customs documents.

9.2 Transport of hazardous goods

If the waste to be transported consists of hazardous goods, the following regulations have to be followed:

Road transport[39]:

- European Agreement concerning the International Carriage of Dangerous Goods by Road (ADR; SR 0.741.621)
- Ordinance on the Transport of Hazardous Goods by Road (SDR; 741.621)

Rail transport[40]:

- Ordinance for the International Transport of Dangerous Goods by Rail (RID)
- Ordinance on the Carriage of Hazardous Goods by Rail and Aerial Railway (RSD; 742.412)

[37] Federal Customs Administration (FCA) > Customs registration for companies: *https://www.ezv.admin.ch/ezv/en/home/customs-declaration/declaration-companies.html*

[38] Federal Customs Administration > Customs tariff information *https://www.ezv.admin.ch/ezv/de/home/information-firmen/zolltarif---tares/zolltarifauskuenfte.html*

[39] Federal Roads Office (FEDRO) > Dangerous goods: *https://www.astra.admin.ch/astra/de/home/fachleute/fahrzeuge/gefaehrliche-gueter.html*

[40] Federal Office of Transport (FOT) > Dangerous goods: *https://www.bav.admin.ch/bav/de/home/themen/alphabetische-themenliste/umwelt/gefahrgut.html*

9.3 Overland transport agreement

The overland transport agreement between Switzerland and the EU allows a foreign carrier to load and export goods in Switzerland[41]. National cabotage operations are however not allowed, i. e. a foreign carrier is not allowed to transport goods between two destinations within the country. This prohibition also applies to waste.

[41] Federal Office of Transport (FOT) > Overland Transport Agreement: *https://www.bav.admin.ch/bav/de/home/themen/alphabetische-themenliste/landverkehrsabkommen.html*

10 Glossary

Accompanying document – accompanying form
The accompanying document used in Switzerland under the terms of the OMW is usually called the “accompanying form” in operations relating to the transboundary movements of waste.

Notification sheet – notification form
The notification sheet used in Switzerland under the terms of the OMW is called the “notification form” in operations relating to transboundary movements of waste.

Disposal company – elimination /recycling plant
On the harmonised notification form for the Basel Convention, the OECD and the EU, the disposal company is called the “elimination/recycling plant”.

Notification process – Amber Control Procedure
The licensing process for the transboundary movement of waste is designated in the OECD as the Amber Control Procedure.

Green Control Procedure
Certain wastes (wastes that are listed on the Green List of the OECD Decision or in Appendix IX [List B] of the Basel Convention) may be imported and exported for recycling without a licence if the waste does not fall into the category regulated by the Basel Convention (see Art. 14, Para. 3 OMW). This is called the “Green Control Procedure”.

Confirmation of receipt
The disposal company confirms the delivery of the waste to the exporter and to the FOEN by means of a signature in Box No. 18 of the accompanying document relevant to the notification.

Disposal certificate
The disposal company confirms to the exporter and to the FOEN that the waste has been disposed of in an environmentally sound manner with a signature in Box No. 19 of the accompanying document relevant to the notification. The amount of the financial guarantee can be influenced by the deadline set in the contract for the submission of the disposal certificates (see also Chapter 5.3.2.8).

Appendix 1: Swiss list of waste with references to the European List of Waste

(only available in German, French and Italian)

Appendix 2: List of Wastes according to the OECD Council Decision C(2001)107/Final

Amber List (consolidated version of appendix 4, State 1 January 2025, national implementation by Switzerland)

Categories of waste requiring special consideration

Y46 Wastes collected from households

Y47 Residues arising from the incineration of household wastes

Y48 Plastic waste, including mixtures of such waste, with the exception of the following:

- Plastic waste, including mixtures of such wastes, containing or contaminated with Appendix 1 constituents, to an extent that it exhibits an Appendix 2 characteristic (see entry AC300)
- Plastic waste covered by entry B3011

Y49 Electrical and electronic waste:

– Waste electrical and electronic equipment,

– not containing and not contaminated with Appendix 1constituents to an extent that the waste exhibits an Appendix 2 characteristic, and

– in which none of the components (e.g. certain circuit boards, certain display devices) contain or are contaminated with Appendix 1 constituents to an extent that the component exhibits an Appendix 2 characteristic

– Waste components of electrical and electronic equipment (e.g. certain circuit boards, certain display devices) not containing and not contaminated with Appendix 1 constituents to an extent that the waste components exhibit an Appendix 2 characteristic, unless covered by another entry in Appendix 3 or by an entry in Appendix 4

– Wastes arising from the processing of waste electrical and electronic equipment or waste components of electrical and electronic equipment (e.g. fractions arising from shredding or dismantling), and not containing and not contaminated with Appendix 1 constituents to an extent that the waste exhibits an Appendix 2 characteristic, unless covered by another entry in Appendix 3 or by an entry in Appendix 4

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 in List B under entry B1020, and which are in non-dispersible form[42].

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

AA010	261900	Dross, scalings and other wastes from the iron and steel industry[43]
AA060	262050	Vanadium ashes and residues[44]
AA190	810420 ex 810430	Magnesium waste and scrap that is flammable, pyrophoric or emits, upon contact with water, flammable gases in dangerous quantities

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 in 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 in List B[45]

A1160 Waste lead-acid batteries, whole or crushed

[42] "Non-dispersible" does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.

[43] This listing includes wastes in the form of ash, residue, slag, dross, skimming, scaling, dust, powder, sludge and cake, unless a material is expressly listed elsewhere.

[44] see footnote 43

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

A1170 Unsorted waste batteries excluding mixtures of only List B batteries. Waste batteries not specified in List B containing Annex I constituents to an extent to render them hazardous

A1181 Electrical and electronic waste (note the related entry Y49)[46] :

– Waste electrical and electronic equipment

– containing or contaminated with cadmium, lead, mercury, organohalogen compounds or other Appendix 1 constituents to an extent that the waste exhibits an Appendix 2 characteristic, or

– with a component containing or contaminated with Appendix 1 constituents to an extent that the component exhibits an Appendix 2 characteristic, including but not limited to any of the following components:

- glass from cathode-ray tubes included on list A
- a battery included on list A
- a switch, lamp, fluorescent tube or a display device backlight which contains mercury
- a capacitor containing PCBs
- a component containing asbestos
- certain circuit boards
- certain display devices
- certain plastic components containing a brominated flame retardant

– Waste components of electrical and electronic equipment containing or contaminated with Appendix 1 constituents to an extent that the waste components exhibit an Appendix 2 characteristic, unless covered by another entry on list A

– Wastes arising from the processing of waste electrical and electronic equipment or waste components of electrical and electronic equipment, and containing or contaminated with Appendix 1 constituents to an extent that the waste exhibits an Appendix 2 characteristic (e.g. fractions arising from shredding or dismantling), unless covered by another entry on list A

A1190 Waste metal cables coated or insulated with plastics containing or contaminated with coal tar, PCB[47], lead, cadmium, other organohalogen compounds or other Annex I constituents to the extent that they exhibit Annex III characteristics

[46] PCBs or PBBs are at a concentration level of 50 mg/kg or more in equipment, in a component, or in wastes arising from the processing of waste electrical and electronic equipment or waste components of electrical and electronic equipment.

[47] PCBs are at a concentration level of 50 mg/kg or more

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 in List B
A2030		Waste catalysts but excluding such wastes specified in 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 in List B, B2080)
A2050		Waste asbestos (dusts and fibres)
RB020	ex 6815	Ceramic based fibres of physico-chemical characteristics similar to those of asbestos
A2060:	does not apply[48] and; OECD entry GG040 applies instead when appropriate[49]	
AB030		Wastes from non-cyanide based systems which arise from surface treatment of metals
AB070		Sands used in foundry operations
AB120[50]	ex 281290 ex 3824	Inorganic halide compounds, not elsewhere specified or included
AB130		Used blasting grit
AB150	ex 382490	Unrefined calcium sulphite and calcium sulphate from flue gas desulphurization (FGD)
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
AC060	ex 381900	Hydraulic fluids
AC070	ex 381900	Brake fluids
AC080	ex 382000	Antifreeze fluids
A3050		Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives excluding such wastes specified in List B (note the related entry in 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 in List B
AC150	Chlorofluorocarbons	
AC160	Halons	
AC250	Surface active agents (surfactants)	

[48] Non-applicable entry in the list of the Basel Convention: "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)

[49] Member countries may control these wastes differently in accordance with Chapter II B 6 of Decision C(2001)107/FINAL concerning wastes not listed in Appendices 3 or 4, and the chapeau of Appendix 3 to this Decision.

[50] This entry includes spent potlinings from aluminium smelting without inorganic cyanides but containing Y32, inorganic fluorine compounds excluding calcium fluoride.

A3090	Waste leather dust, ash, sludges and flours when containing hexavalent chromium compounds or biocides (note the related entry in 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 in List B, B3090)	
A3110	Fellmongery wastes containing hexavalent chromium compounds or biocides or infectious substances (note the related entry in List B, B3110)	
A3120	Fluff – light fraction from shredding	
AC170	ex 440310	Treated cork and wood wastes
AC260	ex 3101	Liquid pig manure; faeces
AC270		Sewage sludge
AC300		Plastic waste, including mixtures of such wastes, containing or contaminated with Appendix 1 constituents, to an extent that it exhibits an Appendix 2 characteristic
A3130	Waste organic phosphorous compounds	
A3140	Waste non-halogenated organic solvents but excluding such wastes specified in 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[51]	
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 in List B, B2130)	
A3210	Basel entry A3210 does not apply[52] and AC300 applies instead	

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 in 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

[51] 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.

[52] Non-applicable entry in the list of the Basel Convention: "A3210 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)."

A4030		Wastes from the production, formulation and use of biocides and phytopharmaceuticals, including waste pesticides and herbicides which are off-specification, outdated[53], or unfit for their originally intended use
A4040		Wastes from the manufacture, formulation and use of wood-preserving chemicals[54]
A4050[55]		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 in List B (note the related entry in List B, B4010)
AD090	ex 382490	Wastes from production, formulation and use of reprographic and photographic chemicals and materials not elsewhere specified or included
AD100		Wastes from non-cyanide based systems which arise from surface treatment of plastics
AD120	ex 391400 ex 3915	Ion exchange resins
A4080		Wastes of an explosive nature (but excluding such wastes specified in List B)
A4090		Waste acidic or basic solutions, other than those specified in the corresponding entry in List B (note the related entry in List B, B2120)
A4100		Wastes from industrial pollution control devices for cleaning of industrial off-gases but excluding such wastes specified in List B
AD150		Naturally occurring organic material used as a filter medium (such as bio-filters)
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[56] 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 in List B (note the related entry in List B, B2060)

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

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

[55] This entry includes spent potlinings from aluminium smelting containing Y33 inorganic cyanides. If the cyanides have been destroyed, spent potlinings are assigned to the entry AB120 because they contain Y32, inorganic fluorine compounds excluding calcium fluoride.

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

Green List (consolidated version of appendix 3, State 1 January 2025, national implementation by Switzerland)

Regardless of whether or not wastes are included on this list, they may not be subject to the Green control procedure if they are contaminated by other materials to an extent which

(a) increases the risks associated with the wastes sufficiently to render them appropriate for submission to the Amber control procedure or

(b) prevents the recovery of the wastes in an environmentally sound manner.

B1 Metal and metal bearing wastes

B1010 Metal and metal-alloy wastes in metallic, non-dispersible[57] form:

- Precious metals (gold, silver, the platinum group, but not mercury)
- Iron and steel scrap
- Chromium scrap
- Copper scrap
- Nickel scrap
- Aluminium scrap
- Zinc scrap
- Tin scrap
- Tungsten scrap
- Molybdenum scrap
- Tantalum scrap
- 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

B1020 Clean, uncontaminated metal scrap, including alloys, in bulk finished form, *i.e.-non-dispersible form*[58] (sheet, plate, beams, rods, etc), of:

- Antimony scrap
- Beryllium scrap
- Cadmium scrap
- Lead scrap (but excluding lead-acid batteries)
- Selenium scrap
- Tellurium scrap

[57] "Non-dispersible" does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.

[58] see footnote 58.

B1030 Residues containing refractory metals

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[59]

B1060 Waste selenium and tellurium in metallic elemental form including powder

B1070 Waste of copper and copper alloys in dispersible form, unless they contain Annex I constituents to the 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[60]

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:
  - Galvanising slab zinc top dross (>90% Zn)
  - Galvanising slab zinc bottom dross (>92% Zn)
  - Zinc die casting dross (>85% Zn)
  - Hot dip galvanisers slab zinc dross (batch) (>92% Zn)
  - Zinc skimmings
- Aluminium skimmings (or skims) excluding salt slag
- does not apply[61], OECD entry GB040 applies instead
- 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

GB040 7112 Slags from precious metals and copper processing for further refining
262030
262090

B1115 Waste metal cables coated or insulated with plastics, not included in List A (note the related entry A1190 in List A) excluding those destined for Annex IV Part A operations or any other disposal operations involving, at any stage, uncontrolled thermal processes, such as open-burning

B1120 Spent catalysts excluding liquids used as catalysts, containing any of:

- Transition metals, excluding waste catalysts (spent catalysts, liquid used catalysts or other catalysts) in List A: Scandium, Titanium, Vanadium, Chromium, Manganese, Iron

[59] 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.

[60] 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.

[61] Non-applicable part of entry B1100 in the list of the Basel Convention: “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”.

		Cobalt	Nickel
		Copper	Zinc
		Yttrium	Zirconium
		Niobium	Molybdenum
		Hafnium	Tantalum
		Tungsten	Rhenium
	− Lanthanides (rare earth metals):	Lanthanum	Cerium
		Praseodymium	Neodymium
		Samarium	Europium
		Gadolinium	Terbium
		Dysprosium	Holmium
		Erbium	Thulium
		Ytterbium	Lutetium

B1130 Cleaned spent precious-metal-bearing catalysts

GC050 Spent Fluid Catalytic Cracking (FCC) Catalysts (e. g. aluminium oxide, zeolites

B1140 Precious-metal-bearing residues in solid form which contain traces of inorganic cyanides

B1150 Precious metals and alloy wastes (gold, silver, the platinum group, but not mercury) in a dispersible, non-liquid form with appropriate packaging and labelling

B1160 Precious-metal ash from the incineration of printed circuit boards (note the related entry in in List A, A1150)

B1170 Precious-metal ash from the incineration of photographic film

B1180 Waste photographic film containing silver halides and metallic silver

B1190 Waste photographic paper containing silver halides and metallic silver

B1200 Granulated slag arising from the manufacture of iron and steel

B1210 Slag arising from the manufacture of iron and steel including slags as a source of TiO_2 and vanadium

B1220 Slag from zinc production, chemically stabilised, 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

GC030 ex 890800 Vessels and other floating structures for breaking up, properly emptied of any cargo and other materials arising from the operation of the vessel which may have been classified as a dangerous substance or waste

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

B2010 Wastes from mining operations in non-dispersible form[62]:

- 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

[62] see footnote 58.

- Feldspar waste
- Fluorspar waste
- Silica wastes in solid form excluding those used in foundry operations

B2020 Glass waste in non-dispersible form[63]:

- Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses

GE020 ex 7001 Glass fibre waste in non-dispersible form[64]
ex 701939

B2030 Ceramic wastes in non-dispersible form[65]:

- Cermet wastes and scrap (metal ceramic composites)
- Ceramic based fibres not elsewhere specified or included

GF010 Ceramic wastes in non-dispersible form[66] which have been fired after shaping, including ceramic vessels (before and/or after use).

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 stabilised, 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

GG030 ex 2621 Bottom ash and slag tap from coal fired power plants

B2050 does not apply[67], OECD entry GG040 applies instead

GG040 ex 2621 Coal fired power plants fly ash

B2060 Spent activated carbon not containing any Annex I constituents to the extent that they exhibit Annex III characteristics, for example, activated carbon resulting from the treatment of potable water and processes of the food industry and vitamin production (note the related entry in List A, A4160)

B2070 Calcium fluoride sludge

B2080 Waste gypsum arising from chemical industry processes not included in List A (note the related entry in 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

[63] see footnote 58.

[64] see footnote 58.

[65] see footnote 58.

[66] see footnote 58.

[67] Non-applicable entry in the list of the Basel Convention: “B2050 Coal-fired power plant fly-ash, not included on list A (note the related entry on list A, A2060)”.

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 in List A, A4090)

B2130 Bituminous material (asphalt waste) from road construction and maintenance, not containing tar[68] (note the related entry in List A, A3200)

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

B3011[69] 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[70] in an environmentally sound manner and almost free from contamination and other types of wastes[71]:

- Plastic waste almost exclusively[72] 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
- Plastic waste almost exclusively[73] 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[74] consisting of one of the following fluorinated polymers[75]:
  - Perfluoroethylene/propylene (FEP)
  - Perfluoroalkoxy alkanes:
    - Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA)
    - Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA)
  - Polyvinylfluoride (PVF)
  - Polyvinylidenefluoride (PVDF)

[68] The concentration level of Benzo[a]pyrene should not be 50 mg/kg or more.

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

[70] 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.

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

[72] In relation to “almost exclusively”, international and national specifications may offer a point of reference.

[73] In relation to “almost exclusively”, international and national specifications may offer a point of reference.

[74] In relation to “almost exclusively”, international and national specifications may offer a point of reference.

[75] Post-consumer wastes are excluded.

- Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling[76] of each material and in an environmentally sound manner, and almost free from contamination and other types of wastes.[77]

GH013 391530 Polymers of vinyl chloride
ex 390410-40

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
  - i) laminated paperboard
  - ii) 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

[76] 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.

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

- 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 they are not infectious:

- Wine lees
- Dried and sterilised vegetable waste, residues and by-products, 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

GN010 ex 050200 Waste of pigs', hogs' or boars' bristles and hair or of badger hair and other brush making hair

GN020 ex 050300 Horsehair waste, whether or not put up as a layer with or without supporting material

GN030 ex 050590 Waste of skins and other parts of birds, with their feathers or down, of feathers and parts of feathers (whether or not with trimmed edges) and down, not further worked than cleaned, disinfected or treated for preservation

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 in List A, A3100)

B3100 Leather dust, ash, sludges or flours not containing hexavalent chromium compounds or biocides (note the related entry in List A, A3090)

B3110 Fellmongery wastes not containing hexavalent chromium compounds or biocides or infectious substances (note the related entry in 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 IV Part A 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 in List A, A4070)

B4020 Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives, not listed in List A, free of solvents and other contaminants to the 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 in List A, A3050)

Appendix 3: Classification of metallic waste regarding transboundary movements

(only available in German, French and Italian)

Appendix 4: Specimens of the notification form and the accompanying document

Notification document for transboundary movements/shipments of waste

1. Exporter - notifier Registration No:
Name:
Address:

Contact person:
Tel: Fax:
E-mail:

2. Importer - consignee Registration No:
Name:
Address:

Contact person:
Tel: Fax:
E-mail:

8. Intended carrier(s) Registration No:
Name *(7)*:
Address:

Contact person:
Tel: Fax:
E-mail:
Means of transport *(5)*:

9. Waste generator(s) - producer(s) *(1;7;8)*
Registration No:
Name:
Address:

Contact person:
Tel: Fax:
E-mail:
Site and process of generation*(6)*:

10. Disposal facility *(2)*: ☐ **or recovery facility** *(2)*: ☐
Registration No:
Name:
Address:

Contact person:
Tel: Fax:
E-mail:
Actual site of disposal/recovery:

3. Notification No:
Notification concerning
A. (i) Individual shipment: ☐ (ii) Multiple shipments: ☐
B. (i) Disposal *(1)*: ☐ (ii) Recovery: ☐
C. Pre-consented recovery facility *(2;3)* Yes ☐ No ☒

4. Total intended number of shipments:

5. Total intended quantity *(4)*:
Tonnes (Mg):
m^3:

6. Intended period of time for shipment(s) *(4)*:
First departure: Last departure:

7. Packaging type(s) *(5)*:
Special handling requirements *(6)*: Yes ☐ No: ☒

11. Disposal/recovery operation(s) *(2)*
D-code/R-code *(5)*:
Technology employed *(6)*:

Reason for export *(1;6)*:

12. Designation and composition of the waste *(6)*:

13. Physical characteristics *(5)*:

14. Waste identification *(fill in relevant codes)*
(i) Basel Annex VIII (or IX if applicable):
(ii) OECD code (if different from (i)):
(iii) EC list of wastes:
(iv) National code in country of export:
(v) National code in country of import:
(vi) Other (specify):
(vii) Y-code:
(viii) H-code *(5)*:
(ix) UN class *(5)*:
(x) UN number:
(xi) UN shipping name:
(xii) Customs code(s) (HS):

15. (a) Countries/states concerned, (b) code No of competent authorities where applicable, (c) specific points of exit or entry (border crossing or port)

State of export - dispatch	State(s) of transit (entry and exit)			State of import - destination
(a)				
(b)				
(c)				

16.Customs offices of entry and/or exit and/or export (European Community):
Entry: Exit: Export:

17. Exporter's - notifier's / generator's - producer's *(1)* **declaration:**
I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.
Exporter's - notifier's name: Date: Signature:
Generator's - producer's name: Date: Signature:

18. Number of annexes attached:

FOR USE BY COMPETENT AUTHORITIES

19. Acknowledgement from the relevant competent authority of countries of import - destination/transit *(1)* **/export - dispatch** *(9)*:
Country:
Notification received on:
Acknowledgement sent on:
Name of competent authority:
Stamp and/or signature:

20. Written consent *(1;8)* **to the movement provided by the competent authority of** (country):
Consent given on:
Consent valid from: until:
Specific conditions: No: ☐ If Yes, see block 21 *(6)*: ☐
Name of competent authority:
Stamp and/or signature:

21. Specific conditions on consenting to the movement document or reasons for objecting

(1) Required by the Basel Convention.
(2) In the case of an R12/R13 or D13-D15 operation, also attach corresponding information on any subsequent R12/R13 or D13-D15 facilities and on the subsequent R1-R11 or D1-D12 facility(ies) when required.
(3) To be completed for movements within the OECD area and only if B(i) applies.
(4) Attach detailed list if multiple shipments.
(5) See list of abbreviations and codes on the next page.
(6) Attach details if necessary.
(7) Attach list if more than one.
(8) If required by national legislation.
(9) If applicable under the OECD Decision.

List of abbreviations and codes used in the notification document

DISPOSAL OPERATIONS (block 11)

D1	Deposit into or onto land, (e.g., landfill, etc.)
D2	Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)
D3	Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)
D4	Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)
D5	Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)
D6	Release into a water body except seas/oceans
D7	Release into seas/oceans including sea-bed insertion
D8	Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list
D9	Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g., evaporation, drying, calcination, etc.)
D10	Incineration on land
D11	Incineration at sea
D12	Permanent storage, (e.g., emplacement of containers in a mine, etc.)
D13	Blending or mixing prior to submission to any of the operations in this list
D14	Repackaging prior to submission to any of the operations in this list
D15	Storage pending any of the operations in this list

RECOVERY OPERATIONS (block 11)

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

PACKAGING TYPES (block 7)

1. Drum
2. Wooden barrel
3. Jerrican
4. Box
5. Bag
6. Composite packaging
7. Pressure receptacle
8. Bulk
9. Other (specify)

MEANS OF TRANSPORT (block 8)

R = Road
T = Train/Rail
S = Sea
A = Air
W = Inland waterways

PHYSICAL CHARACTERISTICS (block 13)

1. Powdery/powder
2. Solid
3. Viscous/paste
4. Sludgy
5. Liquid
6. Gaseous
7. Other (specify)

H-CODE AND UN CLASS (block 14)

UN Class	H-Code	Characteristics
1	H1	Explosive
3	H3	Flammable liquids
4.1	H4.1	Flammable solids
4.2	H4.2	Substances or wastes liable to spontaneous combustion
4.3	H4.3	Substances or wastes which, in contact with water, emit flammable gases
5.1	H5.1	Oxidising
5.2	H5.2	Organic peroxides
6.1	H6.1	Poisonous (acute)
6.2	H6.2	Infectious substances
8	H8	Corrosives
9	H10	Liberation of toxic gases in contact with air or water
9	H11	Toxic (delayed or chronic)
9	H12	Ecotoxic
9	H13	Capable, by any means, after disposal of yielding another material, e. g., leachate, which possesses any of the characteristics listed above

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

Movement document for transboundary movements/shipments of waste

1. Corresponding to notification No:	**2. Serial/total number of shipments:** / null
3. Exporter - notifier Registration No: Name: Address: Contact person: Tel: Fax: E-mail:	**4. Importer - consignee** Registration No: Name: Address: Contact person: Tel: Fax: E-mail:
5. Actual quantity: Tonnes (Mg): m³:	**6. Actual date of shipment:**
7. Packaging Type(s) *(1)*: Number of packages: **Special handling requirements:** *(2)*: Yes: ☐ No: ☒	

8.(a) 1st Carrier *(3)*:	**8.(b) 2nd Carrier:**	**8.(c) Last Carrier:**
Registration No:	Registration No:	Registration No:
Name:	Name:	Name:
Address:	Address:	Address:
Tel:	Tel:	Tel:
Fax:	Fax:	Fax:
E-mail:	E-mail:	E-mail:
------- *To be completed by carrier's representative* -------		*More than 3 carriers (2)* ☐
Means of transport *(1)*:	Means of transport *(1)*:	Means of transport *(1)*:
Date of transfer:	Date of transfer:	Date of transfer:
Signature:	Signature:	Signature:

9. Waste generator(s) - producer(s) *(4;5;6)*: Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Site of generation *(2)*:	**12. Designation and composition of the waste** *(2)*:
	13. Physical characteristics *(1)*:
	14. Waste identification *(fill in relevant codes)* (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EC list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (1): (ix) UN class (1): (x) UN number: (xi) UN shipping name: (xii) Customs code(s) (HS):
10. Disposal facility ☐ **or recovery facility** ☐ Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Actual site of disposal/recovery *(2)*:	
11. Disposal/recovery operation(s) D-code/R-code *(1)*:	

15. Exporter's - notifier's/generator's - producer's *(4)* **declaration:**

I certify that the above information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into, that any applicable insurance or other financial guarantee is in force covering the transboundary movement and that all necessary consents have been received from the competent authorities of the countries concerned.

Name: Signature:

Date:

16. For use by any person involved in the transboundary movement in case additional information is required

17. Shipment received by importer - consignee (if not facility): Date: Name: Signature:

TO BE COMPLETED BY DISPOSAL/RECOVERY FACILITY

18. Shipment received at disposal facility ☐ **or recovery facility** ☐ Date of reception: Accepted: ☐ Rejected*: ☐ Quantity received: Tonnes (Mg): m³: *"immediately contact competent authorities Approximate date of disposal/recovery: Disposal/Recovery operation (1): Name: Date: Signature:	**19. I certify that the disposal/recovery of the waste described above has been completed** Name: Date: Signature and stamp:

(1) See list of abbreviations and codes on the next page.
(2) Attach details if necessary.
(3) If more than 3 carriers, attach information as required in blocks 8 (a,b,c).
(4) Required by the Basel Convention.
(5) Attach list if more than one.
(6) If required by national legislation.

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

List of abbreviations and codes used in the movement document

DISPOSAL OPERATIONS (block 11)

- D1 Deposit into or onto land, (e.g., landfill, etc.)
- D2 Land treatment (e.g. biodegradation of liquid or sludgy discards in soils, etc.)
- D3 Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)
- D4 Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)
- D5 Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment), etc.
- D6 Release into a water body except seas/oceans
- D7 Release into seas/oceans including sea-bed insertion
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- D10 Incineration on land
- D11 Incineration at sea
- D12 Permanent storage, (e.g., emplacement of containers in a mine, etc.)
- D13 Blending or mixing prior to submission to any of the operations in this list
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RECOVERY OPERATIONS (block 11)

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- R3 Recycling/reclamation of organic substances which are not used as solvents
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- R8 Recovery of components from catalysts
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6.1	H6.1	Poisonous (acute)
6.2	H6.2	Infectious substances
8	H8	Corrosives
9	H10	Liberation of toxic gases in contact with air or water
9	H11	Toxic (delayed or chronic)
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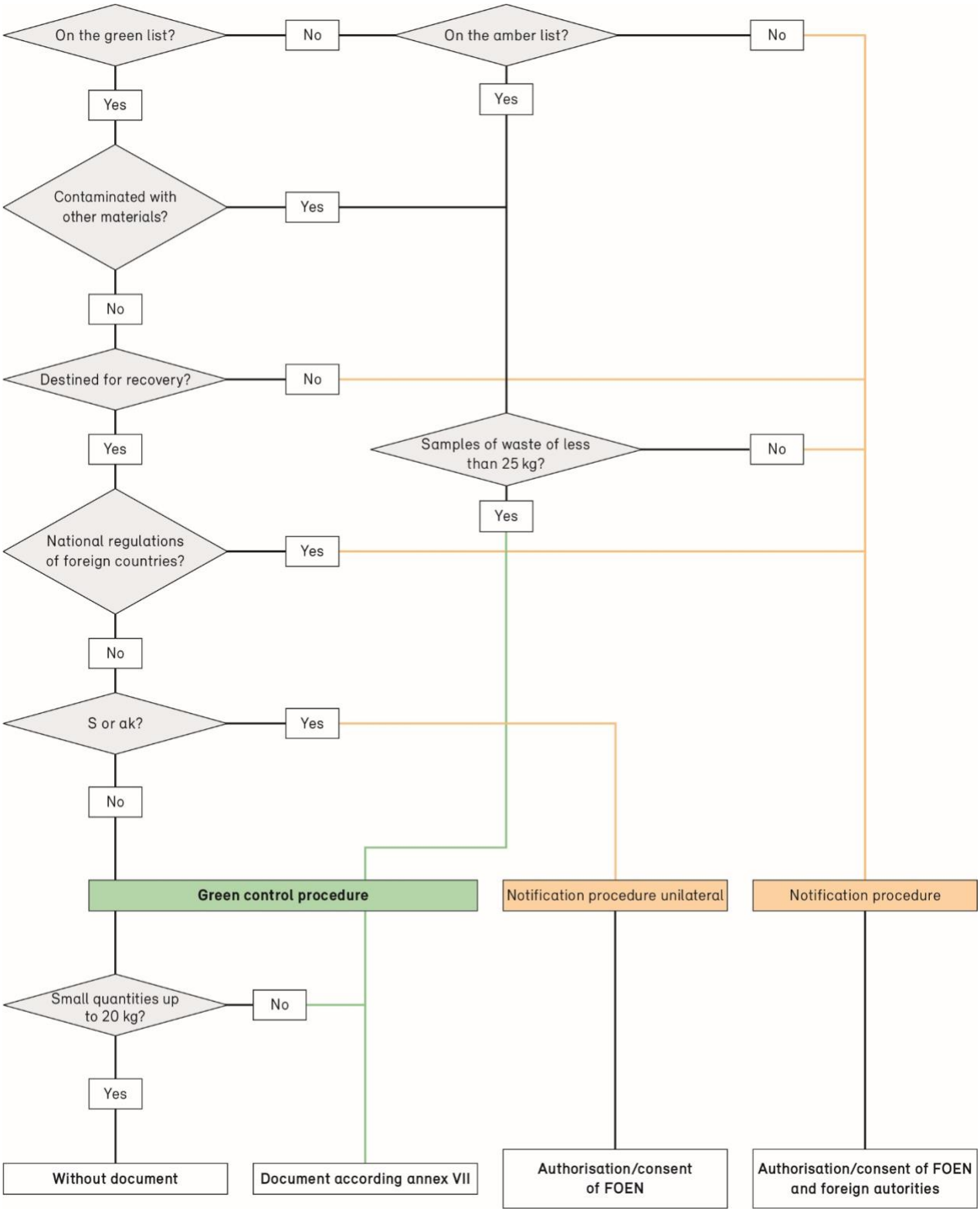
9	H13	Capable, by any means, after disposal of yielding another material, e. g., leachate, which possesses any of the characteristics listed above

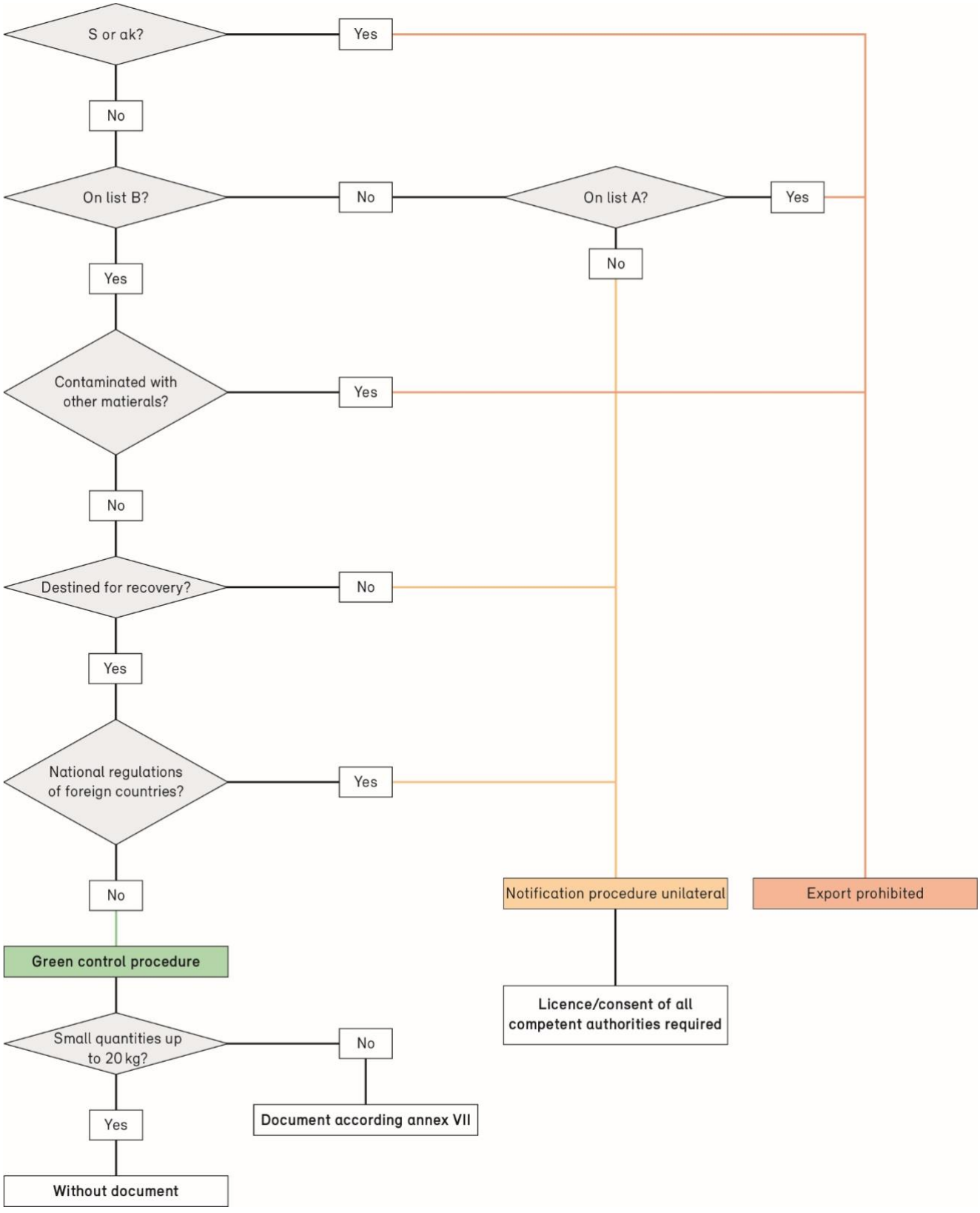
Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention.

Appendix 5: Decision tree

Decision tree for movements to member countries of the OECD or the EU.



Decision tree for movements to countries that are members of neither the OECD nor the EU.



Appendix 6: Check list for the application to export waste

1) Documents and evidence
❑ Completed and signed notification sheet including detailed information on how the waste was produced and the chemical composition of the waste ❑ Valid disposal contract ❑ Adequate financial guarantee ❑ Calculation of the guarantee sum ❑ Evidence that the waste will be treated in an environmentally sound manner by the recipient: (This evidence is only necessary when the FOEN is not acquainted with the facilities of the planned recipient and it has not yet been shown that the waste intended for export can be treated in an environmentally sound manner by the recipient) ❑ Copy of the operating permit or written confirmation from the competent authority in the receiving state which shows that the current environmental regulations will be adhered to. ❑ Documentation and technical reports about the facility and its operation: installation layouts, process flows, photo-documentation. ❑ Information on the disposal of residues from the waste recycling. ❑ Evidence that these residues will be treated in an environmentally sound manner, using up-to-date technology and in line with administrative requirements. ❑ OCRCS tax obligation ❑ Information about the proportion of exported waste that is deposited in landfills ❑ Name and address of the landfills and details of the type of landfill as described by the regulations of the importing state
2) Additional requirements for the EU
❑ A completed, unsigned accompanying document ❑ Details of means of transport and routes (including details of customs offices) ❑ Information relating to the registration of the waste transporters, including evidence of their personal liability and environmental liability insurance.
3) Number of copies
❑ Original for the importing state