



BASEL CONVENTION

**Guidance Document on
Improving National Reporting
by Parties to the Basel Convention**

**Committee for administering the Mechanism
for promoting implementation and compliance of the Basel Convention
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FOREWORD

The Basel Convention on the Control of Transboundary Movements of Hazardous and their Disposal (the Basel Convention) is the broadest and most significant international treaty on hazardous and other wastes. Its objectives are to regulate international trade in hazardous waste and other wastes, to minimise their generation and transboundary movement, and to ensure their environmentally sound disposal.

The Basel Convention was adopted in March 1989 and entered into force in May 1992. In order to enable monitoring of the implementation of the Basel Convention by its Parties and to present reports on this matter to the Conference of Parties on a regular basis, the Convention establishes a mechanism for Parties to inform each other, as provided for in Article 13 paragraph 3 of the Basel Convention. This provision states that Parties shall transmit, before the end of each calendar year, a report on the previous calendar year containing information as specified under 13(3)(a) to 13(3)(i). The focal point of the Basel Convention is responsible for receiving and submitting information as provided for in Articles 13 and 16.

National Reporting has been a major concern by Parties in fulfilling the obligations of the Basel Convention. During its eight meeting, the Conference of the Parties mandated the Committee for administering the mechanism for promoting implementation and compliance of the Convention (hereafter, the Committee) to further develop its understanding of national reporting issues with a view to providing guidance on how national reporting could be improved (Decision VIII/32). In fulfilling its mandate, the Committee decided to develop a *Guidance document on improving national reporting by Parties to the Basel Convention*. This document was approved by the Committee following its seventh session (25-26 June 2009).

This guidance document is primarily meant to be a practical guide for the national technical officials responsible for the collection of information for the preparation of the national reports that are to be submitted annually to the Secretariat of the Basel Convention. This document is expected to complement existing guidance documents such as the Manual on the Implementation of the Basel Convention, the Revised versions of the forms for the notification document and the movement document and related instructions, the Guide to the Control System, the Model National Legislation, the Check list for the Legislator, the Methodological Guide for Undertaking National Inventories under the Basel Convention, and the Manual: Questionnaire on “Transmission of Information”. All these documents can be accessed on the website of the Convention (<http://www.basel.int>).

Nothing in this document should be understood or interpreted as going against the text of the Convention and relevant decisions adopted by the Conference of the Parties. The Committee welcomes any comments by Parties on the content as well as their use of the guidance document. Parties are invited to send these comments to: sbc@unep.ch

This document has been produced by the Committee with the financial support of Sweden and of the United Kingdom of Great Britain and Northern Ireland. Its translation was made by the Basel Convention Regional and Coordinating Centres in China (Chinese), Egypt (Arabic), Russia (Russian), Senegal (French) and Uruguay (Spanish).

1.0 INTRODUCTION

The purpose of the guidance document is to provide a guide for countries that require assistance on Elements and means by which national reporting practices could be enhanced. The guidance addresses, among other things, mechanisms for coordination amongst relevant governmental and relevant private sector entities or associations, procedures for collection and exchange of information, data collection techniques, as well as technical and human resources necessary to optimize the preparation of the annual national reports.

The guidance document has been prepared pursuant to Article 13 paragraph 3 of the Basel Convention which states, *“The Parties consistent with national laws and regulations, shall transmit, through the Secretariat, to the Conference of the Parties established under Article 15, before the end of each calendar year, a report on the previous calendar year, containing the following information:*

- (a) Competent authorities and focal points that have been designated by them pursuant to Article 5;*
- (b) Information regarding transboundary movements of hazardous wastes or other wastes in which they have been involved, including:
 - (i) The amount of hazardous wastes and other wastes exported, their category, characteristics, destination, any transit country and disposal method as stated on the response to notification;*
 - (ii) The amount of hazardous wastes and other wastes imported, their category, characteristics, origin, and disposal methods;*
 - (iii) Disposals which did not proceed as intended;*
 - (iv) Efforts to achieve a reduction of the amount of hazardous wastes or other wastes subject to transboundary movement;**
- (c) Information on the measures adopted by them in implementation of this Convention;*
- (d) Information on available qualified statistics which have been compiled by them on the effects on human health and the environment of the generation, transportation and disposal of hazardous wastes or other wastes;*
- (e) Information concerning bilateral, multilateral and regional agreements and arrangements entered into pursuant to Article 11 of this Convention;*
- (f) Information on accidents occurring during the transboundary movement and disposal of hazardous wastes and other wastes and on the measures undertaken to deal with them;*
- (g) Information on disposal options operated within the area of their national jurisdiction;*
- (h) Information on measures undertaken for development of technologies for the reduction and/or elimination of production of hazardous wastes and other wastes; and*

(i) Such other matters as the Conference of the Parties shall deem relevant”.

However, a number of countries are having difficulties in submitting information on hazardous waste management to the Secretariat pursuant to Article 13 paragraph 3 of the Convention. Some of the difficulties encountered are listed below:

(a) Complexity of the Basel Convention

There are a number of countries that find the complexity of reporting requirements a tremendous challenge. This challenge is made more complex due to lack of hands on guidance to aid countries in the processing, collecting and reporting of data (Inventory Undertaking).

(b) Lack of strategies to deal with hazardous waste

Some Parties lack strategies aimed at controlling hazardous waste within the country. This includes lack of institutional arrangements in terms of established Focal Point and Competent Authority(ies) as well as the absence of legal provisions to strengthen the institutional set up. This lack of strategies translates into lack of defined short term and long term objectives for dealing with hazardous waste at the national level.

(c) Lack of coordination and fragmentation of roles

Within the same country, there is lack of coordination and fragmentation of efforts among government departments as well as between the central government authority and those in the periphery at district or provincial levels. Coordination mechanisms have not been established which often leads to duplication of roles among relevant government departments. This is particular noticeable in countries where there is more than one competent authority or where there are several institutions dealing with the implementation of the Convention. In some instances the roles of a focal point and competent authorities are not clearly defined resulting in duplication of roles and/or more fragmentation. In addition, procedures for collection of information on hazardous waste as well as for exchange of information among relevant entities are usually not put in place.

(d) Lack of resources and knowledge in Conducting an Inventory

The lack of established mechanisms for collection and exchange of information arises partly due to lack of training in data collection techniques and lack of technical and human resources necessary to optimize the preparation of national reports. The lack of access to adequate funding and information technology for monitoring illegal traffic and for developing inventories and databases limits the ability of Parties to fulfil their obligations with respect to preventing illegal traffic, to responding to emergencies and to national reporting. Parties also seem to be in need of assistance in undertaking inspection and enforcement activities for import and export of hazardous wastes as well as monitoring illegal movements of hazardous wastes. Authorities charged with the responsibility of implementing the Convention are not aware of available sources of technical expertise within the country or at the regional level. The lack of training of many other associated agencies such as the judiciary and customs officials as well as a lack of coordination is noticeable in situations where the Movement documents cannot be reconciled with Notification Forms in terms of weight or waste types.

(e) Waste types to be reported

There is lack of knowledge in some cases with regard to which waste types are controlled by the Basel Convention. This usually emanates from a lack of a national definition of hazardous waste.

(f) Export policy

There seems to be much more emphasis placed on restricting the import of hazardous waste than on controlling the export of hazardous waste from Parties to other countries. The absence of a balanced approach, between export and import of hazardous waste, to information processing and reporting policies and practices for exports and imports of hazardous waste can hinder the objective of limiting transboundary movements.

(g) Harmonisation with the World Customs Organisation Codes

There is little or no coordination between the Customs officials and other officials involved in waste monitoring. The Customs officials may be more concerned with revenue collection for the Government than the control of hazardous wastes transboundary movements.

2.0 NATIONAL STRATEGY FOR INFORMATION GATHERING

The following Elements will prove useful in establishing a mechanism for gathering information for national reporting under the Basel Convention:

Element 1 Designate Focal Point

The Basel Convention defines Focal Point as “an entity of a Party responsible for receiving and submitting information as provided for in Articles 13 and 16” (Article 2.7).

A Focal Point may be a policy making institution such as the ministry responsible for environment or commerce and industry.

Focal points can play a major coordination role through:

- helping to influence policy on hazardous waste management;
- facilitating coordination across a range of sector activities related to or involving the handling of hazardous waste;
- informing, mobilising and engaging a wide range of stakeholders on hazardous waste management.

A Party to the Convention may designate *only* one Focal Point.

Policy strategies to deal with hazardous waste

- Designate Focal Point
- Designate Competent Authority
- Develop policy on waste
- Develop legislation on hazardous waste
- Provide a national definition of waste and hazardous waste
- Develop strategy on waste

Element 2 Designate Competent Authority(ies)

The Basel Convention defines Competent Authority “as a governmental authority designated by a party to be responsible, within such geographical areas as the Party may think fit, for receiving the notification of a transboundary movement of hazardous wastes or other wastes, and any information related to it, and for responding to such a notification” (Article 2.6).

A Competent Authority may be an agency or authority responsible for environmental protection and pollution control. A Competent Authority is charged with the responsibility of controlling the generation, storage, transportation, disposal and transboundary movement of hazardous wastes.

In some instances, more than one Competent Authority could be designated depending on the area of responsibility and nature of activities. However, only one competent authority shall be designated to receive the notification in case of a State of transit.

Element 3 Designate a department within the Competent Authority to deal with hazardous waste management

For the sake of accountability and smooth running of operations, a department/section or unit should be designated with appropriately qualified personnel.

Element 4 Identify sources of technical assistance

It is necessary at an early stage to identify and keep a register of institutions within the country or outside that may be contacted for technical assistance and technology transfer. These institutions, which might include Basel Convention Regional Centres, governmental institutions, universities,

research centres, and industry, will be valuable in providing training, technical and scientific know-how as well as advice and expertise in such areas as:

- handling of the notification system of this Convention;
- development of technical guidelines for the management of hazardous wastes
- providing expertise through technical working groups
- management of hazardous wastes and other wastes;
- environmentally sound technologies relating to hazardous wastes and other wastes such as low and non-waste technology;
- assessment of disposal capabilities and sites;
- monitoring of hazardous wastes and other wastes;
- emergency responses; and
- assistance in identifying cases of illegal traffic.

Element 5 Identify sources of financial assistance

Much of the work related to developing a strategy for managing hazardous wastes and controlling transboundary movement of hazardous waste will require funding for training, research, developing legislation and undertaking inspections and compliance monitoring. It is therefore important that potential sources of funding are identified within and outside the country.

Operational strategies to deal with hazardous waste

- Designate department within Competent Authority to deal with hazardous waste management
- Identify sources of financial and technical assistance (local and international)
- Carry out inventory of hazardous waste in the country
- Undertake awareness raising activities
- Develop strategies for permitting

Element 6 Develop proposals for funding

In order to access funding from identified institutions for financial assistance, it is important that proposals are developed for submission to different institutions. The identified institutions of technical assistance can help with the elaboration of these proposals.

Element 7 Provide a national definition of waste and hazardous waste

The national legislation adopted by a Party to implement the Basel Convention (see Element 11) should include a definition of waste and hazardous waste for the purpose of the Basel Convention. This national definition may go beyond the definition provided by the Basel Convention.

Element 8 Carry out an inventory of hazardous waste and other wastes

An inventory of hazardous waste should cover generators, disposal sites and all handlers of hazardous waste. The procedure to conduct an inventory should be done in accordance with the Basel Convention guidance document on conducting an inventory, “*Methodological Guide for Undertaking National Inventories under the Basel Convention*”. This Element provides the status of the hazardous waste management in the country, quantities and efforts being put in place to manage and/or reduce the generation of hazardous waste by industry. Updating of this inventory must be established periodically. This Element should precede the development of legislation and any policy on waste.

Element 9 Identify wastes to be controlled

Identify all categories of wastes and associated characteristics for the purpose of controlling their generation, handling and disposal. Technical assistance from both local and international cooperating partners may be required to do this. Procedures for seeking technical assistance should be done in accordance with local procedures with government departments responsible for international cooperation.

This list of wastes to be controlled may include additional hazardous wastes that are not included in Article 1(1) a of the Convention and identified in Annexes I, VIII and IX of the Convention but that would be controlled for the purpose of transboundary movements pursuant to Article 1(1) b, or any wastes that require special consideration when subjected to transboundary movement.

Element 10 Develop a policy on waste management

This will be a policy document on waste detailing government's declaration of its commitment to achieve acceptable performance in waste management. This policy should serve as the foundation for developing legislation and a strategy on hazardous wastes and provide a unifying vision for different sectors dealing with waste management. This policy might be part of an overall policy on environment for the entire country/state or a stand-alone policy on waste.

In many countries local authorities are responsible for handling municipal waste under separate legislation. Owing to the limited capacity of the local authorities to handle hazardous waste, separate policies, strategies and legislation may be developed exclusively to handle hazardous waste making the national level authorities responsible to ensure environmentally sound hazardous waste management in the country in collaboration with all stakeholders. This policy can be linked to the other waste management policies at local authority level as appropriate based on the country's situation.

Element 11 Develop legislation to implement the policy

The above policy on waste (that includes hazardous waste) will be effectively implemented by the development of legislation for the control of hazardous waste. This piece of legislation should meet or exceed the requirements of the Basel Convention (on this topic, see also the Model National Legislation, and the Check list for the Legislator).

Legislation should provide:

- a. Designation of Focal Point and Competent Authority(ies); adequate regulatory authority shall be bestowed on the Competent Authority to collect data and conduct regular and random inspections of sites, cargo or any means of conveyance to ensure compliance.
- b. Registering and/or permitting for generation, storage, transport, pre-treatment and treatment, disposal, import and export of hazardous waste.
- c. Development of a national information system for hazardous waste;
- d. Requirement that licensed facilities report to the competent authority in case of any accidental discharges or spills;
- e. Procedures for issuing of permits;
- f. Whether there are restrictions on import, export or transit of hazardous waste;

Identifying illegal traffic

- Establish border controls
- Develop MoUs with Customs or trade and industry department
- Monitor import and export statistics
- Develop profiles of illegal traffic

- g. Acceptable, environmentally sound disposal methods in accordance with Annexes 4A and 4B of the Convention.
- h. Procedures for tracking the domestic movement of hazardous waste.
- i. Notification and movement document forms for the control of hazardous wastes and other wastes.

Element 12 Develop a strategy on waste management

The national strategy on waste management will propose integrated approaches for addressing problems arising from poor waste management. The strategy should be developed through a multi-stakeholder approach to ensure that various concerns on waste management are brought to the fore. A national steering committee (as indicated in section 3.0) to oversee and coordinate the development of the strategy might prove to be useful.

Development of the strategy might evolve through the formation of technical working groups to consider issues such as legislation, development of technical guidelines for particular waste streams, writing proposals for funding, identification of illegal traffic, etc.

The strategy on waste management will detail several action plans required for the environmentally sound management of waste for different stakeholder institutions. One of these action plans will be to monitor progress and disseminate accurate information on best practices and lessons learnt. This can be achieved through an up-to-date Waste Information System, including awareness of the codes of the Harmonized Systems of the World Customs Organisation.

Element 13 Develop a register of generators and handlers of hazardous waste

Develop a register of generators and handlers of hazardous wastes for the purpose of controlling through permitting for generation, storage, transportation, pre-treatment and treatment, disposal, import and export of hazardous waste. The generation, storage, transportation, pre-treatment and treatment, transboundary movement of hazardous waste as well as operation of a landfill site for hazardous waste should only be carried out with the permission of the Competent Authority.

Element 14 Undertake awareness raising activities

In order to raise the profile of hazardous waste management and prepare entities for licensing/permitting, it is important that activities aimed at increasing the level of awareness be carried out.

Explore and develop low to medium cost but effective tools for carrying out public awareness and education; some of the tools that may be used include:

- mass education activities that will include articles in newspapers, radio programmes, news releases
- guest lecturers for schools, clubs, interest groups, NGOs and public events
- neighbourhood committees
- establishment of a role for the judiciary as well as of a programme of training activities for the judiciary
- information documents such as newsletters, fact sheets, flyers, posters, briefing papers

- make use of events such as press conferences, educational events, public information gatherings
- community involvement projects such as ecological enhancement pilot projects, women/youth pilot groups
- audio-visual aids.

Element 15 Establish procedures for licensing

Develop procedures for permitting the generation, transportation, pre-treatment and treatment, disposal, import and export of hazardous waste. Examples of such procedures are given in Appendices 3A-3E.

Element 16 Establish procedures for tracking the movement of hazardous wastes

Develop and establish procedures for tracking the domestic and transboundary movement of hazardous waste by way of *Notification Forms* and *Movement Forms*. Ensure that the Movement documents are periodically reconciled with the Notification Forms in terms of weight or waste types.

Element 17 Establish border controls

With the help of a Memorandum of Understanding (MoU) with the Customs Department, establish border controls to monitor transboundary movement of hazardous wastes. The MoU should include:

1. Technical assistance to train customs officials to identify the nature of wastes and cases of illegal traffic.
2. Development of laboratory capacity,
3. Use of the World Customs Organisation harmonised systems.

Methods of capturing and keeping records

- Returns from licensed generators and handlers of hazardous waste
- Movement and notification documents
- Import and export data
- Periodic monitoring
- Waste information system

Element 18 Establish data collection techniques

Collecting data for national reporting should ideally be based on national legislation and may include the following:

- establishing a permit system for generators and handlers of hazardous waste and compelling them through permit conditions to develop and maintain records of types, characteristics and quantities of waste as well as treatment and disposal methods.
- manifests for tracking the movement of hazardous waste;
- a Waste Information System (WIS);
- reviewing import and export statistics within departments responsible for trade and industry and customs and excise;
- developing procedures to detect illegal traffic, contaminated waste and recyclables. This can be done remotely without the need for physical inspections, by way of flagging perceived illegal traffic. Perceived case of illegal traffic could be followed up later with further investigations, including physical inspections. The following scenarios may provide information on illegal traffic:
 - monitoring of waste (not necessarily hazardous) import and export statistics. Analysis of this type of data should yield patterns of normal trade. Any anomalies or deviations from established patterns of normal trade may point to areas for further investigation. Potential sources for this data may include the departments dealing with trade and industry as well as the customs and excise.
 - developing profiles of illegal activity based on confirmed illegal shipments. Gathering data on confirmed illegal shipments will allow the Competent Authority to understand

ways in which illegal trafficking of waste takes place so that resources for further investigation can be channelled more effectively.

- gathering of data, by the Competent Authority, related to previous illegal/problem shipments by undertaking an ongoing monitoring programme regarding exporters, carriers and disposers who have histories of irregular or problematic shipments.

Element 19 Establish procedures for collecting information from licensed entities

Establish procedures compelling licensed entities to submit performance returns to the Competent Authority at defined intervals regarding the amount of waste generated, transported, treated, exported or disposed of. These records shall then be submitted to the Competent Authority at pre-defined intervals of monthly, quarterly, bi-annually or yearly (See example in Appendix 5).

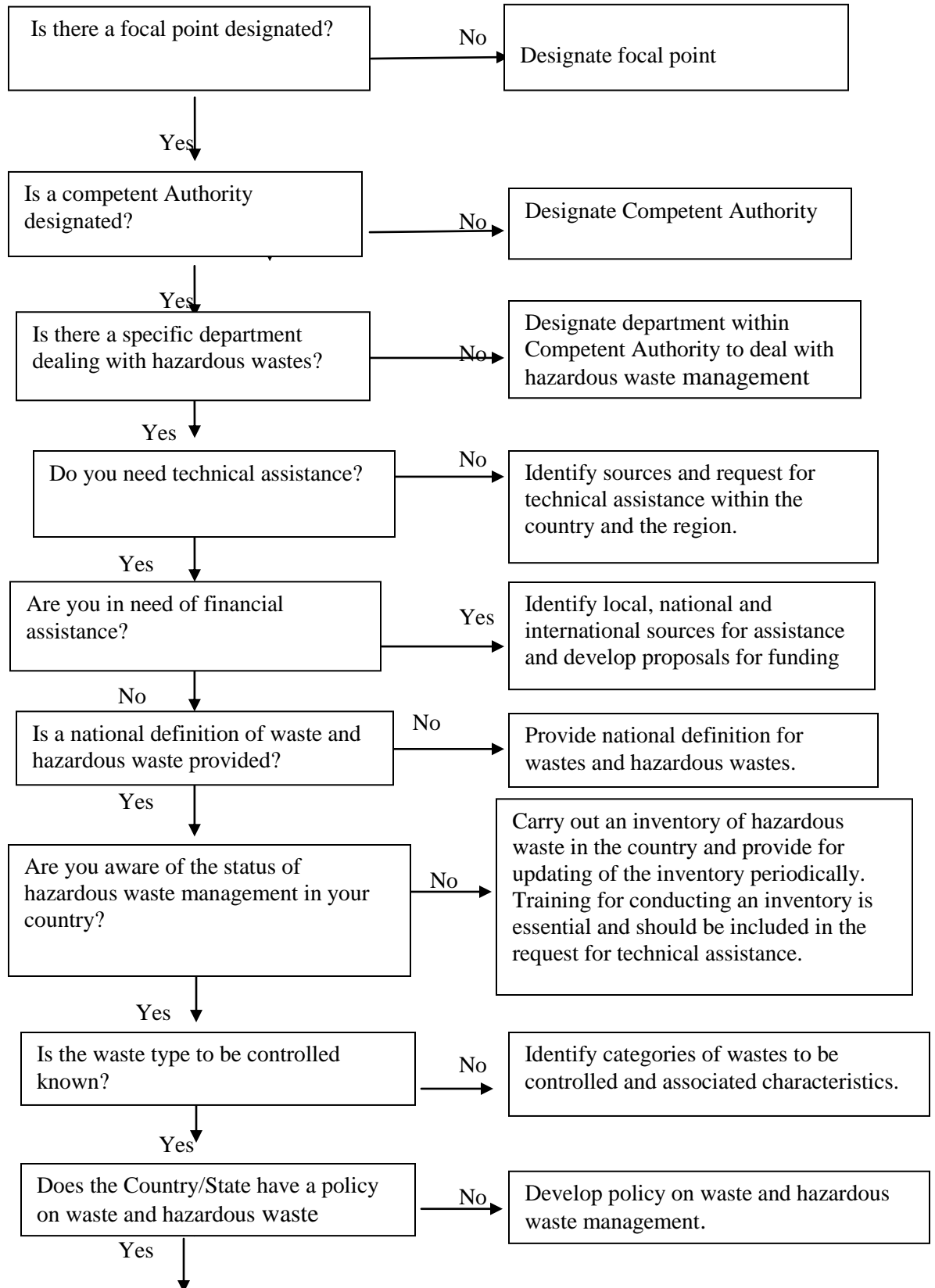
Element 20 Develop national information system for hazardous waste

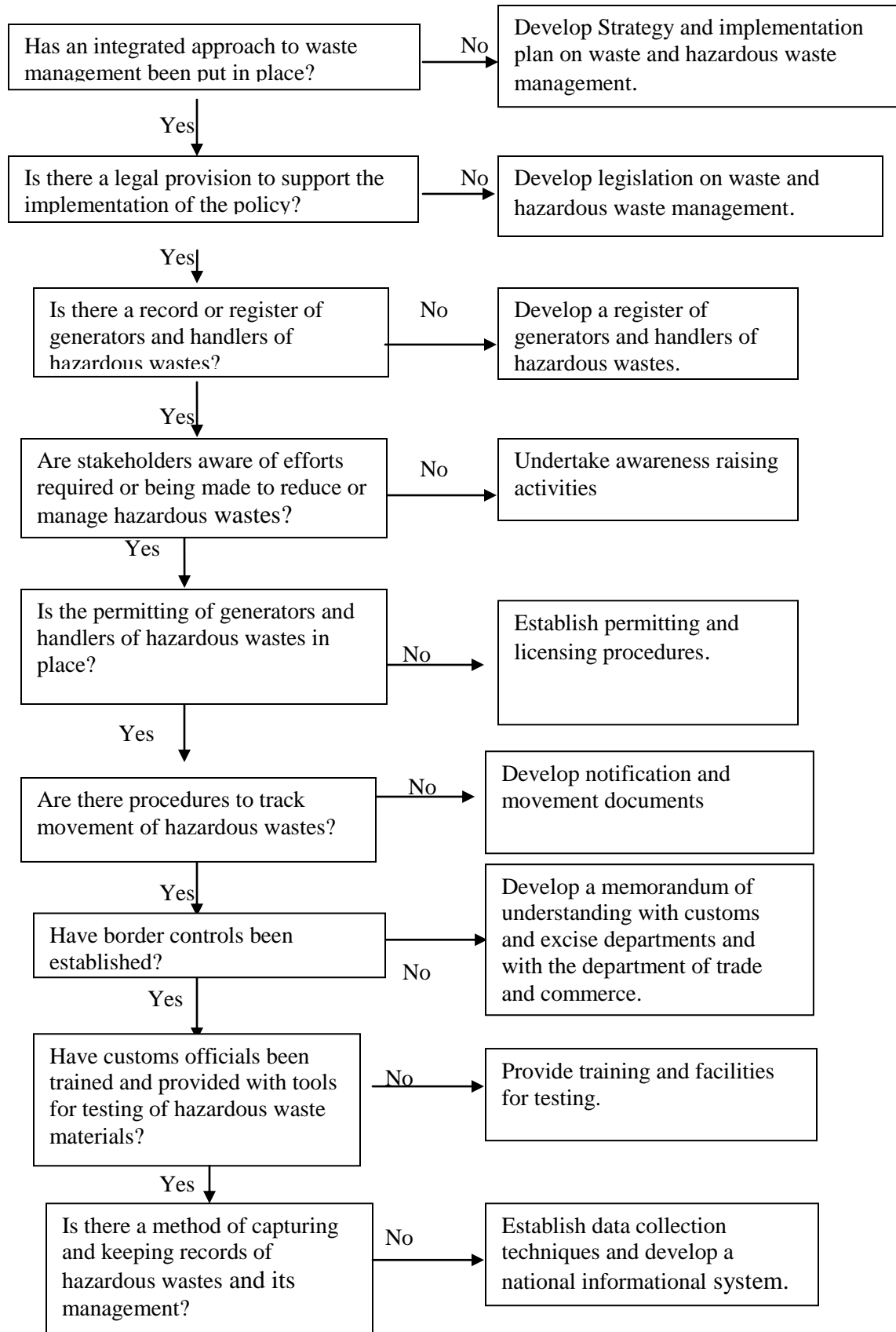
Building on the register of hazardous waste, develop a Waste Information System (WIS) that is coordinated with the Basel Convention notification data; this may take the form of a database. Development of a WIS may evolve through data collection, quality control and verification, data processing and dissemination phases. The Waste Information System (WIS) database may contain the information indicated in Appendix 4.

Element 21 Develop procedure for transmission of Information

Use the manual with a questionnaire that guides the procedure for transmission of information known as *Manual: Questionnaire on “Transmission of Information”*.

2.1 Checklist for Developing a Strategy for National Reporting





3.0 COORDINATION MECHANISMS

Different institutions such as the focal point and competent authority, civil society organizations and the private sector can play critical coordination roles to improve national reporting pursuant to the requirements of the Basel Convention. Coordination is critical to avoid the pitfalls of fragmenting government efforts and/or duplicating roles.

For the purpose of reporting, coordination at national level will be achieved through the following linkages:

- sectoral coordination (inter-ministerial and inter-agency) with Convention Focal Point;
- outreach to other national stakeholders such as civil society organizations, academic/scientific institutions, and the private sector;
- linkages with other relevant international cooperation agencies.

Coordination mechanism models may vary from country to country depending on the political and institutional frameworks. However, the following Elements might prove useful:

Element 1 Identify and develop a list of stakeholders

As a start towards establishing coordination mechanisms, identify all stakeholders such as civil society organizations, academic/scientific institutions, and the private sector.

Element 2 Establish a National Coordinating/Steering Committee

A National Coordinating/Steering Committee may be composed of government (line ministries, agencies) civil society, private sector and international cooperating agencies. Coordinating through this way is particularly more helpful in situations where the designation and roles of Competent Authorities and Focal Points is problematic as well as when there is more than one Competent Authority and conflicting interests arise. Additionally, this arrangement has an advantage of providing sectoral expertise and continuity.

The terms of reference of the Committee may include the following:

- overseeing the implementation of the Convention,
- coordinating the technical working groups,
- defining roles of Focal Point and Competent Authority(ies),
- compliance monitoring,
- staffing and training,
- organising funding,
- development Waste Information Systems, and
- resolving conflicts arising from fragmentation of and duplication government efforts.

To be successful, this arrangement will require committed leadership by informed and dynamic individuals, broad participation by national stakeholders including the private sector and civil society, clearly defined roles for Committee members who will be expected to be well informed

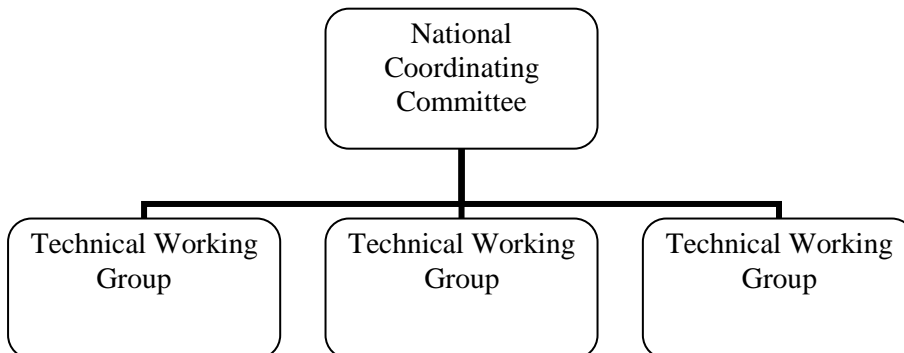
Lack of coordination and fragmentation of roles

- Identify all stakeholders
- Establish a National Coordinating/Steering Committee
- Establish Technical Working Groups
- Enter into memoranda of understanding with other institutions
- Put in place information exchange mechanisms

and up-to-date with regards to the national legislation controlling hazardous waste and the Basel Convention policies and procedures.

Element 3 Establish Technical Working Groups

Under the National Coordinating/Steering Committee, there can be a number of Technical Working Groups for particular hazardous waste streams or concerns such as illegal traffic, inspections and compliance monitoring, legislation, training, etc. Each group will preferably be made up of members from different institutions or sectors to complement experience and expertise.



Element 4 Develop memoranda of understanding with relevant institutions

Entering into memorandum of understanding between the Competent Authority and/or the Focal Point on one hand and institutions such as academia, departments of trade and industry, customs and excise, associations of commerce and industry, on the other, will consolidate sectoral and institutional linkages and help in the release and compilation of data on hazardous waste.

Such memoranda of understanding with the customs and excise department may be critical in the establishment of border control for monitoring the export, import or transit of hazardous wastes and other wastes.

Element 5 Establish information exchange mechanisms

In order to increase awareness and appreciation of the Basel Convention, its mandate and activities as well as encourage greater local, sectoral, and national involvement in national reporting there is a need to establish mechanisms for facilitating information exchange. This will in the long run avoid duplication of roles, improve the quality of decisions made, and foster a shared commitment to national reporting on hazardous waste management.

Information exchange mechanisms may include:

- establishing a channel through which all information can be distributed; this can preferably be through a National Steering Committee. This is particularly important in situations where there is more than one Competent Authority or where there are several institutions controlling the transboundary movement of hazardous waste,
- providing effective links among stakeholders of the Committee through e-mail,
- regular updates *through* the National Steering Committee using a website, fliers, magazines or brochures, and
- regular meetings of the National Steering Committee or Technical Working Groups.

4.0 CONCLUSION

The National reporting mechanism discussed in this document hinges on sound coordination mechanisms, a known competent authority with adequate support and a focal point playing a role in policy setting and direction. A focal point can also play a role in facilitating funding for the coordination and data collection.

A legal provision which defines and classifies wastes is a key component in designing a national reporting strategy that will assist national officers to complete the National Reports.

It is important that this Guidance Document is used with a full understanding of the Basel Convention and associated guidance documents produced under the Convention, and that the references mentioned in this manual are utilized as well.

REFERENCE DOCUMENTS

1. Basel Convention for the Control of Transboundary Movement of Hazardous Wastes and Their Disposal
2. Manual: Questionnaire on “Transmission of Information”
3. Revised versions of the forms for the notification document and the movement document and related instructions adopted at COP8
4. Guide to the Control System (Instruction Manual)
5. Manual for the Implementation of the Basel Convention
6. Model National Legislation,
7. Checklist for the Legislator
8. World Customs Organisation Codes for Harmonised Systems
9. Methodological Guide For The Undertaking Of National Inventories Of Hazardous Wastes Within The Framework Of The Basel Convention, First Version

APPENDICES

Appendix 1 - Glossary of Terms

The Glossary of Terms has been prepared as terms appear in the guidance document.

Competent Authority: A governmental authority designated by a party to be responsible, within such geographical areas as the Party may think fit, for receiving the notification of a transboundary movement of hazardous wastes or other wastes, and any information related to it, and for responding to such a notification (Article 2.6 of the Convention).

Focal Point: an entity of a Party responsible for receiving and submitting information as provided for in articles 13 and 16 (Article 2.7 of the Convention).

Waste: Article 2, Paragraph 1 of Basel Convention defines Wastes as “substances or objects which are disposed of or are intended to be disposed of or are required to be disposed of by the provisions of national law”.

Controlled Waste: Wastes controlled in a Party in the context of transboundary movement of waste. Different wastes are controlled in different countries for different purposes (Article 1 of the Convention).

- a. Under the Basel Convention the following wastes, subject to a transboundary movement, are defined as hazardous wastes if:
 - the wastes belong to any category (Y1-Y45) contained in Annex I of the Convention;
 - and exhibit one or more of the characteristics (H1-H13) contained in Annex III of the Convention.Annexes VIII and IX of the Convention further define what “hazardous wastes” are.
- b. Wastes that are not covered under subparagraph (a) above but are defined as or are considered to be hazardous wastes by the domestic legislation of the Party of export, import or transit shall be controlled under the terms of the Convention;
- c. For the purpose of the Convention, wastes that belong to any of the two categories Y46 and Y47 of Annex II to the Convention, subject to a transboundary movement, are defined as "other wastes" and will be controlled by the Convention.

The Harmonized Commodity Description and Coding Systems generally referred to as "Harmonized System" or simply "HS" is a multipurpose international product nomenclature developed by the World Customs Organization (WCO). It comprises about 5,000 commodity groups; each identified by a six digit code, arranged in a legal and logical structure and is supported by well-defined rules to achieve uniform classification. The system is used by more than 200 countries and economies as a basis for their Customs tariffs and for the collection of international trade statistics. Over 98 % of the merchandise in international trade is classified in terms of the HS. The HS contributes to the harmonization of Customs and trade procedures, and the non-documentary trade data interchange in connection with such procedures, thus reducing the costs related to international trade. It is also extensively used by governments, international organizations and the private sector for many other purposes such as internal taxes, trade policies, monitoring of controlled goods, rules of origin, freight tariffs, transport statistics, price monitoring, quota controls, compilation of national accounts, and economic research and analysis. The HS is thus a universal economic language and code for goods, and an indispensable tool for international trade

Hazardous Waste: Article 1, Para 1(a) of the Basel Convention defines hazardous wastes as Wastes that belong to any category contained in Annex I of the Convention, unless they do not possess any of the characteristics contained in Annex III. Annexes VIII and IX of the Convention further define if a waste is “hazardous” or not.

Export Restrictions: Any restriction on export of hazardous waste stated in the local legislation or policies.

Import Restrictions: Any restrictions or ban on the importation of hazardous waste for any purpose.

Transit Restrictions: Any restrictions on the transit of hazardous wastes from one country to another through your country.

Language: The acceptable language(s) for a state of import/transit to receive the Notification and Movement document forms.

Designated Border Control: A border point that is designated for through traffic of hazardous wastes.

Technical Assistance: Local institutions such as Chambers of Commerce, Universities, capable of providing technical informational support.

Y Code: Refers to the categories of waste in Annexes I and II of the Convention.

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

H Code Hazard criteria: Annex III to the Convention lists the hazardous characteristics which wastes included in Annex I may exhibit. There are 13 classes of hazardous characteristics numbered H1 to H13.

D Code: Methods of disposal as included in Annex IV of the Convention which do not lead to possibility of resource recovery, recycling, reclamation, direct re-use or alternative uses.

R Code: Methods of disposal as included in Annex IV of the Convention which may lead to resource recovery, recycling, reclamation, direct re-use or alternative uses.

Notification: A document used to transmit, to the competent authorities of the States concerned, all the required information concerning any proposed transboundary movement of hazardous wastes and other wastes. The notification shall include all the information referred to in Annex VA of the Convention.

Movement document:

A document required to accompany the hazardous wastes or other wastes from the point at which a transboundary movement commences to the point of disposal. Each person who takes charge of a transboundary movement of hazardous wastes and other wastes must sign the movement document. The movement document shall include all the information referred to in Annex VB of the Convention.

Appendix 2: Waste types to be reported

According to Article 1 of the Convention, the following wastes that are subject to transboundary movement **are covered** by the Convention:

1. Wastes referred to as "*hazardous wastes*" for the purposes of this Convention:
 - Article 1.1 (a): wastes that belong to any category contained in Annex I of the Convention (Y1-Y45), unless they do not possess any of the characteristics contained in Annex III of the Convention (H1-H13); Annexes VIII and IX of the Convention further define "hazardous wastes".
 - Art. 1.1 (b): wastes other than those referred to above which are defined as, or are considered to be, hazardous wastes by the national legislation of the Party of export, import or transit (; and
2. Art. 1.2: Wastes that belong to any category contained in Annex II, referred to as "*other wastes*" for the purposes of this Convention.

The following wastes are **excluded** from the scope of the Basel Convention:

1. Art. 1.3: wastes which, as a result of being radioactive, are subject to other international control systems, including international instruments, applying specifically to radioactive materials; and
2. Art. 1.4: wastes which derive from the normal operations of a ship, the discharge of which is covered by another international instrument

Appendix 3A: Information Required For Licensing Of Generation or Storage of Hazardous Waste

1. Name and address of applicant
2. Profile of applicant
 - a. Line of business
 - b. Qualification of the technical personnel handling hazardous waste
 - c. Information on the assessment of the suitability of the facility to generate or store hazardous waste
3. Description of process generating hazardous waste
4. Types and quantities of waste generated
5. Characteristics of the hazardous waste generated
6. Details on handling and storage
 - a. Reasons for storage
 - b. Quantities stored
 - c. Type of storage
 - d. Type of packaging materials
 - e. Place of storage
 - f. Maximum period of storage
 - g. Arrangements for security and emergency plans
7. Plans for reducing the generation of hazardous waste over a period of time
8. Re-use and recycling options
9. Method(s) of disposal
10. Location of disposal

Source: Adapted from the Application form for licensing of the Environmental Council of Zambia

Appendix 3B: Information Required For Licensing Of Transportation of Hazardous Waste

1. Name and address of applicant
2. Mode of transport
3. Facilities available and suitability on mode of transport
4. Details of the hazardous waste to be transported
 - a. Types and quantities of hazardous waste
 - b. Type of packaging material
5. Source of the hazardous waste
6. Final destination of the hazardous waste
7. Route to be used
8. Time of transportation
9. Type of labelling on containers and vehicles
10. Insurance cover
11. Details relating to security in transit

Source: Adapted from the Application form for licensing of the Environmental Council of Zambia

Appendix: 3C Information Required For Licensing Of Pre-Treatment And Treatment Of Hazardous Waste

1. Name and address of applicant

2. Description of facility(ies)
 - a. Capacity
 - b. Estimated life-span
 - c. Site plan and layout
3. Location of the facility(ies)
4. Source(s) of hazardous waste
5. Pre-treatment or treatment methods to be used
6. Estimated types and volumes of hazardous waste to be pre-treated or treated
7. Products and/or by-products
8. Method(s) of monitoring for contamination of the environment
9. Site of final disposal
10. Type of insurance cover
11. Arrangements for security and emergency plans

Source: Adapted from the Application form for licensing of the Environmental Council of Zambia

Appendix 3D: Information Required For Licensing Of Operation Of Final Hazardous Waste Disposal Site

1. Name and address of applicant
2. Description of site(s) or facility(ies)
 - d. Capacity
 - e. Estimated life-span
 - f. Site plan and layout
3. Location of the site(s) or facility(ies)
4. Method(s) of disposal
5. Details on types and quantities of hazardous wastes to be disposed of
6. Method of environmental monitoring to be done
7. Type of insurance cover
8. Arrangements for security and emergency plans
9. Post closure monitoring plan

Source: Adapted from the Application form for licensing of the Environmental Council of Zambia

Appendix 3E: Information Required For Licensing Of Export of Hazardous Waste

1. Name and address of applicant
2. Reason for export of hazardous waste
3. Name of exporter
4. Generator(s) of hazardous waste and site of generation
5. Name of operator of disposal site/facility and actual site of disposal
6. Intended carrier(s) of the waste or their agents
7. Country of export of the waste
8. Approval by relevant authority of the country of export
9. Expected countries of transit
10. Approval by relevant authorities of the country(ies) of transit
11. Country of import of the hazardous waste
12. Approval of the relevant authorities of the country of import
13. Date(s) of shipment(s) and period of time over which waste is to be exported and proposed itinerary
14. Mode of transport
15. Type of insurance cover

16. Designation and description of the waste
 - a. Y number
 - b. UN number
 - c. Composition
 - d. Information on special handling requirements
 - e. Emergency provisions in case of accidents
17. Type of packaging
18. Type and estimated quantity in weight/volume of hazardous waste
19. Process by which the hazardous waste is generated
20. Hazard characteristics
 - a. H number
 - b. UN class
21. Method of disposal
22. Evidence of capacity by operator of disposal facility to dispose of hazardous waste in an environmentally sound manner

Source: Adapted from the Application form for licensing of the Environmental Council of Zambia

Appendix 4: Information to Be Included In the Waste Information System

- a. Hazardous waste facilities (landfills, transfer stations, material recovery facilities, pre-treatment and treatment sites, and closed disposal sites)
- b. Operations
- c. Disposal sites
- d. For each facility, information about
 - location,
 - owner,
 - operator,
 - facility type,
 - regulatory and operational status
 - total quantities of waste produced, transported, treated or disposed of
 - breakdown into general or hazardous waste
 - authorized waste types,
 - local enforcement agency
 - inspection and enforcement records;
- e. Description of owner/operators activities, location and compliance status
- f. Verification and quality control of the information;
- g. Data processing and information dissemination

Appendix 5: Six Monthly Performance Return for Generation/ Storage/ Transportation/ Treatment/ Disposal Of Waste

Hazardous Waste Type	Hazard Characteristics	Quantity (tons/Kgs/ L)						% of the total waste
		Months						
		1	2	3	4	5	6	
Waste oils								
Health care waste								
PCBs								
Asbestos waste								
Heavy metal-containing waste								
Ash								
Tannery waste containing hexavalent Chromium								
Lead-acid batteries								
Waste containing organic compounds								
Totals								
Waste disposal/treatment methods								
Waste disposal/treatment site								
Activities undertaken/planned to reduce generation of waste (e.g. reuse, recycling)								
Amount reused/recycled								

Source: Adapted from the Environmental Council of Zambia Returns Forms