

## **Manual for completing the format for national reporting under the Basel Convention**

### **Note by the Secretariat**

1. At its thirteenth meeting, the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal considered the draft manual for completing the format for national reporting under the Basel Convention developed by the lead country, Germany, in consultation with the small intersessional working group on national reporting.
2. The annex to the present note sets out the manual for completing the format for national reporting under the Basel Convention that the Conference of the Parties took note of in decision BC-13/8 on national reporting. It has been further revised pursuant to decision BC-14/10.
3. The present note, including its annex, has not been formally edited.

**Manual**  
**for completing the format for national reporting**  
**under the Basel Convention**

## **FOREWORD**

The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal was adopted on 22 March 1989 and entered into force on 5 May 1992. 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.

To enable monitoring of the implementation of the Basel Convention by its Parties, the Convention provides that Parties prepare annual national reports pursuant to paragraph 3 of Article 13 of the Convention. Accordingly, Parties shall transmit, through the Secretariat of the Convention, 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).

At its twelfth meeting in May 2015, by decision BC-12/6, the Conference of the Parties adopted a revised format (questionnaire) for national reporting for use by Parties in reporting for the year 2016 and later years. This manual was developed by the small intersessional working group on national reporting to assist parties in completing the revised reporting format, as mandated by decision BC-12/6. At its thirteenth meeting in May 2017, by paragraphs 17 and 22 of decision BC-13/9, the Conference of the Parties adopted revisions to the format (questionnaire) for national reporting. These revisions are reflected in this manual.

This manual supersedes the Manual for the Questionnaire on Transmission of Information which was adopted by the Conference of the Parties at its sixth meeting in 2002.

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## **I. INTRODUCTION**

The purpose of this manual is to assist the focal point of the Basel Convention on the Control of the Transboundary Movements of Hazardous Wastes and their Disposal in completing the format (questionnaire) for national reporting to fulfil the obligation to prepare annual national reports in accordance with paragraph 3 of Article 13 of the Convention. The focal point is responsible for transmitting the national report to the Conference of the Parties, through the Secretariat.

The instructions in this manual pertain to the reporting format adopted by the Conference of the Parties (COP) to the Basel Convention by decision BC-12/6. These instructions aim at enhancing understanding of the information requested in the national reporting questionnaire and providing guidance about how to fill it in.

Parties are to submit their annual national reports using the Electronic Reporting System (ERS) of the Basel Convention through which the reporting questionnaire is made available online. Instructions on accessing and submitting information through the ERS are contained in the manual for the Electronic Reporting System (ERS) of the Basel Convention (UNEP/CHW.13/INF/21).

## II. GENERAL INSTRUCTIONS

The questionnaire consists of seven questions and nine tables.

For questions 1 to 7 and Tables 1 to 3, the questionnaire available to the focal point through the Electronic Reporting System, is **prefilled with the most recent information submitted to the Secretariat**.

If the prefilled information remains valid and no changes are required, it is not necessary to fill in these sections of the questionnaire again. If the prefilled information is no longer valid, it is necessary to update the prefilled information as appropriate.

For Tables 4 to 9, it is necessary to provide the requested information for the reporting year.

In order to submit a complete report, it is important to respond to all questions contained in the questionnaire, with the exception of those that are optional. Provide the information requested in the required format to ensure consistency and for ease of data processing.

For timely submission, a report on the previous calendar year should be submitted by each Party by 31 December of the calendar year (e.g., the report for 2016 is due by 31 December of 2017).

## III. QUESTIONS

### A. Competent Authority and Focal Point, Measures to Implement and Enforce the provisions of the Convention

Questions under this heading aim to identify and, as appropriate, record information of a legal and institutional nature pertaining to the implementation of the Convention.

#### Question 1a

<b>1a</b>	<p>Designated Competent Authority to the Basel Convention (Articles 13.2(a), 13.3(a))</p> <p>In accordance with Article 5 of the Convention, Parties shall designate or establish <u>one or more competent authorities</u>.</p> <p>According to the Secretariat's records the Competent Authority(ies) in your country is(are):</p> <table border="1"> <thead> <tr> <th>Organization:</th> <th>Department</th> <th>Job Position:</th> <th>Full Name:</th> <th>Tel:</th> <th>Fax:</th> <th>Address:</th> <th>e-Mail:</th> <th>Web site</th> <th>Area of responsibility</th> </tr> </thead> <tbody> <tr> <td>CA1</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>CA2</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>CAX</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Organization:	Department	Job Position:	Full Name:	Tel:	Fax:	Address:	e-Mail:	Web site	Area of responsibility	CA1										CA2										CAX									
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<b>1a.1</b>	<p><b>Do you want to update the above-mentioned information pertaining to the existing Competent Authority/ies or notify the Secretariat of the designation of one or more new Competent Authority/ies?</b> (Articles 13.2(a), 13.3(a))</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><i>(If the user chooses "yes" the following options appear 1a.2 and 1a.3)</i></p>																																								
<b>1a.2</b>	<p><b>Request the Secretariat to update the information pertaining to the existing Competent Authority/ies or notify the Secretariat of the designation of one or more new Competent Authorities.</b> (Articles 13.2(a), 13.3(a))</p>																																								

Please note that the updated or new designations transmitted here will be confirmed by the Secretariat, in accordance with the relevant decisions of the COPs. Only once updates or designations are confirmed, will the Basel Convention contacts database, the website and the information shown under question **1a** of this questionnaire be updated. The Secretariat may need to contact the Party for any additional information or clarification that might be required in this regard.

The table below contains pre-filled information from the Secretariat's existing records, but you can modify, delete or add information by using the "edit", "delete" or "add" features.

Organization	Department	Job Position	Full Name	Tel	Fax	Address	e-Mail	Web site	Area of responsibility		
XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX		edit	delete

*Add button*

**1a.3 Upload supporting documents.**

Attach form for notification of designation of contacts, completed by a duly authorized entity, and any supporting documents e.g. nomination letters. Kindly note that self-nominations will not be considered.

*(box to select and upload file)*

**Instructions:**

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 paragraph 6, emphasis added).

Pursuant to Article 5, Parties are required to inform the Secretariat:

- within 3 months of becoming a Party, which agency/ies they have designated as their competent authority(ies); and
- within 1 month of taking such a decision, of any changes regarding the designation of these entities.

Parties are to designate competent authorities using the form for notification of designation of contacts, adopted by the COP (decision BC-11/21), and to provide the Secretariat with updated contact details for existing competent authorities. The form facilitates the clear transmission of information by an authorized authority within the Party, including the relationship with any previous notifications.

More than one Competent Authority may be designated depending for instance on the geographical area for which the authority is designated to be responsible. Additional clarification on the respective roles and responsibilities of each Competent Authority can be provided in the column “area of responsibility”. In such cases, provide the contact details of each one of the Competent Authorities, specifying the area(s) of responsibility, for example regarding the geographical area or certain wastes, disposal operations or facilities. Clearly indicating the scope of the areas of responsibility in Parties with multiple competent authorities facilitates the transmission of information regarding transboundary movements of wastes to the correct competent authority.

Further information on the procedure for notification of designation of competent authorities. including on the relevant [COP decisions](#), is available on the [Basel Convention website](#)

**1a.1:** The table under 1a contains information previously provided to the Secretariat pertaining to the designation of Competent Authority/ies. Indicate in question 1a.1 whether you wish to update previous information or notify the Secretariat of the designation of one or more new Competent Authority/ies.

**1a.2:** In case of an **update** to a previous designation or of a **new** designation of one or more Competent Authorities, provide the contact details of the designated Competent Authority/ies to the Basel Convention in your country. This includes, for those Parties wishing to designate more than one Competent Authority, any additional clarification on the roles and responsibilities of each Authority, for example regarding the geographical area or certain wastes, disposal operations or facilities. Please ensure that the information in the table reflects the designation of all Competent Authorities, i.e, the existing one(s) and any new ones.

On receiving updated or new designations, the Secretariat may contact the Party for additional information or clarification, e.g., regarding the entity communicating the information to the Secretariat or if the changes requested are unclear. The Basel Convention contacts database and website on [country contacts](#) are then updated.

**1a.3:** In case of an **update** to a previous designation or of a **new** designation of one or more Competent Authorities, **upload** the form for notification of contacts (available [here](#)). This form should be completed by an entity duly authorized to communicate such information to the Secretariat (such as the Focal Point, a permanent mission to the United Nations or a ministry of foreign affairs). Kindly note that self-nominations will not be considered.

### Question 1b

<b>1b</b>	<p><b>Designated Focal Point to the Basel Convention.</b></p> <p><a href="#">(Articles 13.2(a), 13.3(a))</a></p> <p>In accordance with Article 5 of the Convention, Parties shall designate or establish <u>one focal point</u>.</p> <p>According to the Secretariat's records the Focal Point in your country is:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 10%;">Organization:</th> <th style="width: 10%;">Department:</th> <th style="width: 10%;">Job Position:</th> <th style="width: 10%;">Full Name:</th> <th style="width: 10%;">Tel:</th> <th style="width: 10%;">Fax:</th> <th style="width: 10%;">Address:</th> <th style="width: 10%;">e-Mail:</th> <th style="width: 10%;">Web site</th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>111</td> <td>222</td> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>edit</td> <td>delete</td> </tr> </tbody> </table>	Organization:	Department:	Job Position:	Full Name:	Tel:	Fax:	Address:	e-Mail:	Web site			XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete
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<b>1b.1</b>	<p><b>Do you want to update the above-mentioned information pertaining to the existing Focal Point or notify the Secretariat of a new Focal Point?</b></p> <p><a href="#">(Articles 13.2(a), 13.3(a))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><i>(If the user chooses "yes" the following options appear 1b.2 and 1b.3)</i></p>																						
<b>1b.2</b>	<p><b>Request to the Secretariat to update information pertaining to the existing Focal Point or notify the Secretariat of the designation of a new Focal Point.</b></p> <p><a href="#">(Articles 13.2(a), 13.3(a))</a></p> <p>Please note that the updated or new designations transmitted here will be confirmed by the Secretariat, in accordance with the relevant decisions of the COPs. Only once updates or designations are confirmed, will the Basel Convention contacts database, the website and the information shown under question <b>1b</b> of this questionnaire will be updated. The Secretariat may need to contact the Party for any additional information or clarification that might be required in this regard. Please note that each Party may designate only ONE Focal Point for the Basel Convention.</p> <p>The table below contains pre-filled information from the Secretariat's existing records, but you can modify, delete or add information by using the "edit", "delete" or "add" features.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 10%;">Organization:</th> <th style="width: 10%;">Department:</th> <th style="width: 10%;">Job Position:</th> <th style="width: 10%;">Full Name:</th> <th style="width: 10%;">Tel:</th> <th style="width: 10%;">Fax:</th> <th style="width: 10%;">Address:</th> <th style="width: 10%;">e-Mail:</th> <th style="width: 10%;">Web site</th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>111</td> <td>222</td> <td>XXX</td> <td>XXX</td> <td>XXX</td> <td>edit</td> <td>delete</td> </tr> </tbody> </table>	Organization:	Department:	Job Position:	Full Name:	Tel:	Fax:	Address:	e-Mail:	Web site			XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete
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	<i>Add button (which appears only if no FP is in the database, since each Party can only have ONE FP).</i>
<b>1b.3</b>	<p><b>Upload supporting documents.</b></p> <p>Attach form for notification of designation of <u>contacts</u>, completed by a duly authorized entity, and any supporting documents e.g. nomination letters. Kindly note that self-nominations will not be considered.</p> <p><i>(box to select and upload file)</i></p>

### **Instructions:**

The Basel Convention defines Focal Point as “the entity of a Party...responsible for receiving and submitting information as provided for in articles 13 and 16” (Article 2 paragraph 7). The Focal Point is therefore the official channel of communication between the Party and the Secretariat with respect to information to be transmitted pursuant to Articles 13 and 16. **Note** that a Party may designate *only* one Focal Point.

Pursuant to Article 5, Parties are required to inform the Secretariat:

- within 3 months of becoming a Party, which agency they have designated as their focal point; and
- within 1 month of taking such a decision, of any changes regarding the designation of this entity.

Parties are to designate their focal point using the form for notification of designation of contacts, adopted by the COP (decision BC-11/21), and to provide the Secretariat with updated contact details for existing focal points. This facilitates the clear transmission of information between the Party and the Secretariat.

Further information on the procedure for notification of designation of focal points, including on the relevant [COP decisions](#), is available on the [Basel Convention website](#).

**1b.1:** The table under 1b contains information previously provided to the Secretariat pertaining to the designation of a Focal Point. Indicate whether you wish to update this information or notify the Secretariat of the designation of a new Focal Point.

**1b.2:** In case of an **update** to a previous designation or of a **new** designation, provide the contact details of the designated Focal point to the Basel Convention in your country. Since only one Focal Point may be designated, the information provided will automatically replace any information pertaining to a previous designation.

On receiving updated or new designations, the Secretariat may contact the Party for additional information or clarification, e.g., regarding the entity communicating the information to the Secretariat or if the changes requested are unclear. The Basel Convention contacts database and website on [country contacts](#) are then updated.

**1b.3:** In case of an **update** to a previous designation or of a **new** designation, **upload** the form for notification of contacts (available [here](#)). This form should be completed by an entity duly authorized to communicate such information to the Secretariat (such as a permanent mission to the United Nations or a ministry of foreign affairs). Kindly note that self-nominations will not be considered.

### **Question 1c**

<p><b>1c</b></p> <p><b>(i)</b></p>	<p><b>Measures to implement and enforce the provisions of the Convention</b>  <a href="#">(Articles 4.4, 9.5 and 13.3(c))</a></p> <p><b>Legislation</b></p> <p><b>Has your country adopted legislation to implement the provisions of the Basel Convention?</b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p><b>(ii)</b></p>	<p><b>Does the legislation make provision to <u>prevent illegal traffic</u> of hazardous and other wastes?</b>  <a href="#">(Articles 4.4, 9.5 and 13.3(c))</a> <b>(optional)</b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, please specify:</b></p>
<p><b>(iii)</b></p>	<p><b>Does the legislation provide that <u>illegal traffic is criminal</u>?</b>  <a href="#">(Articles 4.3, 4.4, 9.5 and 13.3(c))</a> <b>(optional)</b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, what are the <u>punishments</u> provided:</b></p> <p>Fine <input type="checkbox"/> Prison <input type="checkbox"/> Other <input type="checkbox"/></p> <p><b>If other, please specify:</b></p>
<p><b>(iv)</b></p>	<p><b>Please attach the full text of your legislation(s) to implement the provisions of the Basel Convention, including any legislation referred to in response to other questions or provide the link where the legislation can be found:</b>  <a href="#">(Articles 4.4, 9.5 and 13.3(c))</a></p> <p>Link:</p> <p><i>(box to select and upload file)</i></p>

**Instructions:**

The Basel Convention requires each Party to “take appropriate legal, administrative and other measures to implement and enforce the provisions of this Convention, including measures to prevent and punish conduct in contravention of the Convention (Article 4 paragraph 4). In addition, each Party is required to “introduce appropriate national/domestic legislation to prevent and punish illegal traffic” (Article 9 paragraph 5). Finally, pursuant to Article 4 paragraph 3, “(T)he Parties consider that illegal traffic in hazardous wastes or other wastes is criminal”.

Question 1c aims at gathering information on the national legal framework in place within a Party to implement and enforce the Basel Convention. The term “legislation” is used in a generic sense to refer to instruments adopted both by the legislative branch (e.g. Law, Act) or the executive branch (e.g. Regulation) to give effect to the Basel Convention at the national level.

**1c(i):** In answering this question, please keep in mind any national or domestic legislation relevant to the provisions of the Basel Convention (e.g. framework environmental legislation covering wastes among other issues, legislation focused on waste management, legislation specific to the Basel Convention, legislation specific to some aspects of the Basel Convention such as criminal legislation).

**Tick “Yes”** if there is appropriate legislation to implement and enforce the provisions of the Basel

Convention. Please note that you may use the [Manual for the Implementation of the Basel Convention](#) and the legislator's checklist in its Annex I to review whether the legislation in place reflects all the necessary provisions of the Basel Convention.

**Tick “No”** if your country has not adopted appropriate legislation implementing the Basel Convention. In that case, you may refer to the [legislation from other Parties](#) available on the Basel Convention website to assist with the development of such required legislation or you may contact the Secretariat to inquire about other forms of support to develop it.

**If you answered “Yes” to question 1c(i), provide an answer to questions 1c(ii), (iii) and (iv).**

**1c(ii):** This question is a sub-case of question 1c(i); in addition, it seeks information on the provisions to prevent illegal traffic. Although Parties are required to introduce appropriate national/domestic legislation to prevent and punish illegal traffic, the transmission of information to the Secretariat on this specific aspect of such legislation is optional.

**1c(iii):** This question is a sub-case of question 1c(i); in addition, it seeks information on the punishments regarding illegal traffic. Article 9(5) expressly requires the introduction of national/domestic legislation to prevent and punish illegal traffic; Parties therefore have no discretion to implement administrative or other measures towards that end. In deciding what penalties to impose, Parties should also take into account Article 4(3), which states that illegal traffic in hazardous wastes or other wastes is criminal. The transmission of information to the Secretariat on this specific aspect of such legislation is optional.

## B. Wastes Controlled for the Purpose of Transboundary Movement

Questions under this heading aim to record what wastes are controlled in a Party in the context of transboundary movement of waste. Different wastes are controlled in different Parties for different purposes. The information collected under this heading could assist Parties in recognizing and obtaining necessary information on different definitions and the scope of control for the purpose of the transboundary movement of waste applied in other Parties.

Information reported to the Secretariat in question 2(b) will also be considered to be notified pursuant to Article 3 and paragraph 2(b) of Article 13.

### Question 2a

<b>2a</b>	<p><b>Is there a national definition of <u>waste</u> used for the purpose of transboundary movements of waste?</b> <a href="#">(Articles 2.1 and 13.3(c))</a></p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes, please provide the text of the national definition of waste:</b></p>
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### Instructions:

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

**Note** that some Parties apply one definition of waste for national purposes (e.g. national waste policy, permitting of waste disposal facilities) and another for the purposes of transboundary movements of waste. Question 2a specifically seeks information only on the definition applied in the control of transboundary movement of wastes. The national definition of waste used for the purpose of transboundary movement may specify for instance under what circumstances substance or wastes are required to be disposed of under the provisions of national law.

In case of an update to previously transmitted information or transmission of new information, **tick** the appropriate box depending on the existence of the definition of wastes in your country. If it exists, **provide** the full text of the national definition of wastes. If necessary, kindly provide a translation in English to facilitate dissemination of this information.

### Question 2b

<b>2b</b>	<p><b>Do you have a national definition of hazardous wastes as per Article 1.1(b), which includes wastes in addition to those listed in annexes I, II and VIII?</b> <a href="#">(Articles 3.1, 13.2(b) and 13.3(c))</a></p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p>Has this definition been changed in the current reporting year?</p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes:</b> (i) Please specify the national definition of hazardous wastes:</p>
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(ii) Tick the box or boxes below indicating the list or lists containing such wastes and, in the table below or as an attachment, list the wastes.

OECD   
 EU-Waste List   
 National  (specify under remarks)  
 Other  (specify under remarks)

General remarks, if any:

(iii) If possible, attach a list or provide it in the following table **(optional)**:

National waste codes <sup>(1)</sup>	Type of waste <sup>(2)</sup>	Remarks, if any

*(box to select and upload file)*

(iv) Specify any requirements (procedures) concerning transboundary movements that are applicable to those wastes:

The same procedures as for wastes controlled according to Basel Convention (Annex VIII and II):   
 Other requirements (procedures):

**If other**, please specify the requirements (procedures):

<sup>(1)</sup>The purpose of this request is to list the additional hazardous wastes according to Article 1(1)b. If the national definition is not based on Annex I of the Basel Convention (Y-codes), the national or regional waste code has to be provided. Please ensure that your listing is as precise and clear as possible.

<sup>(2)</sup>Not required to fill in, if you have provided the waste code in column 1.

**Instructions:**

The Basel Convention applies to “hazardous wastes” that are subject to transboundary movement. “Hazardous wastes” are defined in Article 1 paragraph 1 (a), which refers to the wastes contained in Annex I, unless they do not possess any of the characteristics contained in Annex III, and in Article 1 paragraph 1 (b), which refers to wastes additional to those referred to in Article 1 paragraph 1 (a) that are defined or considered to be hazardous under the domestic legislation. To facilitate the application of the Convention, wastes are also listed in Annexes VIII and IX as an elaboration and clarification of the provisions of Article 1 paragraph 1(a).

Question 2b seeks information on wastes included in your national definition of hazardous waste pursuant to Article 1 paragraph 1 (b) that are **in addition to** those defined under Article 1 paragraph 1(a) of the Convention.

**Note** that some countries apply different definitions of hazardous waste for national purposes (e.g. national waste policy, permitting of waste disposal facilities) and for the purposes of transboundary movements of waste. Question 2b specifically seeks information on the definition applied in the control of transboundary movement of hazardous wastes.

**Tick “Yes”** if there are any wastes defined as, or considered to be hazardous wastes by national legislation in accordance with Art. 1, para 1(b) of the Basel Convention.

**Tick “No”** if the definition of hazardous wastes set out in your national legislation reflects only the wastes defined in Article 1 paragraph 1 (a).

**2b (i):** In case of an **update** to previously transmitted information or transmission of **new** information e.g. new legislation, **tick** the appropriate box and provide the full text of the national definition of hazardous wastes. If necessary, kindly provide a translation in English to facilitate dissemination of this information.

**2b (ii) and (iii):** If your national definition of hazardous wastes is indicated within a list containing the wastes, tick the appropriate box or attach the full text of the list under (ii) or (iii). There is also space to transmit general remarks in relation to the list of wastes e.g. if an initial text is transmitted whilst waiting for finalisation of the list.

**2b (iv):** Provide details of the requirements that may apply in such circumstances. According to Article 3, paragraph 1, Parties should also inform the Secretariat of any requirements concerning transboundary movement procedures applicable to these wastes. This may increase awareness of and facilitate compliance with such national requirements.

### Question 2c

<b>2c</b>	<p><b>Are there any wastes that are not hazardous, but require special consideration when subjected to transboundary movement <u>(optional)</u>?</b>  <a href="#">(Articles 4.11 and 13.3(i))</a></p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes:</b></p> <p>(i) Please specify :</p> <p>(ii) Tick the box or boxes below indicating the list or lists containing such wastes and, in the table below or as an attachment, list the wastes.</p> <table style="margin-left: 40px;"> <tr> <td>OECD</td> <td><input type="checkbox"/></td> </tr> <tr> <td>EU-Waste List</td> <td><input type="checkbox"/></td> </tr> <tr> <td>National</td> <td><input type="checkbox"/> (specify under remarks)</td> </tr> <tr> <td>Other</td> <td><input type="checkbox"/> (specify under remarks)</td> </tr> </table> <p>General remarks, if any:</p> <p>(iii) Attach a list or provide it in the following table:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-left: 40px;"> <thead> <tr> <th style="width: 25%;">National waste codes<sup>(1)</sup></th> <th style="width: 50%;">Type of waste<sup>(2)</sup></th> <th style="width: 25%;">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td style="height: 30px;"> </td> <td> </td> <td> </td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p>(iv) Specify any special considerations or requirements concerning transboundary movements that are applicable to those wastes:</p> <p><small>(1) The purpose of this request is to list the additional wastes which require special consideration when subject to transboundary movement. The national or regional waste code should be provided. Please ensure that your listing is as precise and clear as possible.  (2) Not required to fill in, if you have provided the waste code in column 1</small></p>	OECD	<input type="checkbox"/>	EU-Waste List	<input type="checkbox"/>	National	<input type="checkbox"/> (specify under remarks)	Other	<input type="checkbox"/> (specify under remarks)	National waste codes <sup>(1)</sup>	Type of waste <sup>(2)</sup>	Remarks, if any			
OECD	<input type="checkbox"/>														
EU-Waste List	<input type="checkbox"/>														
National	<input type="checkbox"/> (specify under remarks)														
Other	<input type="checkbox"/> (specify under remarks)														
National waste codes <sup>(1)</sup>	Type of waste <sup>(2)</sup>	Remarks, if any													

**Instructions:**

The Basel Convention allows Parties to impose additional requirements that are consistent with its provisions and in accordance with international law, in order better to protect human health and the environment (Article 4 paragraph 11).

Question 2c seeks information on wastes other than those identified in the above questions 2a and 2b that are controlled for the purpose of transboundary movement of waste. In other words, this question seeks information on wastes that are neither hazardous according to Article 1, paragraph 1(a) of the Convention nor hazardous wastes according to your national legislation in accordance with Article 1 paragraph 1(b) of the Basel Convention nor “other wastes” pursuant to Article 1 paragraph 2 and Annex II to the Convention.

This question therefore seeks information on further wastes that are considered as wastes subject to control, for example, due to foreseen risks connected with their transboundary movements. This information could assist other Parties to access the necessary information on the scope of control in your country.

**Tick “Yes”** if there are any further wastes that require special consideration when subjected to transboundary movement.

**Tick “No”** if there are no such further wastes requiring special consideration when subjected to transboundary movement.

**2c (ii) and (iii):** If the wastes requiring special consideration are indicated within a list, tick the appropriate box or attach the full text of the list under (ii) or (iii). There is also space to transmit general remarks in relation to the list of wastes e.g. if an initial text is transmitted whilst waiting for finalisation of the list.

**2c (iv):** Provide the details of such special considerations or requirements that may apply in such circumstances. This may enable Parties and other stakeholders to obtain full information on the scope of control for the purpose of the transboundary movement of waste applied in other Parties and take action accordingly.

## C. Restrictions on and conditions for Transboundary Movement of Hazardous Wastes and Other Wastes

The questions under this heading seek information on the implementation of Decision III/1 of the third meeting of the Conference of the Parties (COP-3) (Geneva, 1995) as well as on any other national provisions by which exports or imports of hazardous or other wastes from or to your country are totally or partially prohibited, in accordance with Article 4 of the Basel Convention. This information is also to cover the measures taken to implement Decision II/12 of the COP (Geneva, 1994).

Information reported to the Secretariat in question 3(a)-(f) will also be considered to be notified pursuant to Article 4, paragraphs 1(a) and paragraph 2(c) and (d) of Article 13.

### Question 3a

<b>3a</b>	<p><b>Has the amendment to the Basel Convention (Decision III/1) been implemented in your country?</b>  <a href="#">(Articles 13.2(c), 13.2(d) and 13.3(c))</a></p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p>Remarks:</p>
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### Instructions:

The ban amendment provides for the prohibition by Parties listed in Annex VII of all transboundary movements to States not included in Annex VII of hazardous wastes covered by the Convention destined for final disposal (operations listed in Annex IV A) and of all transboundary movements to States not included in Annex VII of hazardous wastes covered in Article 1 paragraph 1 (a) that are destined for recovery operations (operations listed in Annex IV B).

**Tick** appropriate box to indicate whether Decision III/1 of COP-3 (Geneva, 1995) on the amendment to the Basel Convention (“ban amendment”) has been implemented in your country. **Tick “yes”**, if your country has ratified or approved the ban amendment. **Tick “no”** if the amendment has not been ratified or approved but the provisions of the amendment have been implemented in your national legislation. Give necessary explanations in section “remarks”.

**Limit** your response to this question only to indicate the status of implementation of the ban amendment. Provide details on any other prohibitions or restrictions that may exist in your country and various measures taken to implement these restrictions under questions 3b to 3f.

### Questions 3b to 3f

<b>3b</b>	<p><b>Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for <u>final disposal</u> (Annex IV A)?</b>  <a href="#">(Articles 13.2(d), 13.3(c) and 13.3(i)).</a></p> <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes, please specify:</b></p>
<b>(i)</b>	<p><b>The nature of the restriction:</b></p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p><b>If partial restriction</b> (e.g. depending on the intended final disposal operation) please specify the nature of the restriction:</p>



<p><b>(ii)</b></p>	<p><b>The country or region covered by this restriction:</b></p> <p>All countries <input type="checkbox"/></p> <p>non Parties to BC <input type="checkbox"/></p> <p>non-Annex VII countries <input type="checkbox"/></p> <p>non OECD countries <input type="checkbox"/></p> <p>non-EU countries <input type="checkbox"/></p> <p>other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p>						
<p><b>(iii)</b></p>	<p><b>The wastes covered by the restrictions:</b></p> <p>All wastes covered by BC <input type="checkbox"/></p> <p>Annex VIII BC <input type="checkbox"/></p> <p>Annex II BC <input type="checkbox"/></p> <p>Amber List OECD <input type="checkbox"/></p> <p>Amber List EU <input type="checkbox"/></p> <p>Article 1(1)b nationally defined hazardous wastes <input type="checkbox"/></p> <p>Other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p> <p>If possible, attach a list or provide it in the following table <b>(optional)</b>:</p> <table border="1" data-bbox="300 1064 1433 1176"> <thead> <tr> <th data-bbox="300 1064 534 1131">Waste code</th> <th data-bbox="534 1064 1145 1131">Type of waste<sup>(1)</sup></th> <th data-bbox="1145 1064 1433 1131">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="300 1131 534 1176"></td> <td data-bbox="534 1131 1145 1176"></td> <td data-bbox="1145 1131 1433 1176"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p><sup>(1)</sup> Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste <sup>(1)</sup>	Remarks, if any			
Waste code	Type of waste <sup>(1)</sup>	Remarks, if any					
<p><b>(iv)</b></p>	<p><b>If possible, provide relevant legislation and its entry into force (optional):</b></p> <p><i>(box to select and upload file)</i></p>						
<p><b>(v)</b></p>	<p><b>Remarks:</b></p>						
<p><b>3c</b></p>	<p><b>Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for <u>recovery</u> (Annex IV B)?</b>  <a href="#">(Articles 13.2(d),13.3(c), 13.3(i))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes</b>, please specify:</p>						
<p><b>(i)</b></p>	<p><b>The nature of the restriction:</b></p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p><b>If partial restriction</b> (e.g. depending on the intended Annex IV B disposal operation), please specify the nature of the restriction:</p>						

<b>(ii)</b>	<p><b>The country or region covered by this restriction:</b></p> <p>All countries <input type="checkbox"/></p> <p>non Parties to BC <input type="checkbox"/></p> <p>non-Annex VII countries <input type="checkbox"/></p> <p>non OECD countries <input type="checkbox"/></p> <p>non-EU countries <input type="checkbox"/></p> <p>other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p>						
<b>(iii)</b>	<p><b>The wastes covered by the restrictions:</b></p> <p>All wastes covered by BC <input type="checkbox"/></p> <p>Annex VIII BC <input type="checkbox"/></p> <p>Annex II BC <input type="checkbox"/></p> <p>Amber List OECD <input type="checkbox"/></p> <p>Amber List EU <input type="checkbox"/></p> <p>Article 1(1)b nationally defined hazardous wastes <input type="checkbox"/></p> <p>Other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p> <p>If possible, attach a list or provide it in the following table <b>(optional)</b>:</p> <table border="1" data-bbox="320 943 1412 1055"> <thead> <tr> <th data-bbox="320 943 555 1010">Waste code</th> <th data-bbox="555 943 1145 1010">Type of waste<sup>(1)</sup></th> <th data-bbox="1145 943 1412 1010">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="320 1010 555 1055"></td> <td data-bbox="555 1010 1145 1055"></td> <td data-bbox="1145 1010 1412 1055"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p><sup>(1)</sup> Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste <sup>(1)</sup>	Remarks, if any			
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<b>(iv)</b>	<p><b>If possible, provide relevant legislation and its entry into force <b>(optional)</b>:</b></p> <p><i>(box to select and upload file)</i></p>						
<b>(v)</b>	<p><b>Remarks:</b></p>						
<b>3d</b>	<p><b>Are there in your country any restrictions on the <u>import</u> of hazardous wastes and other wastes for <u>final disposal</u> (Annex IV A)?</b>  <a href="#">(Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes</b>, please specify:</p>						
<b>(i)</b>	<p><b>The nature of the restriction:</b></p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p><b>If partial restriction</b> (e.g. depending on the intended final disposal operation) please specify the nature of the restriction:</p>						
<b>(ii)</b>	<p><b>The country or region covered by this restriction:</b></p> <p>All countries <input type="checkbox"/></p> <p>non Parties to BC <input type="checkbox"/></p>						

	non-Annex VII countries <input type="checkbox"/> non OECD countries <input type="checkbox"/> non-EU countries <input type="checkbox"/> other <input type="checkbox"/>  <b>If other</b> , please specify:						
<b>(iii)</b>	<b>The wastes covered by the restrictions:</b>  All wastes covered by BC <input type="checkbox"/> Annex VIII BC <input type="checkbox"/> Annex II BC <input type="checkbox"/> Amber List OECD <input type="checkbox"/> Amber List EU <input type="checkbox"/> Article 1(1)b nationally defined hazardous wastes <input type="checkbox"/> Other <input type="checkbox"/>  <b>If other</b> , please specify:  If possible, attach a list or provide it in the following table <a href="#">(optional)</a> :  <table border="1"> <thead> <tr> <th>Waste code</th> <th>Type of waste<sup>(1)</sup></th> <th>Remarks, if any</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> <i>(box to select and upload file)</i>  <sup>(1)</sup> Not required to fill in, if you have provided the waste code in column 1	Waste code	Type of waste <sup>(1)</sup>	Remarks, if any			
Waste code	Type of waste <sup>(1)</sup>	Remarks, if any					
<b>(iv)</b>	<b>If possible, provide relevant legislation and its entry into force <a href="#">(optional)</a>:</b>  <i>(box to select and upload file)</i>						
<b>(v)</b>	<b>Remarks:</b>						
<b>3e</b>	<b>Are there in your country any restrictions on the <u>import</u> of hazardous wastes and other wastes for <u>recovery</u> (Annex IV B)?</b> <a href="#">(Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</a>  Yes <input type="checkbox"/> No <input type="checkbox"/>  <b>If yes</b> , please specify:						
<b>(i)</b>	<b>The nature of the restriction:</b>  Total prohibition <input type="checkbox"/>  Partial restriction <input type="checkbox"/>  <b>If partial restriction</b> (e.g. depending on the intended Annex IV B disposal operation), please specify the nature of the restriction:						
<b>(ii)</b>	<b>The country or region covered by this restriction:</b>  All countries <input type="checkbox"/> non Parties to BC <input type="checkbox"/> non-Annex VII countries <input type="checkbox"/>						

	non OECD countries <input type="checkbox"/> non-EU countries <input type="checkbox"/> other <input type="checkbox"/>  <b>If other</b> , please specify:						
<b>(iii)</b>	<b>The wastes covered by the restriction:</b>  All wastes covered by BC <input type="checkbox"/> Annex VIII BC <input type="checkbox"/> Annex II BC <input type="checkbox"/> Amber List OECD <input type="checkbox"/> Amber List EU <input type="checkbox"/> Article 1(1)b nationally defined hazardous wastes <input type="checkbox"/> Other <input type="checkbox"/>  <b>If other</b> , please specify:  If possible, attach a list or provide it in the following table <b>(optional)</b> :  <table border="1"> <thead> <tr> <th>Waste code</th> <th>Type of waste<sup>(1)</sup></th> <th>Remarks, if any</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>  <i>(box to select and upload file)</i>  <sup>(1)</sup> Not required to fill in, if you have provided the waste code in column 1	Waste code	Type of waste <sup>(1)</sup>	Remarks, if any			
Waste code	Type of waste <sup>(1)</sup>	Remarks, if any					
<b>(iv)</b>	<b>If possible, provide relevant legislation and its entry into force (optional):</b>  <i>(box to select and upload file)</i>						
<b>(v)</b>	<b>Remarks:</b>						
<b>3f</b>	<b>Are there any restrictions on the <u>transit</u> of hazardous wastes and other wastes through your country?</b> <a href="#">(Article 13.3(i))</a>  Yes <input type="checkbox"/> No <input type="checkbox"/>  <b>If yes</b> , please specify:						
<b>(i)</b>	<b>The nature of the restriction:</b>  Total prohibition <input type="checkbox"/>  Partial restriction <input type="checkbox"/>  <b>If partial restriction</b> (e.g. depending on the intended disposal operation) please specify the nature of the restriction:						

<b>(ii)</b>	<p><b>The country or region covered by this restriction:</b></p> <p>All countries <input type="checkbox"/></p> <p>non Parties to BC <input type="checkbox"/></p> <p>non-Annex VII countries <input type="checkbox"/></p> <p>non OECD countries <input type="checkbox"/></p> <p>non-EU countries <input type="checkbox"/></p> <p>other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p>						
<b>(iii)</b>	<p><b>The wastes covered by the restrictions:</b></p> <p>All wastes covered by BC <input type="checkbox"/></p> <p>Annex VIII BC <input type="checkbox"/></p> <p>Annex II BC <input type="checkbox"/></p> <p>Amber List OECD <input type="checkbox"/></p> <p>Amber List EU <input type="checkbox"/></p> <p>Article 1(1)b nationally defined hazardous wastes <input type="checkbox"/></p> <p>Other <input type="checkbox"/></p> <p><b>If other</b>, please specify:</p> <p>If possible, attach a list or provide it in the following table <b>(optional)</b>:</p> <table border="1" data-bbox="301 954 1433 1066"> <thead> <tr> <th data-bbox="301 954 534 1016">Waste code</th> <th data-bbox="534 954 1147 1016">Type of waste<sup>(1)</sup></th> <th data-bbox="1147 954 1433 1016">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="301 1016 534 1066"></td> <td data-bbox="534 1016 1147 1066"></td> <td data-bbox="1147 1016 1433 1066"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p><sup>(1)</sup> Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste <sup>(1)</sup>	Remarks, if any			
Waste code	Type of waste <sup>(1)</sup>	Remarks, if any					
<b>(iv)</b>	<p><b>If possible, provide relevant legislation and its entry into force <b>(optional)</b>:</b></p> <p><i>(box to select and upload file)</i></p>						
<b>(v)</b>	<p><b>Remarks:</b></p>						
<b>3g</b>	<p><b>Has your country decided not to require prior written consent, either generally or under specific conditions, for transit transboundary movements of hazardous wastes or other wastes?</b></p> <p><b>(Articles 6.4, fourth sentence, and 13.3(c) (optional))</b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, please specify whether this decision applies:</b></p> <p>Generally <input type="checkbox"/></p> <p>Under specific conditions <input type="checkbox"/></p> <p><b>If under specific conditions, please specify which:</b></p>						

<b>3h</b>	<p><b>(i) Does your country have a definition of “State of transit” in its legislation?</b></p> <p>(Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes</b>, please provide the text of the definition, including any elaboration of the meaning of the term “through which” in the definition of “State of transit” set out in Article 2.12 of the Convention:</p> <p><b>(ii) Does your country otherwise have a definition of “State of transit” (e.g., in a guidance document)?</b> Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p><b>If yes</b>, please provide the text of the definition, including any elaboration of the meaning of the term “through which” in the definition of “State of transit” set out in Article 2.12 of the Convention:</p>
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**Instructions:**

The Basel Convention allows Parties to impose requirements additional to its procedure for controlling transboundary movements of hazardous wastes and other wastes: for instance, a Party has the right to prohibit or restrict the import of hazardous wastes or other wastes (Articles 4 paragraph 1 (a) and 13 paragraph 2 (c)), and it can limit or ban the export of hazardous wastes or other wastes (Article 13 paragraph 2 (d)).

**Provide** information separately on different types of prohibitions and/or restrictions that may exist in your country for the block of questions from 3b to 3f, as follows:

- 3b: concerning exports of wastes for final disposal (i.e. operations listed in Annex IV A to the Convention)
- 3c: concerning exports of wastes for recovery (i.e. operations listed in Annex IV B to the Convention);
- 3d: concerning import of wastes for final disposal;
- 3e: concerning import of wastes for recovery;
- 3f to 3h: concerning transit of wastes for recovery and final disposal.

For each of the questions 3a to 3f, **tick** the appropriate box depending on the existence of such restrictions in your country and/or the need to update previously transmitted information. **Tick “No”** to questions 3b to 3f if there are no prohibitions and/or restrictions in your country additional to those set out in the Basel Convention. In that case, the Basel Convention control procedure will apply.

**Tick “Yes”**, if restrictions and/or prohibitions exist and **specify:**

Under (i), the nature of the restriction (total prohibition or partial restriction) including further information in the event of a partial restriction so as to fully inform other Parties;

Under (ii), the countries/regions covered by such restriction(s);

Under (iii), the categories of wastes covered by such restriction(s);

Under (iv), provide the relevant legislation and the date when it entered into force;

Under (v), remarks you may wish to transmit in addition to this information.

For question 3g, **tick “Yes”** if your country has decided not to require prior written consent, either generally or under specific conditions, for transit transboundary movements of hazardous wastes or other wastes pursuant to Article 6 paragraph 4 of the Convention. If you ticked yes, please specify the scope of that authorization. **Tick “No”** if your country requires require prior written consent, either generally or under specific conditions, for transit transboundary movements.

For question 3h (i), **tick “Yes”** if your country’s legislation includes a definition of “State of transit” and provide its definition; tick “No” if your country’s legislation does not include a definition of “State of transit”.

For question 3h (ii), **tick “Yes”** if your country has a definition of “State of transit” included otherwise than in its legislation (e.g., set out in a guidance document), and provide the definition; tick “No” if your country does not have a definition of “State of transit” set out otherwise than in its legislation.

## D. Control Procedure of the Transboundary Movement of Waste

Questions under this heading seek information on certain issues related to control procedures of transboundary movements of wastes. This information gives valuable feedback to Parties and the Secretariat of the Basel Convention on the functioning of the control system. This would also assist Parties in getting necessary information on some requirements related to control procedures that are applied in your country. Guidance on the control procedure is available in the [Guide to the control system](#). The [notification and movement document forms](#) and instructions for filling them are available on the website of the Convention. An [export and import control tool](#) is also available to Parties.

### Question 4a

<b>4a</b>	<p><b>Are the Notification and Movement document forms of the Basel Convention<sup>(1)</sup> used and/or accepted in the control of transboundary movement of hazardous wastes and other wastes? <a href="#">(Article 6, Annex V (Decision VIII/18) combined with Article 13.3(c), 13.3(i))</a></b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>(i) If yes, have there been any problems in the usage of the Notification and Movement document forms <a href="#">(optional)</a>?</b></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If you have encountered any problem, please explain:</b></p> <p><b>(ii) Provide information on any other forms which are used and/or accepted in the control of transboundary movement of hazardous wastes and other wastes:</b></p> <p>No other forms are used: <input type="checkbox"/></p> <p>Other forms are used: <input type="checkbox"/></p> <p><b>If other forms are used, please specify which:</b></p> <p>(1) The forms can be found in the Basel Convention website at: <a href="http://www.basel.int/Procedures/NotificationMovementDocuments.aspx">www.basel.int/Procedures/NotificationMovementDocuments.aspx</a>.</p>
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### Instructions:

**Tick** the appropriate box to indicate whether the Notification and Movement document forms of the Basel Convention are used and/or accepted in your country in the control of transboundary movement of wastes. Since the use of these forms is not mandatory, responding to this question would give Parties as well as the Secretariat of the Basel Convention an overview on how widely the forms are used.

**4a(i): Tick** the appropriate box to indicate whether there have been any problems in the usage of the Notification and Movement document forms, Also, **explain** if any problems were encountered while using these Notification and Movement document forms of the Basel Convention.

**4a(ii): Tick** the appropriate box to indicate whether there are any forms other than those of the Basel Convention that are used or accepted in the control of transboundary movement of hazardous wastes and other wastes.

Also, if other forms are used, **specify** which forms other than those of the Basel Convention are used or accepted in your country in the control of transboundary movement of hazardous wastes and other wastes.

### Question 4b



<b>4b</b>	<p><b>Which is (are) the acceptable language(s) to receive the Notification and Movement document forms as a <u>(optional)</u>:</b>  <a href="#">(Article 13.3(i))</a>  state of import:  state of transit:</p>
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**Instructions:**

The Basel Convention provides that the notification of a proposed transboundary movement be written in a language acceptable to the State of import (Article 6 paragraph 1).

**Specify** those languages, in which the notification and movement document forms could be completed by the exporting State so that it could be acceptable to your country both as a State of import and transit.

**Question 4c**

<b>4c</b>	<p><b>Do you have information requirements in addition to those listed in Annex V of the Basel Convention (and displayed in the Notification and Movement document forms)?</b>  <a href="#">(Article 6, 4(11) combined with Article 13.3(i))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, please specify:</b></p>
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**Instructions:**

The Basel Convention allows Parties to impose additional requirements that are consistent with its provisions and in accordance with international law, in order better to protect human health and the environment (Article 4 paragraph 11).

**Specify** any additional requirements for information to be provided on the notification or the movement document or in appendices to them compared to those listed in Annex VA and VB, respectively.

## E. Reduction and/or Elimination of the Generation of Hazardous Wastes and Other Wastes

### Question 5

<b>5</b>	<p><b>Have measures been undertaken for development of technologies for the reduction and/or elimination of the amount of hazardous wastes and other wastes <u>generated</u>:</b> <a href="#">(Articles 4.2(a) and 13.3(h))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, please specify at least one of the following measures:</b></p> <p><b>National strategies/policies</b> Provide details:</p> <p><b>Legislation, regulations and guidelines</b> Provide details:</p> <p><b>Others</b> Provide details:</p> <p><input type="checkbox"/> No changes from the previous report</p> <p><i>(box to select and upload file(s))</i></p>
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### **Instructions:**

The questions under this heading seek information on the development of technologies for reduction and/or elimination of the generation of hazardous wastes and other wastes.

Technologies for the reduction or elimination of hazardous wastes and other wastes generated include technologies for:

- reducing or replacing, respectively, hazardous substances in production and products;
- reducing the quantity of hazardous and other wastes including through the re-use of products or the extension of the life span of products.

Development covers, *inter alia*, research and development programs or projects as well as national strategies/policies, legislation, regulations and guidelines that may aim at or contribute to such development.

Select “Yes” if measures have been undertaken in your country to develop such technologies.

### **If yes, specify and describe:**

**National strategies/policies**, such as research and development programs or projects, waste management plans, waste prevention plans or programs, strategies aiming at reducing releases and use of dangerous chemicals, or encouraging the use of cleaner technology/best available technology.

**Legislation, regulations and guidelines**, such as general obligations/branch specific/waste type provisions or guidelines aiming at or contributing to the reduction or elimination the generation of hazardous wastes and other wastes.

**Others**, for example, economic instruments/initiatives, such as environmental taxes, financial aid programmes, subsidies, tax rebates, tax exemptions, environmental awards etc., voluntary measures, e.g. voluntary environmental management programmes (e.g. ISO, EMAS), ecolabeling, voluntary agreements between industry and environmental authorities etc. as well as information campaigns, education, research

programmes, etc. aiming at or contributing to the reduction or elimination the generation of hazardous wastes and other wastes.

## **F. Reduction of the Amount of Hazardous Wastes and Other Wastes Subject to the transboundary movement**

### **Question 6**

<b>6</b>	<p><b>Have measures been undertaken for the reduction of the amount of hazardous wastes and other wastes <u>subject to the transboundary movement</u>:</b> <a href="#">(Articles 4.2(d) and 13.3(b)iv)</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes, please specify at least one of the following measures:</b></p> <p><b>National strategies/policies</b> Provide details:</p> <p><b>Legislation, regulations and guidelines</b> Provide details:</p> <p><b>Others</b> Provide details:</p> <p><input type="checkbox"/> No changes from the previous report</p> <p><i>(box to select and upload file(s))</i></p>
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### **Instructions:**

**Tick** the appropriate box to indicate whether measures have been undertaken for the reduction of the amount of hazardous wastes and other wastes subject to the transboundary movement.

**Note** that this question seeks information on measures specifically designed for the purpose of reducing the transboundary movements of hazardous wastes and other wastes in accordance with Article 4, para 2 (d) of the Convention. It is **not necessary to repeat** the information given under the above question 5 on the measures taken for the reduction of the generation of hazardous wastes and other wastes.

#### **If yes, specify and describe:**

**National strategies/policies**, such as waste management plans, waste prevention plans or programs.

**Legislation, regulations and guidelines**, such as general obligations/branch specific/waste type provisions or guidelines aiming at reducing export of hazardous and other wastes.

**Others**, for example, economic instruments/initiatives, such as environmental taxes, financial aid programmes, subsidies, tax rebates, tax exemptions, environmental awards etc., voluntary measures, e.g. voluntary environmental management programmes (e.g. ISO, EMAS), ecolabeling, voluntary agreements between industry and environmental authorities etc. as well as information campaigns, education, research programmes, etc.

## G. Effect on Human Health and the Environment

### Question 7

<b>7</b>	<p><b>Are statistics (e.g. studies, reports) available, compiled by your country, on the effects of hazardous wastes and other wastes on human health and the environment?</b> <a href="#">(Article 13.3(d))</a></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>If yes</b>, please specify or give details where information could be found or obtained:</p> <p><b>If possible</b>, attach the document containing the statistics <b>(optional)</b>: <i>(box to select and upload file)</i></p>
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#### **Instructions:**

**Tick** the appropriate box to indicate whether statistics, compiled by your country, on the effects of hazardous wastes and other wastes on human health and the environment are available. If you select yes, **provide** information on where information on any available statistics (e.g. studies, reports, etc.) that have been compiled on the effects of the generation, transportation and disposal of hazardous wastes and other wastes on human health and the environment could be found or obtained. In this context, the following may be relevant for example:

- statistics/studies on occupational health effects on people who work in waste disposal facilities or factories where they come into contact with hazardous wastes;
- epidemiological studies on population living close to waste disposal facilities where the health of the population is being followed during a longer period of time; and
- monitoring reports on the environmental effects of waste disposal facilities or waste producing factories, e.g. effects on animals, vegetation, surface waters, ground water, air quality, soil quality, etc.

**Specify** the activities, effects, regions, and period covered by the statistics concerned. Indicate also appropriate references and contact details for the sources of this information/data.

If possible, upload the document(s) containing the statistics.

## IV. TABLES

**Table 1: Bilateral, Multilateral or Regional Agreements or Arrangements in force in 20XX**  
(Articles 11.2 and 13.3(e))

Provide information concerning bilateral, multilateral or regional agreements or arrangements concluded pursuant to Article 11 of the Basel Convention that are valid in the reporting year:

Type of agreement (Bilateral, multilateral, regional)	<u>States and territories covered</u>	Remarks: (wastes covered, disposal operations, validity if not valid in the whole reporting year, etc.)

### **Instructions:**

**Provide** the requested information on bilateral, multilateral or regional agreements or arrangements regarding transboundary movements of wastes or other wastes concluded with other Parties or non-Parties, in accordance with Article 11 of the Convention.

The texts of the agreements or arrangements may be attached to the national report if wished.

**Table 2: Final disposal options operated within the National Jurisdiction**  
[\(Articles 4.2\(b\) and 13.3\(g\)\)](#)

**Summary information on disposal options:**

**Or sources from which such information, including on facilities, could be obtained (please provide contact information or a link):**

**Or provide the information by filling in the table below:**

Facility/operation or process (Name, address, organization/company, etc.)	Description of the facility, operation or process	Final disposal operation (Annex IVA) D code	Capacity of the facility (in metric tons)	Does the facility treat wastes imported Yes/No

**Remarks:**

**Instructions:**

The purpose of the information requested is to give an overview on the availability of disposal options for hazardous wastes and other wastes in your country. **Note** that this question asks only general information on the availability of facilities and is not focused on any particular year.

**Provide:**

- Summary information on disposal options (e.g. number of facilities for certain disposal operations and total annual capacity or, in case of landfills, the remaining capacity, i.e. the amount of waste that still can be received and disposed of in landfills) **or**
- Sources from which such information, including on facilities, could be obtained (by giving contact information or a link) **or**
- Information on facilities/operations or processes authorized, permitted or registered in your country, **by filling in the table.**

The table refers to the disposal operations listed in [Annex IV A of the Basel Convention](#). Annex IV A lists operations that do not lead to the possibility of resource recovery, recycling, reclamation, direct re-use or alternative uses (final disposal operations).

“Capacity” means the annual amount of waste that can be treated in a facility. **Provide** the annual amount in metric tons. For landfills, the capacity means the remaining capacity, i.e. the amount of waste that still can be received and disposed of in the landfill.

**Indicate** whether the facility can import wastes from other countries.

**Table 3: Recovery options operated within the National Jurisdiction**  
[\(Articles 4.2\(b\) and 13.3\(g\)\)](#)

**Summary information on recovery options:**

**Or sources from which such information, including on facilities, could be obtained (please provide contact information or a link):**

**Or provide the information by filling in the table below**

Facility/operation or process (Name, address, organization/company, etc.)	Description of the facility, operation or process	Recovery operation (Annex IV B) R code	Capacity of the facility (in metric tons)	Does the facility treat wastes imported Yes/No

**Remarks:**

**Instructions:**

The purpose of the information requested is to give an overview on the availability of recovery options for hazardous wastes and other wastes in your country. Note that this question asks only general information on the availability of facilities and is not focused on any particular year.

**Provide:**

- Summary information on recovery options (e.g. number of facilities for certain recovery operations and total annual capacity) **or**
- Sources from which such information, including on facilities, could be obtained (by giving contact information or a link) **or**  
 Information on facilities/operations or processes authorized, permitted or registered in your country, **by filling in the table.**

The table refers to the recovery operations listed in [Annex IV B of the Basel Convention](#). Annex IV B lists operations which may lead to resource recovery, recycling, reclamation, direct re-use or alternative uses (recovery operations).

“Capacity” means the annual amount of waste that can be treated in a facility. **Provide** the annual amount in metric tons.

**Indicate** whether the facility can import wastes from other countries.



**Table 4: Export of hazardous wastes and other wastes in 20XX**

[\(Article 13.3\(b\) i\)](#)

No exportation took place in the reporting year:

If possible, provide a summary of detailed data from the table below [\(optional\)](#):

Summary data	
A	Total amount of hazardous wastes under Art. 1(1)a exported:
B	Total amount of hazardous wastes under Art. 1(1)b exported:
A+B	Total amount of hazardous wastes exported:
C	Total amount of other wastes exported (Annex II):
A+B+C+	Total amount of controlled waste exported:

Provide detailed data in the table below:

Detailed data									
Category of waste			Hazardous characteristics <sup>(5)</sup>						
Waste code			Type of waste <sup>(4)</sup>	Basel Annex III code or national code (if Basel not applicable)	Amount exported (metric tons)	Country/ countries of transit <sup>(6)</sup>	Country of destination <sup>(6)</sup>	Final disposal operation (Annex IV A) D code	Recovery operation (Annex IV B) R code
Basel Annex VIII, II or IX <sup>(1)</sup>	Basel Annex I <sup>(2)</sup> (Y code)	National code <sup>(3)</sup>							

(1) Crucial to fill in the codes of Annex VIII or, if applicable, of Annex II or IX.

(2) Crucial to fill in, if you have not provided a waste code in column 1 or 3.

(3) If applicable, fill in, in particular if there are no applicable waste codes in column 1.

(4) Not required to fill in, if you have provided a waste code in column 1 or 2.

(5) Not required to fill in, if you have provided waste code in column 1 or 2.

(6) Use 2 digits ISO codes

**Remarks:**

**Table 5: Import of hazardous wastes and other wastes in 20XX**  
(Article 13.3(b) ii)

No importation took place in the reporting year:

If possible, provide a summary of detailed data from the table below (optional):

Summary data	
A	Total amount of hazardous wastes under Art. 1(1)a imported:
B	Total amount of hazardous wastes under Art. 1(1)b imported:
A+B	Total amount of hazardous wastes imported:
C	Total amount of other wastes imported (Annex II)
A+B+C	Total amount of controlled waste imported:

Provide detailed data in the table below:

Detailed data									
Category of waste				Hazardous characteristics <sup>(5)</sup>					
Waste code			Type of waste <sup>(4)</sup>	Basel Annex III code or national code (if Basel not applicable)	Amount imported (metric tons)	Country/ countries of transit <sup>(6)</sup>	Country of origin <sup>(6)</sup>	Final disposal operation (Annex IV A) D code	Recovery operation (Annex IV B) R code
Basel Annex VIII, II or IX <sup>(1)</sup>	Basel Annex I <sup>(2)</sup> (Y code)	National code <sup>(3)</sup>							

- (1) Crucial to fill in the codes of Annex VIII or, if applicable, of Annex II or IX.
- (2) Crucial to fill in, if you have not provided a waste code in column 1 or 3.
- (3) If applicable, fill in, in particular if there are no applicable waste codes in column 1.
- (4) Not required to fill in, if you have provided a waste code in column 1 or 2.
- (5) Not required to fill in, if you have provided waste code in column 1 or 2.
- (6) Use 2 digits ISO codes

**Remarks:**

### **Instructions for Tables 4 and 5:**

Tables 4 and 5 seek listing of *all* the transboundary movement of hazardous wastes and other wastes that were subject to control in accordance with the Basel Convention or with national legislation and that took place during the period of the concerned reporting year.

Reporting should contain accurate and complete information on the category of waste, the hazardous characteristics of the waste, the quantities of waste exported/imported, the countries involved with the movement(s), i.e. country/countries of transit and country of origin/country of destination, and type of final disposal or recovery operation to which the waste is destined.

If possible, in the **first table**, provide the **summary** of the detailed data that is to be provided in the second table.

**In both tables, provide information amounts of wastes in metric tons.** Use the mathematical symbol “.” to indicate *only* decimal fractions. Avoid using any other mathematical symbols, such as “,” or “`” to indicate thousands. For example, for ten thousand and a quarter tons, enter 10000.25. This avoids ambiguity while processing the data.

In the **second table**, provide **detailed** data on the export (Table 4) or import (Table 5) of wastes in accordance with the following instructions:

#### **Category of waste**

In column 1, it is crucial to fill in the codes of Annex VIII or, if applicable, of Annex II or IX of the Basel Convention.

In column 2, if you have not provided a waste code in column 1 or 3, it is crucial to fill in the Y code from Annex I of the Basel Convention. Where appropriate, more than one Y code may be given.

In column 3, fill in the national waste code, if applicable, in particular if there are no applicable waste codes in column 1.

In column 4, provide the type of waste (a description of the waste), but only if you have not provided a waste code in column 1 or 2.

**Note** that Annex VIII is not exhaustive and does not affect the implementation of Article 1, para 1(a) of the Convention for the purpose of characterization of wastes. Also, Annex IX is not exhaustive.

The Annexes of the Basel Convention referred to in Tables 4 and 5 are available on the [website of the Convention](#).

#### **Hazardous characteristics**

In column 5, in case a waste code is not provided in columns 1 and 2, **fill in** the hazardous characteristics of the waste concerned (either one or more codes from Annex III of the Convention or a national code if no code from Annex III applies).

#### **Amount exported/ Amount imported**

In column 6, provide a total amount exported/imported for each waste code or type of waste for the same hazardous characteristics if applicable, the country of import/country of origin, the same country/countries of transit if applicable and the same D/R code.

**Country/countries of transit**

In column 7, use 2-letter ISO codes to indicate the transit country/countries through which the transboundary movement of waste took place.

A list of ISO codes is available [here](#).

**Country of import/ country of origin**

In column 8, use 2-letter ISO codes to indicate the country of destination (Table 4) and country of origin (Table 5). “Country of destination” refers to the country to which waste was exported. “Country of origin” refers to the country from where the waste was imported.

**Final disposal operation**

In column 9, enter the appropriate D code from Annex IV A of the Basel Convention to indicate the final disposal operation to which the waste was destined.

**Recovery operation**

In column 10, enter appropriate R code from Annex IV B of the Basel Convention to indicate the recovery operation to which the waste was destined.

**Table 6: Total amount of generation of hazardous wastes and other wastes in the years indicated**  
 ([Article 4.2\(a\), 13.3\(i\) and Decision BC-10/2 on the Strategic Framework](#)) (optional)

Total amount of hazardous wastes and other wastes generated (metric tons)											
	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Total amount of hazardous wastes generated in the years for which official data are available											
If possible, total amount of hazardous wastes under Art. 1 (1)a (Annex VIII) generated											
If possible, total amount of hazardous wastes under Art. 1 (1)b generated											
If possible, total amount of other wastes generated (Annex II)											

**Remarks:**

**If possible, upload detailed national statistics on the generation of hazardous wastes<sup>(1)</sup> (optional):**  
 (box to select and upload file)

(1) The breakdown can be done according to the Basel codes (e.g. Annex I, Annex VIII) or national codes.

**Instructions:**

National data on waste generation provides a basis for decision-makers to prioritize issues concerning waste management. Moreover, the waste minimization and reduction and/or elimination of the generation and the amount of wastes subject to the transboundary movement could be dealt more efficiently, if a clearer picture of national data on waste generation exists. Further guidance on the collection of data for the purpose of reporting can be found in the [Methodological guide for the development of inventories of hazardous wastes and other wastes under the Basel Convention](#).

**If available, provide:**

- the total amount of hazardous wastes generated in your country.
- If possible, the total amount of wastes generated that is characterized as hazardous under for Article 1, para 1(a).
- If possible, the total amount of wastes generated that is characterized as hazardous under Article 1, para 1 (b).
- If possible, the total amount of other wastes generated belonging to any category in Annex II (Y46-Y47).

**Provide the amounts of wastes in metric tons.** Use the mathematical symbol “.” to indicate *only* decimal fractions. Avoid using any other mathematical symbols, such as “,” or “`” to indicate thousands. For example, for ten thousand and a quarter tons, enter 10000.25. This avoids ambiguity while processing the data.

**Provide** data for the previous years, if available, in case these have not been reported already.

**Provide** updates/corrections, if any, for the data already reported for the previous years.

**Table 7: Disposals which did not proceed as intended<sup>(1)</sup>**  
[\(Article 13.3\(b\) iii\)](#)

Did **disposals** which did not proceed as intended occur in the reporting year: Yes  No

**If yes**, please specify

Date of the incident	Country of export and country of import	Waste code	Type of waste <sup>(2)</sup>	Amount (in metric tons)	If possible, specify reason for the incident	If possible, specify alternative measures taken

Remarks:

(1) It does not include illegal traffic shipments, which are covered by Table 9

(2) Not required to fill in, if you have provided the waste code in column 3

**Instructions:**

This table seeks information on transboundary movement of hazardous wastes and/or other wastes, taking place during the concerned reporting year, that may not have been completed in accordance with the notification or consents of the Competent Authorities and the terms of the contract. Note that this table does not include illegal traffic shipments, which are covered by Table 9.

Disposals which did not proceed as intended could be due to various reasons such as force majeure (e.g. bankruptcy or facility not in service due to natural disaster or technical problems) or the waste proved as unsuited for the process.

In column 2, indicate the direction of transport as follows: “From country A to country B”; use 2-letter ISO codes to indicate countries. A list of ISO codes is available [here](#).

In column 3, fill in the code from Annex VIII, II or IX of the Basel Convention or, if this is not possible, the code from Annex I of the Basel Convention or the national code. The Annexes of the Basel Convention are available on the [website of the Convention](#).

**In column 4, give a description of the waste (not required to fill in, if you have provided the waste code in column 3).**

In column 5, fill in the amount in metric tons.

Use the mathematical symbol “ . ” to indicate *only* decimal fractions. Avoid using any other mathematical symbols, such as “ , ” or “ ` ” to indicate thousands. For example, for ten thousand and a quarter tons, enter 10000.25. This avoids ambiguity while processing the data.

In column 6, if possible, specify the reason(s) for the incident (e.g. force majeure (e.g. bankruptcy or facility not in service due to natural disaster or technical problems) or the waste proved as unsuited for the process).

In column 7, if possible, specify alternative measures taken, such as temporary storage, pre-treatment of the waste to make it suitable for the process or the delivery to another suitable facility.



**Table 8: Accidents occurring during the transboundary movement and disposal of hazardous wastes and other wastes**  
([Article 13.3\(f\)](#))

Did **accidents** occur during the transboundary movement and disposal of hazardous wastes and other wastes in the reporting year:

Yes  No

**If yes**, please specify;

Date and place of the accident	Country of export and country of import	Waste code	Type of waste <sup>(1)</sup>	Amount (in metric tons)	Type of accident	Measures taken to deal with the accident

Remarks:

(1) Not required to fill in, if you have provided the waste code in column 3

**Instructions:**

This table seeks information on any accident occurred in course of the transboundary movement or disposal of hazardous wastes and other wastes during the concerned reporting year.

In column 2, indicate the direction of transport as follows: “From country A to country B”; use 2-letter ISO codes to indicate countries. A list of ISO codes is available [here](#).

In column 3, fill in the code from Annex VIII, II or IX of the Basel Convention or, if this is not possible, the code from Annex I of the Basel Convention or the national code. The Annexes of the Basel Convention are available on the [website of the Convention](#).

In column 4, give a description of the waste (not required to fill in, if you have provided the waste code in column 3).

In column 5, fill in the amount in metric tons. Use the mathematical symbol “.” to indicate *only* decimal fractions. Avoid using any other mathematical symbols, such as “,” or “`” to indicate thousands. For example, for ten thousand and a quarter tons, enter 10000.25. This avoids ambiguity while processing the data.

In column 6, specify the type of accident, e.g., explosion of waste container with the formation of flammable gases.

In column 7, specify measures taken to deal with the accident, e.g., the waste container was not exported and the incident was investigated by the Environmental Agency and Fire Services.

**Table 9: Cases of illegal traffic which have been closed in the reporting year<sup>(1)</sup>**  
(Articles 9.5, 13.3(c), 13.3(i) and COP decisions related to illegal traffic)

Were **cases of illegal traffic** closed in the reporting year: Yes  No

If yes, please specify:

Country of export and country of import	Waste code	Type of waste <sup>(2)</sup>	Amount (metric tons)	Identification of the reason for illegality (possible reference to relevant Articles of Convention and national legislation)	Responsible for illegality (please tick ✓ as appropriate)			Measures taken including any punishment imposed
					Exporter or generator	Importer or disposer	other	

Remarks:

(1) For a more detailed form on confirmed cases of illegal traffic, see webpage of the Basel Convention: <http://www.basel.int/Procedures/ReportingonIllegalTraffic/tabid/1544/Default.aspx>

(2) Not required to fill in, if you have provided the waste code in column 2

**Instructions:**

The Basel Convention provides that each Party is to introduce appropriate national/domestic legislation to prevent and punish illegal traffic (Article 9 paragraph 5) and to take appropriate measures to implement and enforce the provisions of the Convention (Article 4 paragraph 4). The COP has invited Parties to report confirmed cases of illegal traffic to the Secretariat using the [prescribed form](#) for confirmed cases of illegal traffic.

Provide information only on those cases of illegal traffic that have been closed in the reporting year, even though their detection may have happened in the year before or earlier. In that regard, the term “closed” means that either the court has taken a final decision on a fine or prison or that an administrative fine has been issued.

Illegal traffic is defined in Article 9 paragraph 1 of the Basel Convention as follows:

“ For the purpose of this Convention, any transboundary movement of hazardous wastes or other wastes:

- (a) **without notification** pursuant to the provisions of this Convention to all States concerned; or
- (b) **without the consent** pursuant to the provisions of this Convention of a State concerned; or
- (c) with **consent** obtained from States concerned **through falsification, misrepresentation or fraud**; or
- (d) that **does not conform in a material way** with the documents; or
- (e) that **results in deliberate disposal** (e.g. dumping) of hazardous wastes or other wastes **in contravention of this Convention** and of general principles of international law, shall be deemed to be illegal traffic.”

In column 1, indicate the countries involved on the case of illegal traffic (country of export and country of import), indicating the direction of transport as follows: “From country A to country B”; use 2-letter ISO codes to indicate countries. A list of ISO codes is available [here](#).

In column 2, fill in the code from Annex VIII, II or IX of the Basel Convention or, if this is not possible, the code from Annex I of the Basel Convention or the national code. The Annexes of the Basel Convention are available on the [website of the Convention](#).

In column 3, provide a description of the waste (not required to fill in, if you have provided the waste code in column 2).

In column 4, fill in the amount in metric tons. Use the mathematical symbol “.” to indicate *only* decimal fractions. Avoid using any other mathematical symbols, such as “,” or “`” to indicate thousands. For example, for ten thousand and a quarter tons, enter 10000.25.

In column 5, specify for what reason the transboundary movement is a case of illegal traffic based on the definition of illegal traffic above and any additional national legislation.

In column 6, specify the entity that was identified as being responsible for the case of illegal traffic, bearing in mind that multiple entities may be responsible.

In column 7, specify the measures taken in your country as a result of the case of illegal traffic. These may include:

- prosecution of those responsible for the illegal traffic, and the outcome e.g. conviction with fine or prison sentence, administrative measures such as revocation of an authorization, civil measures such as compensation for damage, or acquittal.
- Cooperation measures taken such as: legal assistance provided to another country concerned by the case of illegal traffic to enable additional prosecutions, exchange with other countries so as to better prevent illegal traffic in the future, further investigations of related illegal activities or communication to the Secretariat of the form for confirmed cases of illegal traffic.

## REFERENCES

ICC (Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention). 2014. Revised Guide to the Control System-Instruction Manual for Use by those Persons Involved in Transboundary Movements of Hazardous Wastes. Available at:

<http://www.basel.int/portals/4/download.aspx?d=UNEP-CHW.12-9-Add.3-Rev.1.English.pdf>

ICC (Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention). 2014. Methodological guide for the development of Inventories of hazardous wastes and other wastes under the Basel Convention. Available at:

<http://www.basel.int/portals/4/download.aspx?d=UNEP-CHW.12-9-Add.1.English.pdf>

ICC (Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention). 2015. Manual for the implementation of the Basel Convention. Available at:

<http://www.basel.int/portals/4/download.aspx?d=UNEP-CHW.12-9-Add.4-Rev.1.English.pdf>

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