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**Conference of the Parties to the Basel Convention
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Hazardous Wastes and Their Disposal
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Item 4 (c) (i) of the provisional agenda*

**Matters related to the implementation of the Convention:
legal, compliance and governance matters: Committee
Administering the Mechanism for Promoting
Implementation and Compliance**

**Committee Administering the Mechanism for Promoting
Implementation and Compliance: revised guidance on
improving national reporting**

Note by the Secretariat

As referred to in the note by the Secretariat on the Committee Administering the Mechanism for Promoting Implementation and Compliance (UNEP/CHW.13/9), the annex to the present note sets out draft revised guidance on improving national reporting. The present note, including its annex, has not been formally edited.

* UNEP/CHW.13/1.

Annex

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

(Draft of February 2017)

Table of Contents

FOREWORD	4
INTRODUCTION	5
1. The purpose of this guidance.....	5
2. The importance of reporting	6
3. Challenges experienced with reporting	6
3.1 Lack of clarity about terminology	6
3.2 Poor Internet connectivity.....	6
3.3 Difficulties in collecting data or information from entities	7
3.4 Lack of human, technical and financial resources.....	7
4. Overcoming challenges experienced with reporting	7
5. Part I: ORGANISATION AND FUNCTIONS	9
5.1 Designate Focal Point	9
5.2 Designate Competent Authorit(y)(ies).....	10
5.3 Establish procedures and legislation for licensing	10
5.4 Establish adequate border controls	11
6. Part II: ENGAGING RELEVANT ENTITIES FROM THE PUBLIC AND PRIVATE SECTORS 11	
6.1 Identify and develop a list of stakeholders	11
6.2 Undertake awareness raising activities	12
6.3 Establishing coordination or cooperative mechanisms	12
6.4 Establish technical groups.....	12
Annex I: Revised format for national reporting.....	12
Annex II: Relationship between this guidance and other key resources.....	45

FOREWORD

The Basel Convention on the Control of Transboundary Movements of Hazardous and their Disposal (the Basel Convention) is the main global Multilateral Environmental Agreement regulating the transboundary movement of wastes. The overarching objective of the Basel Convention is to protect human health and the environment against the adverse effects of hazardous wastes and other wastes.

The Basel Convention was adopted in March 1989 and entered into force in May 1992.

Article 13 paragraph 3 of the Basel Convention requires Parties to report information related to their implementation of the Convention. Reports are submitted annually through the Secretariat to the Conference of the Parties (hereinafter “COP”). This reporting allows bodies of the Basel Convention to monitor implementation and to identify issues that need to be addressed.

Over the years, the Committee Administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention (hereinafter “the Committee”) has been tasked by the COP to improve the implementation and compliance with the national reporting obligation set out in Article 13 paragraph 3. This has included monitoring reporting, and keeping the COP informed of the rate of reporting and the timeliness and completeness of national reports transmitted by Parties. Although there have been slight improvements since 2010, the reporting targets adopted by the COP since 2009¹ have never been met, and as at 2013 only 47 per cent of Basel Convention Parties submitted a national report². What is more, a particular group of Parties appear to have difficulties with reporting: nearly 60 Parties have not submitted reports since 2009.

This document has been prepared under the mandate provided by Decision BC-12/7,³ in which the twelfth meeting of the COP adopted the work programme of the Committee for the biennium 2016-2017 and through which the COP requested the Committee to undertake a number of activities to improve implementation and compliance with the national reporting obligation set out in Article 13 paragraph 3, including, as a result of the adoption of a revised formal for national reporting, the revision of the existing guidance on improving national reporting⁴. [This guidance was adopted by the Conference of the Parties at its [...] meeting by decision BC-[...]/[...]]

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 Basel Convention guidance documents (available at <http://www.basel.int/Implementation/Publications/GuidanceManuals/tabid/2364/Default.aspx>). 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: brs@brsmeas.org

¹ By decision BC-10/11, the Conference of the Parties for the first time requested the Committee to classify Parties compliance performance with national reporting, starting with the year 2009. This mandate was then extended by decisions BC-11/8 and BC-12/7.

² The classification is set out in document UNEP/CHW.13/INF/26.

³ Decision BC-12/7 is available at:

<http://www.basel.int/TheConvention/ConferenceoftheParties/ReportsandDecisions/tabid/3303/Default.aspx>.

⁴ The previous iteration of the guidance was developed by the Committee under its 2007-2008 work programme.

INTRODUCTION

1. The purpose of this guidance

1. The guidance document has been prepared to assist the implementation of 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”.*

2. During its twelfth meeting, the Conference of the Parties adopted the revised format for national reporting⁵ to be used for national reporting purposes as of 2016 to fulfill the obligation set out in Article 13 paragraph 3 of the Basel Convention. For the convenience of the reader, the format is set out in annex I.

3. This guidance document is primarily meant to be a practical guide for the national 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; as such, this document is expected to complement existing documents, which include the following –

- (a) On implementation generally there is the Manual on the Implementation of the Basel Convention (the Implementation Manual), which includes a checklist for the legislator⁶;
- (b) On the regime to control transboundary movements of wastes covered by the Basel Convention, there is the Guide to the Control System⁷;
- (c) On reporting there is:

⁵ The format was adopted by decision BC-12/5.

⁶ <http://www.basel.int/Implementation/Publications/GuidanceManuals/tabid/2364/Default.aspx>.

⁷ *ibid.*

- (i) the [Manual for completing the format for national reporting under the Basel Convention (the Reporting Manual)]⁸; and
- (ii) [the benchmark report aimed at facilitating reporting under paragraph 3 of Article 13 of the Basel Convention⁹].

(d) On developing an inventory of hazardous and other wastes generated or moved across borders, there is the Methodological Guide for Undertaking National Inventories under the Basel Convention¹⁰ (the Inventories Guide).

4. All these documents, and additional guidance documents on specific issues pertaining to the implementation of the Basel Convention, can be accessed on the website of the Convention¹¹. A diagram illustrating the relationship between this guidance document and other key resources appears in annex II.

2. The importance of reporting

5. Despite the requirements of Article 13 paragraph 3, the rate of reporting under the Basel Convention remains close to 50%¹². In addition, few Parties submit complete and national reports¹³. The problem of non-reporting, incomplete reporting or late reporting, has been recognized by the COP as being all the more serious because of the close link between the core obligations of the Basel Convention and the obligation to submit national reports.

6. All Parties may benefit from improved reporting because of the way information in the reports is used: it can provide valuable material for analyses relating to trends in transboundary movements and the generation of wastes at the national level. At the global level, it can also be used to identify systemic successes and failings in the implementation of the Basel Convention and help the evaluation of the effectiveness of the Convention, as provided for in Article 15 paragraph 7. In addition, information contained in national reports can be used to determine progress reaching goal 12, on sustainable consumption and production, of the Sustainable Development Goals. In particular targets 12.4 and 12.5, which relate to the environmentally sound management of chemicals and all wastes throughout their life cycle and the reduction of waste generation through prevention, reduction, recycling and reuse.

3. Challenges experienced with reporting

7. Some of the most significant difficulties in reporting are listed below¹⁴.

3.1 Lack of clarity about terminology

8. It can be difficult to determine which waste types are controlled by the Basel Convention, particularly when national laws do not have a clear definition of “wastes, “hazardous wastes” or “other wastes”. There can also be instances where it is difficult to determine what a “transboundary movement” is, for instance as of when a movement is considered to have been initiated, or how to define “transit”.

3.2 Poor internet connectivity

9. Some Parties have reported poor internet connectivity, which becomes a particularly important issue now that the COP has invited Parties to complete the reporting questionnaire in electronic form. Parties should now submit their annual national reports using the Electronic Reporting System of the Basel Convention through which the reporting questionnaire is made available online.

⁸ [...]

⁹ <http://www.basel.int/Countries/NationalReporting/Guidance/tabid/1498/Default.aspx>.

¹⁰ <http://www.basel.int/Implementation/Publications/GuidanceManuals/tabid/2364/Default.aspx>.

¹¹ See <http://www.basel.int>.

¹² The reporting rate for 2009 was 53%, for 2010 it was 40%, for 2011 it was 49%, for 2012 it was 45% and for 2013 it was 47%. See document UNEP/CHW.13/INF/26.

¹³ For 2013, 9 of 178 Parties have transmitted a complete report on time. See document UNEP/CHW.13/INF/26.

¹⁴ Challenges experienced with reporting were collected from Parties and reviewed by the Committee in the context of its mandate to improve implementation and compliance with the national reporting obligation. See in particular documents UNEP/CHW/CC.9/7 and UNEP/CHW/CC/8/14.

3.3 Difficulties in collecting data or information from entities

10. All the entities, whether from the private sector or governmental, involved in the life of the Basel Convention may have a role in contributing directly or indirectly data or information required to complete the national report. However some or all of these entities may not have been identified or be aware of their role.

11. Within some Parties there may be a lack of coordination and fragmentation of efforts among government departments. There may be similar issues to address about the relationship between central government authority and government at the local levels.

3.4 Lack of human, technical and financial resources

12. The full implementation of the Basel Convention reporting requirements requires a variety of skilled professionals, including officials with appropriate legal and technical expertise.

13. A lack of access to adequate funding and information technology for monitoring, collecting, storing and exchanging data on the generation and disposal of wastes at the national level and on transboundary movements of wastes may also limit the ability of Parties to fulfill their obligations with respect to national reporting.

4. Overcoming challenges experienced with reporting

14. The development and updating of a national inventory of hazardous wastes and other wastes is a prerequisite for each Party to be in a position to have information on the wastes generated at the national level as well as of the wastes imported in and exported from the Party. The methodological guide for undertaking national inventories under the Basel Convention, adopted by the twelfth meeting of the Conference of the Parties¹⁵, was developed to assist Parties in developing such inventories.

15. As mentioned previously, this guidance document will not duplicate information set out in the inventories guide and Parties are therefore encouraged to turn their attention to that guide should they need guidance on how to develop an inventory of the wastes covered by the Basel Convention. The inventories guide will be helpful for Parties to complete the following tables of the revised reporting format:

- (a) Table 2: Final disposal options operated within the National Jurisdiction;
- (b) Table 3: Recovery options operated within the National Jurisdiction;
- (c) Table 4: Export of hazardous wastes and other wastes in 20XX;
- (d) Table 5: Import of hazardous wastes and other wastes in 20XX;
- (e) Table 6: Total amount of generation of hazardous wastes and other wastes in the years indicated.

16. Most of the challenges identified above can be explained by the absence of an adequate legal and institutional framework, which is a precondition for the successful implementation of the Basel Convention in general, and for systematic and compliant reporting, in particular with:

- (a) Question 1 on Competent Authority and Focal Point, Measures to Implement and Enforce the provisions of the Basel Convention;
- (b) Question 2 on Wastes Controlled for the Purpose of Transboundary Movement;
- (c) Question 3 on Restrictions on Transboundary Movement of Hazardous Wastes and Other Wastes;
- (d) Question 4 on Control Procedure of the Transboundary Movement of Waste;
- (e) Question 5 on Reduction and/or Elimination of the Generation of Hazardous Wastes and Other Wastes;
- (f) Question 6 on Reduction of the Amount of Hazardous Wastes and Other Wastes Subject to the Transboundary Movement;
- (g) Question 7 on Effect on Human Health and the Environment;

¹⁵ <http://www.basel.int/Implementation/Publications/GuidanceManuals/tabid/2364/Default.aspx>.

(h) Table 1 on Bilateral, Multilateral or Regional Agreements or Arrangements in force in 20XX;

(i) Table 9 on Cases of illegal traffic which have been closed in the reporting year.

17. Adequate legal and institutional frameworks will also help with collecting and sharing information on: options at the national level for the final disposal or recovery of wastes (tables 2 and 3), the export and import of wastes (tables 4 and 5), the amount and nature of wastes generated at the national level (table 6), disposals which did not proceed as intended (table 8) and accidents occurring during the transboundary movement and disposal of hazardous wastes and other wastes (table 9).

18. Several resources are already available or under development to assist Parties develop adequate legal frameworks:

(a) The checklist for the legislator provides a useful tool for Parties to assess whether their existing national legal framework incorporates the necessary provisions of the Basel Convention;

(b) [Guidance pertaining to the development of legislation transposing the Basel Convention at the national level may be found in the guide for the development of national legal frameworks to implement the Basel Convention. The guide provides comprehensive information on what must and can be included in the national legal framework to fully implement the provisions of the Basel Convention.];

(c) Guidance on preventing and combating illegal traffic includes: Guidance Elements for Detection, Prevention and Control of Illegal Traffic in Hazardous Waste, Instruction manual on the prosecution of illegal traffic of hazardous wastes or other wastes, Basel Convention Training Manual on Illegal Traffic for Customs and Enforcement Agencies¹⁶ and the Manual for Customs on hazardous chemicals and wastes under the Basel, Rotterdam and Stockholm conventions¹⁷;

(d) The distinction between “waste” and “non-waste” is at the core of the glossary of terms [adopted by the Conference of the Parties at its thirteenth meeting¹⁸].

19. Additional work is currently under way with respect to the scope of the “wastes” covered by the Basel Convention through the review of the disposal operations listed in its Annex IV¹⁹.

20. Again, this guidance document will not duplicate information set out in the existing guidance to develop adequate legal frameworks, [in particular the guide for the development of national legal frameworks to implement the Basel Convention], and Parties are therefore encouraged to turn their attention to such guidance as needed.

21. Legal and institutional arrangements for reporting will vary from Party to Party.

22. On a general note, it is important to ensure that the national legal and institutional framework has adequate technical and administrative capability to deliver compliance with the Basel Convention, in particular with the obligation to report.

23. In addition to accessing existing guidance on reporting²⁰ or contacting the Secretariat, it is helpful, as soon as possible, to identify and keep a list of institutions within the country or outside that may be contacted for technical assistance and technology transfer or financial assistance. These institutions might include other Parties, Basel Convention Regional Centres²¹, international organizations such as UN Environment²², governmental institutions, universities, research centres, and industry. The Committee Administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention has acquired and continues to gain significant experience in

¹⁶ See: <http://www.basel.int/Implementation/LegalMatters/IllegalTraffic/Guidance/tabid/3423/Default.aspx>.

¹⁷ See <http://brsmeas.org/Implementation/TechnicalAssistance/ToolsandMethodologies/ManualforCustomsOfficers/tabid/4457/language/fr-CH/Default.aspx>.

¹⁸ The glossary is available at: [...]

¹⁹ See [...]

²⁰ See <http://basel.int/Countries/NationalReporting/Guidance/tabid/1498/Default.aspx>.

²¹ See <http://www.basel.int/Partners/RegionalCentres/Overview/tabid/2334/Default.aspx>.

²² See for instance UNEP’s special programme to support institutional strengthening at the national level to enhance implementation of the Basel Convention, including strengthening institutional capacity to improve progress reporting (<http://www.unep.org/chemicalsandwaste/SpecialProgramme>).

assisting Parties concerned by a submission in facilitating the implementation of and restoring compliance with the national reporting obligation²³.

24. Sources of technical and financial assistance can be valuable in providing or accessing training, technical and scientific know-how as well as advice and expertise in areas relevant to national reporting such as:

- (a) Developing an adequate legal framework or reviewing its compatibility with the provisions of the Basel Convention;
- (b) Developing an inventory of wastes and establishing procedures for their continuous update;
- (c) Understanding the Basel Convention's requirements for the control of transboundary movements of wastes and how to use the notification and movement document forms;
- (d) Identifying and classifying wastes;
- (e) Monitoring the generation and movements of hazardous wastes and other wastes;
- (f) Identifying and prosecuting cases of illegal traffic;
- (g) Developing funding proposals for the overall implementation of the Basel Convention and for fulfilling the reporting obligation in particular.

25. Given its complementary nature to existing guidance, in particular on developing an inventory of wastes and developing legislation implementation the Basel Convention, this guidance will focus on making recommendations on how to build up an institutional structure for reporting purposes by:

- (a) Considering organisation and functions in Part I;
- (b) Advising on the engagement of relevant entities from the public or private sector in Part II.

26. It is important to note that some questions of the reporting format usually do not require many updates from year to year as they pertain to the legal and institutional framework in place within the Party. Any updates will therefore be on a case by case basis. Other parts of the format, for instance tables 4 to 6 on waste generated, imported or exported, will require that the data be, each year, updated. Accordingly, more consistent effort will be needed to complete these.

5. Part I: ORGANISATION AND FUNCTIONS

27. There are a number of necessary organisational steps to be taken within the government to prepare and transmit national reports under the Basel Convention. The roles and responsibilities of different parts of government need to be clarified; it is important to avoid fragmented and/or overlapping mandates. Some key steps are listed below. Additional institutional arrangements are detailed in part II.

5.1 Designate Focal Point

28. Focal points are responsible for receiving and transmitting information as provided for in Articles 13 and 16 of the Basel Convention. National reports will thus be transmitted to the Secretariat through the Focal Point.

29. A Focal Point may be a from a ministry with responsibility for the issues covered by the Basel Convention, for instance environment or commerce and industry, or from the ministry dealing with international of foreign affairs. A Party to the Basel Convention may designate *only* one Focal Point and it must inform the Secretariat thereof.

30. Question 1 of the revised reporting format seeks information on the focal point designated by the Party.

31. For further information on focal points, see:

- (a) The leaflet on the role of competent authorities and focal points under the Basel Convention²⁴;

²³ See

<http://www.basel.int/Implementation/LegalMatters/Compliance/SpecificSubmissionsActivities/tabid/2310/Default.aspx>

- (b) The procedures for designating a focal point²⁵;
- (c) Page 14 of the implementation manual;
- (d) Pages [...]of the reporting manual;
- (e) The list of focal points designated by Parties²⁶.

5.2 Designate Competent Authorit(y)(ies)

32. Competent Authorities have responsibility for controlling the transboundary movement of hazardous and other wastes. They are therefore the keepers of information to be reported on exports and imports of hazardous wastes and other wastes (tables 4 and 5). They may have a key role in the licensing of those entities engaged in transporting, collecting, treating but also in generating and disposing of hazardous wastes and other wastes (see below). They may therefore also be the keepers of the information to be reported on wastes generated (table 6), on disposal options within the country (tables 2 and 3) and on any incident or accident which may occur (tables 7 and 8). In addition, given their central role with respect to transboundary movements of wastes, they will also have an important with respect to reporting cases of illegal traffic (table 9).

33. A Competent Authority may be an agency or authority responsible for environmental protection and pollution control. Each Party must inform the Secretariat of the Competent Authority/ies it had designated. Competent Authorities may be given additional responsibilities at the national level, for instance with respect to the generation and management of the wastes covered by the Basel Convention. If such responsibilities are given to a different entity, it is important that the respective responsibilities be clear and that modalities for cooperation be established to ensure that all necessary information and data for the purpose of reporting be collected and transmitted.

34. More than one Competent Authority can be designated depending on the area of responsibility and nature of activities. For instance, a Party with a federal structure may have multiple competent authorities; or a Party may designate different Competent Authorities depending on the nature of the wastes moved across borders. However, only one competent authority may be designated to receive a notification when a country is a State of transit for the purposes of the Basel Convention.

35. Question 1 of the revised reporting format seeks information about the Competent Authority/ies.

36. For further guidance on competent authorities, see:

- (a) The leaflet on the role of competent authorities and focal points under the Basel Convention²⁷;
- (b) The procedures for designating a competent authority²⁸;
- (c) Page 14 of the implementation manual;
- (d) Pages [...]of the reporting manual;
- (e) The list of competent authorities designated by Parties²⁹.

5.3 Establish procedures and legislation for licensing

37. The Basel Convention requires that each Party take the necessary steps so that only those persons authorized or allowed to do so transport and dispose of hazardous wastes and other wastes (Article 4 paragraph 7 a). It may be valuable however for a Party to develop procedures for licensing the generation, transportation, collections, storage, treatment, disposal, import and export of hazardous wastes and other wastes. Such licensing should be linked to an obligation to maintain a registry of wastes generated, imported and exported, as relevant, and to communicate such information to the entity within the Party responsible for collecting that information for reporting purposes (tables 4, 5 and 6).

38. Bear in mind that your country may have prohibited or restricted the import and or export of hazardous wastes and other wastes, as possible pursuant to Article 4 paragraph 1 and Article 13

²⁴ <http://basel.int/Implementation/Publications/BrochuresLeaflets/tabid/2365/Default.aspx>

²⁵ <http://basel.int/Procedures/FocalPoint/tabid/1325/Default.aspx>

²⁶ <http://basel.int/Countries/CountryContacts/tabid/1342/Default.aspx>

²⁷ <http://basel.int/Implementation/Publications/BrochuresLeaflets/tabid/2365/Default.aspx>.

²⁸ <http://basel.int/Procedures/CompetentAuthorities/tabid/1324/Default.aspx>.

²⁹ <http://basel.int/Countries/CountryContacts/tabid/1342/Default.aspx>.

paragraph 2 of the Basel Convention. Any licensing system must be consistent with such restrictions and prohibitions.

39. For more information on the licensing of entities, see:
- (a) The inventories guide;
 - (b) [The guide for the development of national legal frameworks to implement the Basel Convention].

5.4 Establish adequate border controls

40. Develop an agreed way of working with Customs and other border control officials, possibly set out in the form of a Memorandum of Understanding. It will be necessary to ensure that there are border controls to monitor transboundary movement of hazardous wastes and other wastes. Cooperation with Customs and other border control officials may therefore be important to gather additional data on imports and exports of wastes covered by the Basel Convention (tables 4 and 5). These entities will also play an important role in preventing and combating illegal traffic, and hence identifying cases of illegal traffic and contributing to the process that will lead to completing table 9.

41. There should be arrangements for:
- (a) Technical assistance to train customs and other border control officials to identify the categories of waste and cases of illegal traffic;
 - (b) The development of laboratory capacity;
 - (c) The use of the World Customs Organisation harmonised systems.
42. For more information on the role of Customs in enforcing the Basel Convention, see:
- (a) The Guidance Elements for Detection, Prevention and Control of Illegal Traffic in Hazardous Waste³⁰;
 - (b) Basel Convention Training Manual on Illegal Traffic for Customs and Enforcement Agencies³¹;
 - (c) The Manual for Customs on hazardous chemicals and wastes under the Basel, Rotterdam and Stockholm conventions³².

6. Part II: ENGAGING RELEVANT ENTITIES FROM THE PUBLIC AND PRIVATE SECTORS

6.1 Identify and develop a list of stakeholders

43. A first step towards engaging all stakeholders with a role in fulfilling the reporting obligation – within or outside the government - is to identify them. Ideally, all these stakeholders will have been involved in the drafting of the legal framework implementing the Basel Convention and should be involved in the development of the inventory of wastes.

44. Within government, in addition to the Focal Point and Competent Authority/ies, it will be important to identify entities from various Ministries not only with primary responsibility for the implementation and the enforcement of the Basel Convention but whose responsibilities may be of relevance to achieving the objectives of the Convention. Depending on the Party, entities at the regional or local levels may also have a key role in collecting data and information or relevant to national reporting and should therefore also be fully taken into account.

45. Outside of government, stakeholders will include waste generators, collectors, transporters, exporters, importers and disposers. Civil society organizations as well may play a key role for the successful implementation of the Basel Convention.

46. The list identifying stakeholders will also clarify their expected role with respect to fulfilling all the questions and tables of the reporting format, such as providing data on waste generated (table

³⁰ See: <http://www.basel.int/Implementation/LegalMatters/IllegalTraffic/Guidance/tabid/3423/Default.aspx>.

³¹ See: <http://www.basel.int/Implementation/LegalMatters/IllegalTraffic/Guidance/tabid/3423/Default.aspx>.

³² See <http://brsmeas.org/Implementation/TechnicalAssistance/ToolsandMethodologies/ManualforCustomsOfficers/tabid/4457/language/fr-CH/Default.aspx>.

6) or providing information on any restriction or prohibition to the import or export of hazardous wastes or other wastes (question 3).

6.2 Undertake awareness raising activities

47. There should be awareness-raising activities in order to raise the understanding of the Basel Convention and its objectives, and to prepare entities for the role they will play towards fulfilling the national reporting obligation. This will involve the exploration and development of affordable and cost effective tools, which may include information campaigns and consultations.

6.3 Establishing coordination or cooperative mechanisms

48. There is a variety of ways of establishing, with more or less levels of formalism, coordination or cooperative modalities between stakeholders. One possibility is the establishment of national coordination/steering committees, another is to develop agreements for cooperation between the various stakeholders, e.g., memorandums of understanding.

49. A national coordination/steering committee may be composed of governmental bodies (including from central government and local authorities when relevant), civil society, the private sector and international bodies. Its role may be confined to fulfilling the national reporting obligation, although ideally it would extend to all aspects of the implementation and enforcement of the Basel Convention. Such coordination may be helpful not only to clarify respective roles and ensure good cooperation but also to provide a source for access to expertise for the broader community.

50. The terms of reference of a national coordination/steering committee with a broad mandate may include the following:

- (a) Developing waste strategies and policies;
- (b) As relevant, advising on the development of or review of the legal framework implementing the Basel Convention;
- (c) Overseeing the implementation and enforcement of the Basel Convention;
- (d) Coordinating technical groups, for instance a technical group on national reporting mandated to prepare the national reports;
- (e) Preparing positions for meetings of the Basel Convention bodies and disseminating their outcomes;
- (f) Clarifying respective roles;
- (g) Coordinating efforts to obtain technical and financial assistance.

51. The terms of reference would also clarify working modalities of a national coordination/steering committee (e.g., meetings and frequency).

52. Agreeing on the scope and modalities of cooperation can also be done by developing memoranda of understanding between relevant entities, whether from the government (departments of trade and industry, customs and excise) or outside (eg. as academia, associations of commerce and industry). The content of the agreement could cover areas similar to those dealt with in a national coordination/steering committee.

6.4 Establish technical groups

53. Whether cooperation and coordination is facilitated through the establishment of a national coordination/steering committee or the development of agreements, a number of interagency technical groups can be established 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. As mentioned above, one technical group could be tasked with coordinating the preparation of the national reports by collecting information of both a legal and institutional nature, and data on wastes generated, moved across borders, as well as on any incident or accident. The group would for instance oversee the licensing of entities (waste generators, transporters, collectors, disposers) and the process towards collecting and sharing information and data for the purposes of national reporting.

Annex I to the revised guidance document: Revised format for national reporting

Secretariat of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal

Questionnaire on "Transmission of Information"

Reporting for the year 20XX^{331, 2}

¹ Adopted by COP-12 in decision BC-12/6.

² The questionnaire will be made available in the electronic reporting system of the Basel Convention.

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

1a	<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" 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: 5%;">Tel:</th> <th style="width: 5%;">Fax:</th> <th style="width: 10%;">Address:</th> <th style="width: 10%;">e-Mail:</th> <th style="width: 10%;">Web site</th> </tr> </thead> <tbody> <tr> <td>CA1</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> </tr> <tr> <td>CAX</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	CA1									CA2									CAX								
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CA2																																					
CAX																																					
1a.1	<p>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? (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>																																				
1a.2	<p>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. (Articles 13.2(a), 13.3(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 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.</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: 5%;">Tel:</th> <th style="width: 5%;">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: 5%;"></th> <th style="width: 5%;"></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> <p>Add button</p>	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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XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete																											

1a.3	<p>Upload supporting documents.</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>																						
1b	<p>Designated Focal Point 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 focal point</u>.</p> <p>According to the Secretariat's records the Focal Point in your country is:</p> <table border="1" data-bbox="342 579 1429 653"> <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 colspan="2"></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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XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete													
1b.1	<p>Do you want to update the above-mentioned information pertaining to the existing Focal Point or notify the Secretariat of a new Focal Point? (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 1b.2 and 1b.3)</i></p>																						
1b.2	<p>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. (Articles 13.2(a), 13.3(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 1b 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. 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" data-bbox="342 1528 1429 1602"> <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 colspan="2"></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> <p>Add button (which appears only if no FP is in the database, since each Party can only have ONE FP).</p>	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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XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete													

<p>1b.3</p>	<p>Upload supporting documents.</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>
<p>1c</p>	<p>I. <u>Measures to implement and enforce the provisions of the Convention (Articles 4.4, 9.5 and 13.3(c))</u> Legislation</p> <p>(i) Has your country adopted legislation to implement the provisions of the Basel Convention?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
<p>(ii)</p>	<p>Does the legislation make provision to <u>prevent illegal traffic</u> of hazardous and other wastes? <u>(Articles 4.4, 9.5 and 13.3(c)) (optional)</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
<p>(iii)</p>	<p>Does the legislation provide that <u>illegal traffic is criminal</u>? <u>(Articles 4.3, 4.4, 9.5 and 13.3(c)) (optional)</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, what are the <u>punishments</u> provided:</p> <p>Fine <input type="checkbox"/> Prison <input type="checkbox"/> Other <input type="checkbox"/></p> <p>If other, please specify:</p>
<p>(iv)</p>	<p>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: <u>(Articles 4.4, 9.5 and 13.3(c))</u></p> <p>Link:</p> <p><i>(box to select and upload file)</i></p>

Wastes Controlled for the Purpose of Transboundary Movement

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

2b 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? (Articles 3.1, 13.2(b) and 13.3(c))
 Yes No

Has this definition been changed in the current reporting year?
 Yes No

If yes:

(i) Please specify the national definition of hazardous wastes:

(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 ⁽¹⁾	Type of waste ⁽²⁾	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):

⁽¹⁾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.

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

2c **Are there any wastes that are not hazardous, but require special consideration when subjected to transboundary movement (optional)?
(Articles 4.11 and 13.3(i))**

Yes No

If yes:

(i) Please specify :

(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) Attach a list or provide it in the following table:

National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any

(box to select and upload file)

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

⁽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

Restrictions on Transboundary Movement of Hazardous Wastes and Other Wastes

3a	<p>Has the amendment to the Basel Convention (Decision III/1) been implemented in your country? <u>(Articles 13.2(c), 13.2(d) and 13.3.(c))</u></p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Remarks:</p>
3b	<p>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)? <u>(Articles 13.2(d), 13.3(c) and 13.3(i)).</u></p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
(i)	<p>The nature of the restriction:</p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p>If partial restriction (e.g. depending on the intended final disposal operation) please specify the nature of the restriction:</p>
(ii)	<p>The country or region covered by this restriction:</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>If other, please specify:</p>

	<p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
(i)	<p>The nature of the restriction:</p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p>If partial restriction (e.g. depending on the intended Annex IV B disposal operation), please specify the nature of the restriction:</p>
(ii)	<p>The country or region covered by this restriction:</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>If other, please specify:</p>

(iii)	<p>The wastes covered by the restrictions:</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>If other, please specify:</p> <p>If possible, attach a list or provide it in the following table (optional):</p> <table border="1" data-bbox="376 821 1395 1012"> <thead> <tr> <th data-bbox="376 821 594 884">Waste code</th> <th data-bbox="594 821 1146 884">Type of waste⁽¹⁾</th> <th data-bbox="1146 821 1395 884">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="376 884 594 926"></td> <td data-bbox="594 884 1146 926"></td> <td data-bbox="1146 884 1395 926"></td> </tr> <tr> <td data-bbox="376 926 594 968"></td> <td data-bbox="594 926 1146 968"></td> <td data-bbox="1146 926 1395 968"></td> </tr> <tr> <td data-bbox="376 968 594 1012"></td> <td data-bbox="594 968 1146 1012"></td> <td data-bbox="1146 968 1395 1012"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p>⁽¹⁾ Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste ⁽¹⁾	Remarks, if any									
Waste code	Type of waste ⁽¹⁾	Remarks, if any											
(iv)	<p>If possible, provide relevant legislation and its entry into force (optional):</p> <p><i>(box to select and upload file)</i></p>												
(v)	<p>Remarks:</p>												
3d	<p>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)? <u>(Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>												

(i)	<p>The nature of the restriction:</p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p>If partial restriction (e.g. depending on the intended final disposal operation) please specify the nature of the restriction:</p>
(ii)	<p>The country or region covered by this restriction:</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>If other, please specify:</p>

(iii)	<p>The wastes covered by the restrictions:</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>If other, please specify:</p> <p>If possible, attach a list or provide it in the following table (optional):</p> <table border="1" data-bbox="358 911 1411 1146"> <thead> <tr> <th data-bbox="358 911 574 972">Waste code</th> <th data-bbox="574 911 1146 972">Type of waste⁽¹⁾</th> <th data-bbox="1146 911 1411 972">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="358 972 574 1012"></td> <td data-bbox="574 972 1146 1012"></td> <td data-bbox="1146 972 1411 1012"></td> </tr> <tr> <td data-bbox="358 1012 574 1052"></td> <td data-bbox="574 1012 1146 1052"></td> <td data-bbox="1146 1012 1411 1052"></td> </tr> <tr> <td data-bbox="358 1052 574 1092"></td> <td data-bbox="574 1052 1146 1092"></td> <td data-bbox="1146 1052 1411 1092"></td> </tr> <tr> <td data-bbox="358 1092 574 1146"></td> <td data-bbox="574 1092 1146 1146"></td> <td data-bbox="1146 1092 1411 1146"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p>⁽¹⁾ Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste ⁽¹⁾	Remarks, if any												
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(iv)	<p>If possible, provide relevant legislation and its entry into force (optional):</p> <p><i>(box to select and upload file)</i></p>															
(v)	<p>Remarks:</p>															
3e	<p>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)? <u>(Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</u></p>															

	<p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
(i)	<p>The nature of the restriction:</p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p>If partial restriction (e.g. depending on the intended Annex IV B disposal operation), please specify the nature of the restriction:</p>
(ii)	<p>The country or region covered by this restriction:</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>If other, please specify:</p>

(iii)	<p>The wastes covered by the restriction:</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>If other, please specify:</p> <p>If possible, attach a list or provide it in the following table (optional):</p> <table border="1" data-bbox="358 993 1412 1228"> <thead> <tr> <th data-bbox="358 993 576 1052">Waste code</th> <th data-bbox="576 993 1146 1052">Type of waste⁽¹⁾</th> <th data-bbox="1146 993 1412 1052">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="358 1052 576 1098"></td> <td data-bbox="576 1052 1146 1098"></td> <td data-bbox="1146 1052 1412 1098"></td> </tr> <tr> <td data-bbox="358 1098 576 1144"></td> <td data-bbox="576 1098 1146 1144"></td> <td data-bbox="1146 1098 1412 1144"></td> </tr> <tr> <td data-bbox="358 1144 576 1190"></td> <td data-bbox="576 1144 1146 1190"></td> <td data-bbox="1146 1144 1412 1190"></td> </tr> <tr> <td data-bbox="358 1190 576 1228"></td> <td data-bbox="576 1190 1146 1228"></td> <td data-bbox="1146 1190 1412 1228"></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p>⁽¹⁾ Not required to fill in, if you have provided the waste code in column 1</p>	Waste code	Type of waste ⁽¹⁾	Remarks, if any												
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3f	<p>Are there any restrictions on the <u>transit</u> of hazardous wastes and other wastes through your country? (Article 13.3(i))</p>															

	<p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
(i)	<p>The nature of the restriction:</p> <p>Total prohibition <input type="checkbox"/></p> <p>Partial restriction <input type="checkbox"/></p> <p>If partial restriction (e.g. depending on the intended disposal operation) please specify the nature of the restriction:</p>
(ii)	<p>The country or region covered by this restriction:</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>If other, please specify:</p>

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(v)	<p>Remarks:</p>															

Control Procedure of the Transboundary Movement of Waste

<p>4a</p> <p>(i)</p> <p>(ii)</p>	<p>Are the Notification and Movement document forms of the Basel Convention⁽¹⁾ used and/or accepted in the control of transboundary movement of hazardous wastes and other wastes? <u>(Article 6, Annex V (Decision VIII/18) combined with Article 13.3(c), 13.3(i))</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, have there been any problems in the usage of the Notification and Movement document forms <u>(optional)</u>?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If you have encountered any problem, please explain:</p> <p>Provide information on any other forms which are used and/or accepted in the control of transboundary movement of hazardous wastes and other wastes:</p> <p>No other forms are used: <input type="checkbox"/></p> <p>Other forms are used: <input type="checkbox"/></p> <p>If other forms are used, please specify which:</p> <p>(1) The forms can be found in the Basel Convention website at: www.basel.int/Procedures/NotificationMovementDocuments.aspx.</p>
<p>4b</p>	<p>Which is (are) the acceptable language(s) to receive the Notification and Movement document forms as a <u>(optional)</u>: <u>(Article 13.3(i))</u></p> <p>state of import:</p> <p>state of transit:</p>
<p>4c</p>	<p>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)? <u>(Article 6, 4(11) combined with Article 13.3(i))</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>

Reduction and/or Elimination of the Generation of Hazardous Wastes and Other Wastes

5	<p>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>: <u>(Articles 4.2(a) and 13.3(h))</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify at least one of the following measures:</p> <p>National strategies/policies Provide details:</p> <p>Legislation, regulations and guidelines Provide details:</p> <p>Others 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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Reduction of the Amount of Hazardous Wastes and Other Wastes Subject to the Transboundary Movement

6	<p>Have measures been undertaken for the reduction of the amount of hazardous wastes and other wastes <u>subject to the transboundary movement</u>: (Articles 4.2(d) and 13.3(b)iv)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify at least one of the following measures:</p> <p>National strategies/policies Provide details:</p> <p>Legislation, regulations and guidelines Provide details:</p> <p>Others 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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Effect on Human Health and the Environment

7	<p>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? <u>(Article 13.3(d))</u></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify or give details where information could be found or obtained:</p> <p>If possible, attach the document containing the statistics <u>(optional)</u>:</p> <p><i>(box to select and upload file)</i></p>
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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.)

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:

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:

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):
D	Total amount of additional waste exported, controlled according to national regulations (optional):
A+B+C+D	Total amount of controlled waste exported:

Provide detailed data in the table below:

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

- (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)
D	Total amount of additional waste imported, controlled according to national regulations (optional):
A+B+C+D	Total amount of controlled waste imported:

Provide detailed data in the table below:

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

- (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 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⁽¹⁾ (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.

Table 7: Disposals which did not proceed as intended⁽¹⁾

(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 ⁽²⁾	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

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 ⁽¹⁾	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

Table 9: Cases of illegal traffic which have been closed in the reporting year⁽¹⁾
(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 ⁽²⁾	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

Annex II to the revised guidance document: Relationship between this guidance and other key resources

[To be added]
