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English only

**Conference of the Parties to the Basel Convention
on the Control of Transboundary Movements of
Hazardous Wastes and Their Disposal
Fifteenth meeting**

Geneva, 26–30 July 2021 and 6–17 June 2022*

Agenda item 4 (c) (ii)

**Matters related to the implementation of the
Convention: legal, compliance and governance
matters: providing further legal clarity**

Consequential implications of the review of Annex IV to the Convention

Note by the Secretariat

As is mentioned in the note by the Secretariat on providing further legal clarity (UNEP/CHW.15/13), the annexes to the present note set out the draft versions of the notification document, the movement document, the instructions for completing both documents, the national reporting format and the manual for completing the format for national reporting, showing in yellow highlights where adjustments may be needed as a consequence of possible amendments to Annex IV. The present note, including its annexes, has not been formally edited.

* In accordance with decisions BC-15/1, RC-10/2 and SC-10/2 of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions, the 2021/2022 meetings of the conferences of the Parties are being held in two segments: an online segment held from 26 to 30 July 2021 and a face-to-face segment to be held from 6 to 17 June 2022 in Geneva.

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Annex I

Draft version of the revised notification and movement documents for the control of transboundary movement of hazardous wastes and instructions for completing these documents

Notification document for transboundary movements/shipments of waste

1. Exporter - notifier Registration No: Name: Address: Contact person: Tel: Fax: E-mail:	3. Notification No: Notification concerning A.(i) Individual shipment: <input type="checkbox"/> (ii) Multiple shipments: <input type="checkbox"/> B.(i) Disposal (1): <input type="checkbox"/> (ii) Recovery : <input type="checkbox"/> C. Pre-consented recovery facility (2;3) Yes <input type="checkbox"/> No <input type="checkbox"/>	
2. Importer - consignee Registration No: Name: Address: Contact person: Tel: Fax: E-mail:	4. Total intended number of shipments: 5. Total intended quantity (4): Tonnes (Mg): m ³ : 6. Intended period of time for shipment(s) (4): First departure: Last departure:	
8. Intended carrier(s) Registration No: Name(7): Address: Contact person: Tel: Fax: E-mail: Means of transport (5):	7. Packaging type(s) (5): Special handling requirements (6): Yes: <input type="checkbox"/> No: <input type="checkbox"/> 11. Disposal / recovery operation(s) (2) D-code / R-code (5): Technology employed (6): Reason for export (1;6):	
9. Waste generator(s) - producer(s) (1;7;8) Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Site and process of generation (6)	12. Designation and composition of the waste (6): 13. Physical characteristics (5):	
10. Disposal facility (2): <input type="checkbox"/> or recovery facility (2): <input type="checkbox"/> Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Actual site of disposal/recovery:	14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EC list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (5): (ix) UN class (5): (x) UN Number: (xi) UN Shipping name: (xii) Customs code(s) (HS):	
15. (a) Countries/States concerned, (b) Code no. of competent authorities where applicable, (c) Specific points of exit or entry (border crossing or port)		
State of export - dispatch	State(s) of transit (entry and exit)	State of import - destination
(a)		
(b)		
(c)		
16. Customs offices of entry and/or exit and/or export (European Community):		
Entry:	Exit:	Export:
17. Exporter's - notifier's / generator's - producer's (1) declaration: I certify that the information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into and that any applicable insurance or other financial guarantee is or shall be in force covering the transboundary movement.		18. Number of annexes attached
Exporter's - notifier's name: Date: Signature:	Generator's - producer's name: Date: Signature:	
FOR USE BY COMPETENT AUTHORITIES		
19. Acknowledgement from the relevant competent authority of countries of import - destination / transit (1) / export - dispatch (9): Country: Notification received on: Acknowledgement sent on: Name of competent authority: Stamp and/or signature:	20. Written consent (1;8) to the movement provided by the competent authority of (country): Consent given on: Consent valid from: until: Specific conditions: No: <input type="checkbox"/> If Yes, see block 21 (6): <input type="checkbox"/> Name of competent authority: Stamp and/or signature:	

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

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

List of abbreviations and codes used in the notification document

<p>DISPOSAL OPERATIONS (block 11)</p> <p>D1 Deposit into or onto land, (e.g., landfill, etc.)</p> <p>D2 Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)</p> <p>D3 Deep injection, (e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.)</p> <p>D4 Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)</p> <p>D5 Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)</p> <p>D6 Release into a water body except seas/oceans</p> <p>D7 Release into seas/oceans including sea-bed insertion</p> <p>D8 Biological treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list</p> <p>D9 Physico-chemical treatment not specified elsewhere in this list which results in final compounds or mixtures which are discarded by means of any of the operations in this list (e.g., evaporation, drying, calcination, etc.)</p> <p>D10 Incineration on land</p> <p>D11 Incineration at sea</p> <p>D12 Permanent storage, (e.g., emplacement of containers in a mine, etc.)</p> <p>D13 Blending or mixing prior to submission to any of the operations in this list</p> <p>D14 Repackaging prior to submission to any of the operations in this list</p> <p>D15 Storage pending any of the operations in this list</p>																																												
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PHYSICAL CHARACTERISTICS (block 13) 1. Powdery/powder 2. Solid 3. Viscous/paste 4. Sludgy 5. Liquid 6. Gaseous 7. Other (specify)	9 H13	Capable, by any means, after disposal of yielding another material, e. g., leachate, which possesses any of the characteristics listed above
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Further information, in particular related to waste identification (block 14), i.e. on Basel Annexes VIII and IX codes, OECD codes and Y-codes, can be found in a Guidance/Instruction Manual available from the OECD and the Secretariat of the Basel Convention.

Movement document for transboundary movements/shipments of waste

1. Corresponding to notification No:		2. Serial/total number of shipments: /	
3. Exporter - notifier Registration No: Name: Address: Contact person: Tel: Fax: E-mail:		4. Importer - consignee Registration No: Name: Address: Contact person: Tel: Fax: E-mail:	
5. Actual quantity: Tonnes (Mg): m ³ :		6. Actual date of shipment:	
7. Packaging Type(s) (1): Number of packages: Special handling requirements: (2) Yes: <input type="checkbox"/> No: <input type="checkbox"/>			
8.(a) 1st Carrier (3): Registration No: Name: Address: Tel: Fax: E-mail:		8.(b) 2nd Carrier: Registration No: Name: Address: Tel: Fax: E-mail:	
		8.(c) Last Carrier: Registration No: Name: Address: Tel: Fax: E-mail:	
----- To be completed by carrier's representative ----- More than 3 carriers (2) <input type="checkbox"/>			
Means of transport (1): Date of transfer: Signature:		Means of transport (1): Date of transfer: Signature:	
9. Waste generator(s) - producer(s) (4;5;6): Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Site of generation (2):		12. Designation and composition of the waste (2): 13. Physical characteristics (1): 14. Waste identification (fill in relevant codes) (i) Basel Annex VIII (or IX if applicable): (ii) OECD code (if different from (i)): (iii) EC list of wastes: (iv) National code in country of export: (v) National code in country of import: (vi) Other (specify): (vii) Y-code: (viii) H-code (1): (ix) UN class (1): (x) UN Number: (xi) UN Shipping name: (xii) Customs code(s) (HS):	
10. Disposal facility <input type="checkbox"/> or recovery facility <input type="checkbox"/> Registration No: Name: Address: Contact person: Tel: Fax: E-mail: Actual site of disposal/recovery (2)			
11. Disposal/recovery operation(s) D-code / R-code (1):			
15. Exporter's - notifier's / generator's - producer's (4) declaration: I certify that the above information is complete and correct to my best knowledge. I also certify that legally enforceable written contractual obligations have been entered into, that any applicable insurance or other financial guarantee is in force covering the transboundary movement and that all necessary consents have been received from the competent authorities of the countries concerned.			
Name:		Date:	Signature:
16. For use by any person involved in the transboundary movement in case additional information is required			
17. Shipment received by importer - consignee (if not facility):		Date:	Signature:
TO BE COMPLETED BY DISPOSAL / RECOVERY FACILITY			
18. Shipment received at disposal facility <input type="checkbox"/> or recovery facility <input type="checkbox"/> Date of reception: Accepted: <input type="checkbox"/> Rejected*: <input type="checkbox"/> Quantity received: Tonnes (Mg): m ³ : *immediately contact competent authorities Approximate date of disposal/recovery: Disposal/recovery operation (1): Name: Date: Signature:		19. I certify that the disposal/recovery of the waste described above has been completed. Name: Date: Signature and stamp:	

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(1) See list of abbreviations and codes on the next page

(2) Attach details if necessary

(3) If more than 3 carriers, attach information as required in blocks 8 (a,b,c).

(4) Required by the Basel Convention

(5) Attach list if more than one

(6) If required by national legislation

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

I. Introduction

1. International instruments have been established to control export and import of wastes which may pose a risk or a hazard to human health and the environment. The two such instruments with the greatest influence are the Basel Convention,¹ whose secretariat is administered by the United Nations Environment Programme (UNEP), and the Organisation for Economic Co-operation and Development (OECD) Council Decision C(2001)107/FINAL (hereinafter “the OECD Decision”).² Member States of the European Union are also obliged to comply with a European Community Regulation.³ The Basel Convention and the European Community Regulation concern international movements of waste, whether destined for disposal or recovery, whereas the OECD Decision only concerns movements of wastes destined for recovery operations within the OECD area. All of the instruments operate subject to a range of administrative controls by the Parties implementing them.

2. The present instructions provide the necessary explanations for completing the notification and movement documents. Both documents are compatible with the three instruments mentioned above, since they take into account the specific requirements set out in the Basel Convention, the OECD Decision and the European Community Regulation. Because the documents have been made broad enough to cover all three instruments, however, not all blocks in the document will be applicable to all of the instruments and it therefore may not be necessary to complete all of the blocks in a given case. Any specific requirements relating to only one control system have been indicated with the use of footnotes. It is also possible that national implementing legislation may use terminology that differs from that adopted in the Basel Convention and the OECD Decision. For example, the term “shipment” is used in the European Community Regulation instead of “movement” and the titles of the notification and movement documents therefore reflect this variation by employing the term “movement/shipment”.

3. The documents include both the term “disposal” and “recovery”, because the terms are defined differently in the three instruments. The European Community Regulation and the OECD Decision use the term “disposal” to refer to disposal operations listed in Annex IV.A of the Basel Convention and Appendix 5.A of the OECD Decision and “recovery” for recovery operations listed in Annex IV.B of the Basel Convention and Appendix 5.B of the OECD Decision. In the Basel Convention itself, however, the term “disposal” is used to refer to both disposal and recovery operations.

4. The competent national authorities in each state of export will be responsible for providing and issuing the notification and movement documents (in both paper and electronic versions). When doing so, they will use a numbering system, which allows a particular consignment of waste to be traced. The numbering system should be prefixed with the country code that can be found in the ISO standard 3166 abbreviation list.

5. Countries may wish to issue the documents in a paper size format that conforms to their national standards (normally ISO A4, as recommended by the United Nations). In order to facilitate their use internationally, however, and to take into account the difference between ISO A4 and the paper size used in North America, the frame size of the forms should not be greater than 183 x 262 mm with margins aligned at the top and the left side of the paper.

¹ Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, 22 March 1989. See www.basel.int.

² Decision C(2001)107/FINAL of the OECD Council, concerning the revision of Decision C(92)39/FINAL on the control of transboundary movements of waste destined for recovery operations; the former decision is a consolidation of texts adopted by the Council on 14 June 2001 and on 28 February 2002 (with amendments). See http://www.oecd.org/department/0,2688,en_2649_34397_1_1_1_1_1,00.html

³ Currently in force is Council Regulation (EEC) No 259/93 of 1 February 1993 on the supervision and control of shipments of waste within, into and out of the European Community (Official Journal of the European Communities No. L30, 6.2.1993 (with amendments)). It will be repealed with effect from 12 July 2007, when Regulation (EC) No 1013/2006 on shipments of waste (Official Journal No. L190, 12.7.2006), will apply. See <http://europa.eu.int/comm/environment/waste/shipments/index.htm>.

II. Purpose of the notification and movement documents

6. The notification document is intended to provide the competent authorities of countries concerned with the information they need to assess the acceptability of proposed waste movements. The document includes space for the competent authorities to acknowledge receipt of the notification and, where required, to consent in writing to a proposed movement.
7. The movement document is intended to travel with a consignment of waste at all times from the moment it leaves the waste generator to its arrival at a disposal or recovery facility in another country. Each person who takes charge of a transboundary movement is to sign the movement document either upon delivery or receipt of the wastes in question. Space is provided in the document for detailed information on all carriers of the consignment. There are also spaces in the movement document for recording passage of the consignment through the customs offices of all countries concerned (while not strictly required by applicable international instruments, national legislation in some countries requires such procedures, as well as information to ensure proper control over movement). Finally, the document is to be used by the relevant disposal or recovery facility to certify that the waste has been received and that the recovery or disposal operation has been completed.

III. General requirements

8. Those filling out printed copies of the documents should use typescript or block capitals in permanent ink throughout. Signatures should always be written in permanent ink and the name of the authorized representative should accompany the signature in capital letters. In the event of a minor mistake, for example the use of the wrong code for a waste, a correction can be made with the approval of the competent authorities. The new text must be marked and signed or stamped, and the date of the modification must be noted. For major changes or corrections, a new form must be completed.
9. The forms have also been designed to be easily completed electronically. Where this is done, appropriate security measures should be taken against any misuse of the forms. Any changes made to a completed form with the approval of the competent authorities should be visible. When using electronic forms transmitted by e-mail, a digital signature is necessary.
10. To simplify translation, the documents require a code, rather than text, for the completion of several blocks. Where text is required, however, it must be in a language acceptable to the competent authorities in the country of import and, where required, to the other concerned authorities.
11. A six digit format should be used to indicate the date. For example, 29 January 2006 should be shown as 29.01.06 (Day.Month.Year).
12. Where it is necessary to add annexes or attachments to the documents providing additional information, each attachment should include the reference number of the relevant document and cite the block to which it relates.

IV. Specific instructions for completing the notification document

13. The exporter or the competent authority of the State of export, as appropriate, is to complete blocks 1–18 (except the notification number in block 3). The waste generator, where practicable, should also sign in block 17.
14. **Blocks 1 and 2:** Provide the registration number (where applicable), full name, address (including the name of the country), telephone and fax numbers (including the country code) and e-mail address of the exporter or the competent authority of the State of export, as appropriate, and importer,⁴ and also the name of a contact person responsible for the shipment. The phone and fax numbers and the e-mail address should facilitate contact of all relevant persons at any time regarding an incident during shipment.
15. Normally, the importer would be the disposal or recovery facility given in block 10. In some cases, however, the importer may be another person, for example a recognized trader, a dealer, a broker, or a corporate body, such as the headquarters or mailing address of the receiving disposal or recovery facility in block 10. In order to act as an importer, a recognized trader, dealer, broker or corporate body must be under the jurisdiction of the country of import and possess or have some other form of legal control over the waste at the moment the shipment arrives in the country of import. In

⁴ In the European Community, the terms notifier and consignee are used instead of exporter and importer.

such cases, information relating to the recognized trader, dealer, broker or corporate body should be completed in block 2.

16. **Block 3:** When issuing a notification document, a competent authority will, according to its own system, provide an identification number which will be printed in this block (see paragraph 4 above). The appropriate boxes should be ticked to indicate:

(a) Whether the notification covers one shipment (single notification) or multiple shipments (general notification);

(b) Whether the waste being shipped is destined **for disposal** (which, as noted in paragraphs 1 and 3 above, is possible in the case of a shipment falling within the ambit of the Basel Convention or the European Community Regulation but not one within the ambit of the OECD Decision) or **for recovery**; and

(c) Whether the waste being shipped is destined for a facility which has been granted a pre-consent for receiving certain wastes subject to the Amber control procedure in accordance with case 2 of the “Functioning of the Amber Control Procedure” (see chapter II, section D of the OECD Decision).

17. **Blocks 4, 5 and 6:** For single or multiple shipments, give the number of shipments in block 4 and the intended date of a single shipment or, for multiple shipments, the dates of the first and last shipments, in block 6. In block 5, give the weight in tonnes (1 megagram (Mg) or 1,000 kg) or volume in cubic metres (1,000 litres) of the waste. Other units of the metric system, such as kilograms or litres, are also acceptable; when used, the unit of measure should be indicated and the unit in the document should be crossed out. Some countries may always require the weight to be quoted. For multiple shipments, the total quantity shipped must not exceed the quantity declared in block 5. The intended period of time for movements in block 6 may not exceed one year, with the exception of multiple shipments to pre-consented recovery facilities that fall under the OECD Decision (see paragraph 16 (c)), for which the intended period of time may not exceed three years. In the case of multiple shipments, the Basel Convention requires the expected dates or the expected frequency and the estimated quantity of each shipment to be quoted in blocks 5 and 6 or attached in an annex. Where a competent authority issues a written consent to the movement and the validity period of that consent in block 20 differs from the period indicated in block 6, the decision of the competent authority overrides the information in block 6.

18. **Block 7:** Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the notification document. If special handling precautions are required, such as those required by producers’ handling instructions for employees, health and safety information, including information on dealing with spillage, and transport emergency cards, tick the appropriate box and attach the information in an annex.

19. **Block 8:** Provide the following necessary information on the carrier or carriers involved in the shipment: registration number (where applicable), full name, address (including the name of the country), telephone and fax numbers (including the country code), e-mail address and the name of a contact person responsible for the shipment. If more than one carrier is involved, append to the notification document a complete list giving the required information for each carrier. Where the transport is organized by a forwarding agent, the agent’s details should be given in block 8 and the respective information on actual carriers should be provided in an annex. Means of transport should be indicated using the abbreviations provided in the list of abbreviations and codes attached to the notification document.

20. **Block 9:** Provide the required information on the generator of the waste. This information is required under the Basel Convention and many countries may require it under their national legislation.⁵ Such information is not required, however, for movements of wastes destined for recovery under the OECD Decision. The registration number of the generator should be given where applicable. If the exporter is the generator of the waste then write “Same as block 1”. If the waste has been produced by more than one generator, write “See attached list” and append a list providing the requested information for each generator. Where the generator is not known, give the name of the person in possession or control of such wastes. The definition of “generator” used in the Basel Convention provides that in instances where the true generator of the waste is not known, the generator is deemed to be the person who is in possession or control of the waste. Also provide information on the process by which the waste was generated and the site of generation. Some

⁵ In the European Community, the term “producer” is used instead of “generator”.

countries may accept that information on the generator be given in a separate annex which would only be available to the competent authorities.

21. **Block 10:** Give the required information on the destination of the shipment by first ticking the appropriate type of facility: either disposal or recovery. The registration number should be given where applicable. If the disposer or recoverer is also the importer, state here “Same as block 2”. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation (according to the definitions of operations set out in the list of abbreviations and codes attached to the notification document), the facility performing the operation should be mentioned in block 10, as well as the location where the operation will be performed. In such a case, corresponding information on the subsequent facility or facilities, where any subsequent R12/R13 or D13–D15 operation and the D1–D12 or R1–R11 operation or operations takes or take place or may take place should be provided in an annex. Provide the information on the actual site of disposal or recovery if it is different from the address of the facility.

22. **Block 11:** Indicate the type of recovery or disposal operation by the using R-codes or D-codes provided in the list of abbreviations and codes attached to the notification document.⁶ The OECD Decision only covers transboundary movements of wastes destined for recovery operations (R-codes) within the OECD area. If the disposal or recovery operation is a D13–D15 or R12 or R13 operation, corresponding information on the subsequent operations (any R12/R13 or D13–D15 as well as D1–D12 or R1–R11) should be provided in an annex. Also indicate the technology to be employed. Specify also the reason for export (this is not required, however, by the OECD Decision).

23. **Block 12:** Give the name or names by which the material is commonly known or the commercial name and the names of its major constituents (in terms of quantity and/or hazard) and their relative concentrations (expressed as a percentage), if known. In the case of a mixture of wastes, provide the same information for the different fractions and indicate which fractions are destined for recovery. A chemical analysis of the composition of the waste may be required in accordance with national legislation. Attach further information in an annex if necessary.

24. **Block 13:** Indicate physical characteristics of the waste at normal temperatures and pressures by using the codes provided in the list of abbreviations and codes attached to the notification document.

25. **Block 14:** State the code that identifies the waste according to the system adopted under the Basel Convention (under subheading (i) in block 14) and, where applicable, the systems adopted in the OECD Decision (under subheading (ii)) and other accepted classification systems (under subheadings (iii) to (xii)). According to the OECD Decision, only one waste code (from either the Basel or OECD systems) should be given, except in the case of mixtures of wastes for which no individual entry exists. In such a case, the code of each fraction of the waste should be provided in order of importance (in an annex if necessary).

(a) **Subheading (i):** Basel Convention Annex VIII codes should be used for wastes that are subject to control under the Basel Convention and the OECD Decision (see Part I of Appendix 4 in the OECD Decision); Basel Annex IX codes should be used for wastes that are not usually subject to control under the Basel Convention and the OECD Decision but which, for a specific reason such as contamination by hazardous substances or different classification according to national regulations, are subject to such control (see Part I of Appendix 3 in the OECD Decision). Basel Annexes VIII and IX can be found in the text of the Basel Convention as well as in the Instruction Manual available from the Secretariat of the Basel Convention. If a waste is not listed in Annexes VIII or IX of the Basel Convention, insert “not listed”.

(b) **Subheading (ii):** OECD member countries should use OECD codes for wastes listed in Part II of Appendices 3 and 4 of the OECD Decision, i.e., wastes that have no equivalent listing in the Basel Convention or that have a different level of control under the OECD Decision from the one

⁶ In the European Community Regulation, the definition of operation R1 in the list of abbreviations is different from that used in the Basel Convention and the OECD Decision; both wordings are therefore provided. There are other editorial differences between the terminology used in the European Community and that used in the Basel Convention and the OECD Decision, which are not contained in the list of abbreviations.

required by the Basel Convention. If a waste is not listed in Part II of Appendices 3 and 4 of the OECD Decision, insert “not listed”.

(c) **Subheading (iii):** European Union Member States should use the codes included in the European Community list of wastes (see Commission Decision 2000/532/EC as amended).⁷

(d) **Subheadings (iv) and (v):** Where applicable, national identification codes used in the country of export and, if known, in the country of import should be used.

(e) **Subheading (vi):** If useful or required by the relevant competent authorities, add here any other code or additional information that would facilitate the identification of the waste.

(f) **Subheading (vii):** State the appropriate Y-code or Y-codes according to the “Categories of wastes to be controlled” (see Annex I of the Basel Convention and Appendix 1 of the OECD Decision), or according to the “Categories of wastes requiring special consideration” given in Annex II of the Basel Convention (see Appendix 2 of the Basel Instruction Manual), if it or they exist(s). Y-codes are not required by the OECD Decision except where the waste shipment falls under one of the two “Categories requiring special consideration” under the Basel Convention (Y46 and Y47 or Annex II wastes), in which case the Basel Y-code should be indicated.

(g) **Subheading (viii):** If applicable, state here the appropriate H-code or H-codes, i.e., the codes indicating the hazardous characteristics exhibited by the waste (see the list of abbreviations and codes attached to the notification document).

(h) **Subheading (ix):** If applicable, state here the United Nations class or classes which indicate the hazardous characteristics of the waste according to the United Nations classification (see the list of abbreviations and codes attached to the notification document) and are required to comply with international rules for the transport of hazardous materials (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition).⁸

(i) **Subheadings (x and xi):** If applicable, state here the appropriate United Nations number or numbers and United Nations shipping name or names. These are used to identify the waste according to the United Nations classification system and are required to comply with international rules for transport of hazardous materials (see the United Nations Recommendations on the Transport of Dangerous Goods. Model Regulations (Orange Book), latest edition).⁸

(j) **Subheading (xii):** If applicable, state here customs code or codes, which allow identification of the waste by customs offices (see the list of codes and commodities in the “Harmonized commodity description and coding system” produced by the World Customs Organization).

26. **Block 15:** The Basel Convention uses the term “States”, whereas the OECD Decision uses “Member countries” and the European Community Regulation uses “Member States”. On line (a) of block 15, provide the name of the countries or States of export, transit and import or the codes for each country or State by using the ISO standard 3166 abbreviations.⁹ On line (b), provide the code number of the respective competent authority for each country if required by the national legislation of that country and on line (c) insert the name of the border crossing or port and, where applicable, the customs office code number as the point of entry to or exit from a particular country. For transit countries give the information in line (c) for points of entry and exit. If more than three transit countries are involved in a particular movement, attach the appropriate information in an annex.

27. **Block 16:** This block should be completed for movements involving entering, passing through or leaving Member States of the European Union.

28. **Block 17:** Each copy of the notification document is to be signed and dated by the exporter (or by the recognized trader, dealer or broker if acting as an exporter) or the competent authority of the State of export, as appropriate, before being forwarded to the competent authorities of the countries concerned. Under the Basel Convention, the waste generator is also required to sign the declaration; it is noted that this may not be practicable in cases where there are several generators (definitions regarding practicability may be contained in national legislation). Further, where the generator is not known, the person in possession or control of the waste should sign. Some countries may require that

⁷ See http://europa.eu.int/eur-lex/en/consleg/main/2000/en_2000D0532_index.html.

⁸ See <http://www.unece.org/trans/danger/danger.htm>.

⁹ In the European Community, the terms “dispatch” and “destination” are used instead of “export” and “import”.

the declaration also certify the existence of insurance against liability for damage to third parties. Some countries may require proof of insurance or other financial guarantees and a contract to accompany the notification document.

29. **Block 18:** Indicate the number of annexes containing any additional information supplied with the notification document (see blocks 5, 6, 7, 8, 9, 10, 11, 12, 14, 15, 20 or 21). Each annex must include a reference to the notification number to which it relates, which is indicated in the corner of block 3.

30. **Block 19:** This block is for use by the competent authority to acknowledge receipt of the notification. Under the Basel Convention, the competent authority or authorities of the country or countries of import (where applicable) and transit issue such an acknowledgement. Under the OECD Decision, the competent authority of the country of import issues the acknowledgement. Some countries may, according to their national legislation, require that the competent authority of the country of export also issues an acknowledgement.

31. **Blocks 20 and 21:** Block 20 is for use by competent authorities of any country concerned when providing a written consent to a transboundary movement of waste. The Basel Convention (except if a country has decided not to require written consent with regard to transit and has informed the other Parties thereof in accordance with Article 6(4)) of the Basel Convention) and certain countries always require a written consent whereas the OECD Decision does not require a written consent. Indicate the name of the country (or its code by using the ISO standard 3166 abbreviations), the date on which the consent is provided and the date on which it expires. If the movement is subject to specific conditions, the competent authority in question should tick the appropriate box and specify the conditions in block 21 or in an annex to the notification document. If a competent authority wishes to object to the movement it should do so by writing "OBJECTION" in block 20. Block 21, or a separate letter, may then be used to explain the reasons for the objection.

V. Specific instructions for completing the movement document

32. The exporter or the competent authority of the State of export, as appropriate, is to complete blocks 2–16, except the means of transport, the date of transfer and the signature, which appear in blocks 8 (a) to 8 (c) and which are to be completed by the carrier or its representative. The importer is to complete block 17 in the event that it is not the disposer or recoverer and it takes charge of a shipment of waste after it arrives in the country of import.

33. **Block 1:** Enter the notification number of the consignment. This is copied from block 3 in the notification document.

34. **Block 2:** For a general notification for multiple shipments, enter the serial number of the shipment and the total intended number of shipments indicated in block 4 in the notification document. (for example, write "4" and "11" for the fourth shipment out of eleven intended shipments under the general notification in question). In the case of a single notification, enter 1/1.

35. **Blocks 3 and 4:** Reproduce the same information on the exporter or the competent authority of the State of export, as appropriate, and importer as given in blocks 1 and 2 in the notification document.

36. **Block 5:** Give the actual weight in tonnes (1 megagram (Mg) or 1,000 kg) or volume in cubic metres (1,000 litres) of the waste. Other units of the metric system, such as kilograms or litres, are also acceptable; when used, the unit of measure should be indicated and the unit in the form should be crossed out. Some countries may always require the weight to be quoted. Attach, wherever possible, copies of weighbridge tickets.

37. **Block 6:** Enter the date when the shipment actually starts. The starting dates of all shipments should be within the validity period issued by the competent authorities. Where the different competent authorities involved have granted different validity periods, the shipment or shipments may only take place in the time period during which the consents of all competent authorities are simultaneously valid.

38. **Block 7:** Types of packaging should be indicated using the codes provided in the list of abbreviations and codes attached to the movement document. If special handling precautions are required, such as those prescribed by producers' handling instructions for employees, health and safety information, including information on dealing with spillage, and transport emergency cards, tick the appropriate box and attach the information in an annex. Also enter the number of packages making up the consignment.

39. **Blocks 8 (a), (b) and (c):** Enter the registration number (where applicable), name, address (including the name of the country), telephone and fax numbers (including the country code) and e-mail address of each actual carrier. When more than three carriers are involved, appropriate information on each carrier should be attached to the movement document. When transport is organized by a forwarding agent, the agent's details should be given in block 8 and the information on each carrier should be provided in an annex. The means of transport, the date of transfer and a signature should be provided by the carrier or carrier's representative taking possession of the consignment. A copy of the signed movement document is to be retained by the exporter. Upon each successive transfer of the consignment, the new carrier or carrier's representative taking possession of the consignment will have to comply with the same request and also sign the document. A copy of the signed document is to be retained by the previous carrier.
40. **Block 9:** Reproduce the information given in block 9 of the notification document.
41. **Blocks 10 and 11:** Reproduce the information given in blocks 10 and 11 in the notification document. If the disposer or recoverer is also the importer, write in block 10: "Same as block 4". If the disposal or recovery operation is a D13–D15 or R12 or R13 operation (according to the definitions of operations set out in the list of abbreviations and codes attached to the movement document), the information on the facility performing the operation provided in block 10 is sufficient. No further information on any subsequent facilities performing R12/R13 or D13–D15 operations and the subsequent facility(ies) performing the D1–D12 or R1–R11 operation(s) needs to be included in the movement document.
42. **Blocks 12, 13 and 14:** Reproduce the information given in blocks 12, 13 and 14 in the notification document.
43. **Block 15:** At the time of shipment, the exporter (or the recognized trader or dealer or broker if acting as an exporter) or the competent authority of the State of export, as appropriate, or the generator of the waste according to the Basel Convention, shall sign and date the movement document. Some countries may require copies or originals of the notification document containing the written consent, including any conditions, of the competent authorities concerned to be enclosed with the movement document.
44. **Block 16:** This block can be used by any person involved in a transboundary movement (exporter or the competent authority of the State of export, as appropriate, importer, any competent authority, carrier) in specific cases where more detailed information is required by national legislation concerning a particular item (for instance information on the port where a transfer to another transport mode occurs, the number of containers and their identification number, or additional proof or stamps indicating that the movement has been approved by the competent authorities).
45. **Block 17:** This block is to be completed by the importer in the event that it is not the disposer or recoverer and in case the importer takes charge of the waste after the shipment arrives in the country of import.
46. **Block 18:** This block is to be completed by the authorized representative of the disposal or recovery facility upon receipt of the waste consignment. Tick the box of the appropriate type of facility. With regard to the quantity received, please refer to the specific instructions on block 5 (paragraph 36). A signed copy of the movement document is given to the last carrier. If the shipment is rejected for any reason, the representative of the disposal or recovery facility must immediately contact his or her competent authority. Under the OECD Decision, signed copies of the movement document must be sent within three working days to the exporter and the competent authority in the countries concerned (with the exception of those OECD transit countries which have informed the OECD Secretariat that they do not wish to receive such copies of the movement document). The original movement document shall be retained by the disposal or recovery facility.
47. Receipt of the waste consignment must be certified by any facility performing any disposal or recovery operation, including any D13–D15 or R12 or R13 operation. A facility performing any D13–D15 or R12/R13 operation or a D1–D12 or R1–11 operation subsequent to a D13–D15 or R12 or R13 operation in the same country, is not, however, required to certify receipt of the consignment from the D13–D15 or R12 or R13 facility. Thus, block 18 does not need to be used for the final receipt of the consignment in such a case. Indicate also the type of disposal or recovery operation by using the list of abbreviations and codes attached to the movement document and the approximate date by which the disposal or recovery of waste will be completed (this is not required by the OECD Decision).
48. **Block 19:** This block is to be completed by the disposer or recoverer to certify the completion of the disposal or recovery of the waste. Under the Basel Convention, signed copies of the document with block 19 completed should be sent to the exporter and competent authorities of the country of

export. Under the OECD Decision, signed copies of the movement document with block 19 completed should be sent to the exporter and competent authorities of the countries of export and import as soon as possible, but no later than 30 days after the completion of the recovery and no later than one calendar year following the receipt of the waste. For disposal or recovery operations D13–D15 or R12 or R13, the information on the facility performing such an operation provided in block 10 is sufficient, and no further information on any subsequent facilities performing R12/R13 or D13–D15 operations and the subsequent facility(ies) performing the D1–D12 or R1–R11 operation(s) need be included in the movement document.

49. The disposal or recovery of waste must be certified by any facility performing any disposal or recovery operation, including a D13–D15 or R12 or R13 operation. Therefore, a facility performing any D13–D15 or R12/R13 operation or a D1–D12 or R1–R11 operation, subsequent to a D13–D15 or R12 or R13 operation in the same country, should not use block 19 to certify the recovery or disposal of the waste, since this block will already have been completed by the D13–D15 or R12 or R13 facility. The means of certifying disposal or recovery in this particular case must be ascertained by each country.

50. **Blocks 20, 21 and 22:** Not required by the Basel Convention or by the OECD Decision. The blocks may be used for control by customs offices at the borders of country of export, transit and import if so required by national legislation.

Annex II

Draft version of the format for national reporting under the Basel Convention (for use by Parties for the year 2018 and onwards)

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

<p>1a</p>	<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</u> competent authorities.</p> <p>According to the Secretariat's records the Competent Authority(ies) in your country is(are):</p> <table border="1" data-bbox="354 674 1446 821"> <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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<p>1a.1</p>	<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>																																								
<p>1a.2</p>	<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" data-bbox="354 1644 1446 1717"> <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></th> <th></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><i>Add button</i></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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<p>1a.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>																						
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" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 12.5%;">Organization:</th> <th style="width: 12.5%;">Department:</th> <th style="width: 12.5%;">Job Position:</th> <th style="width: 12.5%;">Full Name:</th> <th style="width: 12.5%;">Tel:</th> <th style="width: 12.5%;">Fax:</th> <th style="width: 12.5%;">Address:</th> <th style="width: 12.5%;">e-Mail:</th> <th style="width: 12.5%;">Web site</th> <th style="width: 12.5%;"></th> <th style="width: 12.5%;"></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>	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" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 12.5%;">Organization:</th> <th style="width: 12.5%;">Department:</th> <th style="width: 12.5%;">Job Position:</th> <th style="width: 12.5%;">Full Name:</th> <th style="width: 12.5%;">Tel:</th> <th style="width: 12.5%;">Fax:</th> <th style="width: 12.5%;">Address:</th> <th style="width: 12.5%;">e-Mail:</th> <th style="width: 12.5%;">Web site</th> <th style="width: 12.5%;"></th> <th style="width: 12.5%;"></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><i>Add button (which appears only if no FP is in the database, since each Party can only have ONE FP).</i></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													
1b.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>																						

1c	<p>Measures to implement and enforce the provisions of the Convention (Articles 4.4, 9.5 and 13.3(c))</p> <p>(i) Legislation</p> <p>Has your country adopted legislation to implement the provisions of the Basel Convention?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
(ii)	<p>Does the legislation make provision to <u>prevent illegal traffic</u> of hazardous and other wastes? (Articles 4.4, 9.5 and 13.3(c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
(iii)	<p>Does the legislation provide that <u>illegal traffic is criminal</u>? (Articles 4.3, 4.4, 9.5 and 13.3(c)) (optional)</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>
(iv)	<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: (Articles 4.4, 9.5 and 13.3(c))</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? (Articles 2.1 and 13.3(c))</p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please provide the text of the national definition of waste:</p>															
2b	<p>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))</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>If yes:</p> <p>(i) Please specify the national definition of hazardous wastes:</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> <p style="margin-left: 40px;"> OECD <input type="checkbox"/> EU-Waste List <input type="checkbox"/> National <input type="checkbox"/> (specify under remarks) Other <input type="checkbox"/> (specify under remarks) </p> <p>General remarks, if any:</p> <p>(iii) If possible, attach a list or provide it in the following table (optional):</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 20%;">National waste codes⁽¹⁾</th> <th style="width: 50%;">Type of waste⁽²⁾</th> <th style="width: 30%;">Remarks, if any</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> <p><i>(box to select and upload file)</i></p> <p>(iv) Specify any requirements (procedures) concerning transboundary movements that are applicable to those wastes:</p>	National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any												
National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any														

	<p>The same procedures as for wastes controlled according to Basel Convention (Annex VIII and II): <input type="checkbox"/></p> <p>Other requirements (procedures): <input type="checkbox"/></p> <p>If other, please specify the requirements (procedures):</p> <p>(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.</p> <p>(2) Not required to fill in, if you have provided the waste code in column 1.</p>															
2c	<p>Are there any wastes that are not hazardous, but require special consideration when subjected to transboundary movement <u>(optional)</u>? (Articles 4.11 and 13.3(i))</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes:</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> <p>OECD <input type="checkbox"/></p> <p>EU-Waste List <input type="checkbox"/></p> <p>National <input type="checkbox"/> (specify under remarks)</p> <p>Other <input type="checkbox"/> (specify under remarks)</p> <p>General remarks, if any:</p> <p>(iii) Attach a list or provide it in the following table:</p> <table border="1" data-bbox="367 1209 1419 1451"> <thead> <tr> <th data-bbox="367 1209 583 1276">National waste codes⁽¹⁾</th> <th data-bbox="583 1209 1187 1276">Type of waste⁽²⁾</th> <th data-bbox="1187 1209 1419 1276">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="367 1276 583 1318"></td> <td data-bbox="583 1276 1187 1318"></td> <td data-bbox="1187 1276 1419 1318"></td> </tr> <tr> <td data-bbox="367 1318 583 1360"></td> <td data-bbox="583 1318 1187 1360"></td> <td data-bbox="1187 1318 1419 1360"></td> </tr> <tr> <td data-bbox="367 1360 583 1402"></td> <td data-bbox="583 1360 1187 1402"></td> <td data-bbox="1187 1360 1419 1402"></td> </tr> <tr> <td data-bbox="367 1402 583 1451"></td> <td data-bbox="583 1402 1187 1451"></td> <td data-bbox="1187 1402 1419 1451"></td> </tr> </tbody> </table> <p>(box to select and upload file)</p> <p>(iv) Specify any special considerations or requirements concerning transboundary movements that are applicable to those wastes:</p> <p>(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.</p> <p>(2) Not required to fill in, if you have provided the waste code in column 1</p>	National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any												
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Restrictions on and conditions for Transboundary Movement of Hazardous Wastes and Other Wastes

<p>3a</p>	<p>Has the amendment to the Basel Convention (Decision III/1) been implemented in your country? (Articles 13.2(c), 13.2(d) and 13.3.(c))</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Remarks:</p>
<p>3b</p>	<p>Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for final disposal (Annex IV A)? (Articles 13.2(d), 13.3(c) and 13.3(i)).</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</p>
<p>(i)</p>	<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>
<p>(ii)</p>	<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>(iii)</p>	<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: If possible, attach a list or provide it in the following table (optional):</p>

Waste code	Type of waste ⁽¹⁾	Remarks, if any
<i>(box to select and upload file)</i>		
⁽¹⁾ Not required to fill in, if you have provided the waste code in column 1		
(iv)	If possible, provide relevant legislation and its entry into force <u>(optional)</u>: <i>(box to select and upload file)</i>	
(v)	Remarks:	
3c	<p>Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes <u>for recovery (Annex IV B)</u>? (Articles 13.2(d),13.3(c), 13.3(i))</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 <u>Annex IV B disposal operation</u>), 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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	<p>If possible, attach a list or provide it in the following table (optional):</p> <table border="1" data-bbox="386 210 1403 401"> <thead> <tr> <th data-bbox="386 210 602 268">Waste code</th> <th data-bbox="602 210 1154 268">Type of waste⁽¹⁾</th> <th data-bbox="1154 210 1403 268">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="386 268 602 310"></td> <td data-bbox="602 268 1154 310"></td> <td data-bbox="1154 268 1403 310"></td> </tr> <tr> <td data-bbox="386 310 602 352"></td> <td data-bbox="602 310 1154 352"></td> <td data-bbox="1154 310 1403 352"></td> </tr> <tr> <td data-bbox="386 352 602 401"></td> <td data-bbox="602 352 1154 401"></td> <td data-bbox="1154 352 1403 401"></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>												
3d	<p>Are there in your country any restrictions on the <u>import</u> of hazardous wastes and other wastes for final disposal (Annex IV A)? (Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</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>												
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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 recovery (Annex IV B)? (Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</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 Annex IV B disposal operation), please specify the nature of the restriction:</p>									
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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>									
3f	<p>Are there any restrictions on the <u>transit</u> of hazardous wastes and other wastes through your country?</p> <p>(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>									

<p>(ii)</p>	<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>(iii)</p>	<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="367 999 1419 1146"> <thead> <tr> <th data-bbox="367 999 583 1062">Waste code</th> <th data-bbox="583 999 1154 1062">Type of waste⁽¹⁾</th> <th data-bbox="1154 999 1419 1062">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="367 1062 583 1104"></td> <td data-bbox="583 1062 1154 1104"></td> <td data-bbox="1154 1062 1419 1104"></td> </tr> <tr> <td data-bbox="367 1104 583 1146"></td> <td data-bbox="583 1104 1154 1146"></td> <td data-bbox="1154 1104 1419 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						
Waste code	Type of waste ⁽¹⁾	Remarks, if any								
<p>(iv)</p>	<p>If possible, provide relevant legislation and its entry into force (optional):</p> <p><i>(box to select and upload file)</i></p>									
<p>(v)</p>	<p>Remarks:</p>									
<p>3g</p>	<p>Has your country decided not to require prior written consent, either generally or under specific conditions, for <u>transit</u> transboundary movements of hazardous wastes or other wastes?</p> <p><i>(Articles 6.4, fourth sentence, and 13.3(c)) (optional)</i></p>									

	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify whether this decision applies:</p> <p>Generally <input type="checkbox"/></p> <p>Under specific conditions <input type="checkbox"/></p> <p>If under specific conditions, please specify which:</p>
3h	<p>(i) Does your country have a definition of “State of transit” in its legislation? (Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, 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>(ii) Does your country otherwise have a definition of “State of transit” (e.g., in a guidance document)? Articles 6.4 and 13.3 (c) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, 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>

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? (Article 6, Annex V (Decision VIII/18) combined with Article 13.3(c), 13.3(i))</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 (optional)?</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 (optional): (Article 13.3(i))</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)? (Article 6, 4(11) combined with Article 13.3(i))</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 generated: (Articles 4.2(a) and 13.3(h))</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? (Article 13.3(d))</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>
---	--

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):
A+B+C	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)
A+B+C	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 III

**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

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>. 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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CA1																																									
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)) Yes <input type="checkbox"/> No <input type="checkbox"/> (If the user chooses "yes" the following options appear 1a.2 and 1a.3)</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</p>																																								

<p>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"> <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> <th></th> <th></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></td> <td>edit</td> <td>delete</td> </tr> </tbody> </table> <p><i>Add button</i></p>												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
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																								
<p>1a.3 Upload supporting documents. 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 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

1b	<p>Designated Focal Point to the Basel Convention. (Articles 13.2(a), 13.3(a)) In accordance with Article 5 of the Convention, Parties shall designate or establish <u>one</u> focal point. According to the Secretariat's records the Focal Point in your country is:</p> <table border="1" data-bbox="354 1318 1448 1388"> <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></th> <th></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
Organization:	Department:	Job Position:	Full Name:	Tel:	Fax:	Address:	e-Mail:	Web site															
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)) 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)) 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 will be updated. The Secretariat may need to contact the Party for any additional information or clarification</p>																						

that might be required in this regard. Please note that each Party may designate only ONE Focal Point for the Basel Convention.

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		
XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	edit	delete

Add button (which appears only if no FP is in the database, since each Party can only have ONE FP).

1b.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 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>1c</p> <p>(i)</p>	<p>Measures to implement and enforce the provisions of the Convention (Articles 4.4, 9.5 and 13.3(c))</p> <p>Legislation</p> <p>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? (Articles 4.4, 9.5 and 13.3(c)) (optional)</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>? (Articles 4.3, 4.4, 9.5 and 13.3(c)) (optional)</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: (Articles 4.4, 9.5 and 13.3(c))</p> <p>Link: <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

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

2b	<p>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))</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>If yes: (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 ⁽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.

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

2c	<p>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))</p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes:</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> <p style="margin-left: 40px;">OECD <input type="checkbox"/></p> <p style="margin-left: 40px;">EU-Waste List <input type="checkbox"/></p> <p style="margin-left: 40px;">National <input type="checkbox"/> (specify under remarks)</p> <p style="margin-left: 40px;">Other <input type="checkbox"/> (specify under remarks)</p> <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;"> <thead> <tr> <th style="width: 25%;">National waste codes⁽¹⁾</th> <th style="width: 50%;">Type of waste⁽²⁾</th> <th style="width: 25%;">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td style="height: 20px;"> </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>⁽¹⁾ The purpose of this request is to list the additional wastes which require special consideration when subject to</p>	National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any			
National waste codes ⁽¹⁾	Type of waste ⁽²⁾	Remarks, if any					

	transboundary movement. The national or regional waste code should be provided. Please ensure that your listing is as precise and clear as possible.
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	(2) Not required to fill in, if you have provided the waste code in column 1
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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).

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

3a	<p>Has the amendment to the Basel Convention (Decision III/1) been implemented in your country? (Articles 13.2(c), 13.2(d) and 13.3(c))</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 “yes”** 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

3b	<p>Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for final disposal (Annex IV A)? (Articles 13.2(d), 13.3(c) and 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>

	Partial restriction <input type="checkbox"/> If partial restriction (e.g. depending on the intended final disposal operation) please specify the nature of the restriction:						
(ii)	The country or region covered by this restriction: 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"/> If other, please specify:						
(iii)	The wastes covered by the restrictions: 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"/> If other, please specify: If possible, attach a list or provide it in the following table (optional) : <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Waste code</th> <th style="width: 50%;">Type of waste⁽¹⁾</th> <th style="width: 30%;">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </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)	If possible, provide relevant legislation and its entry into force (optional): <i>(box to select and upload file)</i>						
(v)	Remarks:						
3c	Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for recovery (Annex IV B)? (Articles 13.2(d),13.3(c), 13.3(i)) Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, please specify:						

(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="386 1209 1403 1318"> <thead> <tr> <th data-bbox="386 1209 602 1272">Waste code</th> <th data-bbox="602 1209 1154 1272">Type of waste⁽¹⁾</th> <th data-bbox="1154 1209 1403 1272">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="386 1272 602 1318"></td> <td data-bbox="602 1272 1154 1318"></td> <td data-bbox="1154 1272 1403 1318"></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>						

<p>3d</p>	<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>						
<p>(i)</p>	<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>						
<p>(ii)</p>	<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>(iii)</p>	<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="367 1528 1419 1635"> <thead> <tr> <th data-bbox="367 1528 583 1591">Waste code</th> <th data-bbox="583 1528 1154 1591">Type of waste⁽¹⁾</th> <th data-bbox="1154 1528 1419 1591">Remarks, if any</th> </tr> </thead> <tbody> <tr> <td data-bbox="367 1591 583 1635"></td> <td data-bbox="583 1591 1154 1635"></td> <td data-bbox="1154 1591 1419 1635"></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					
<p>(iv)</p>	<p>If possible, provide relevant legislation and its entry into force (optional):</p>						

	<i>(box to select and upload file)</i>						
(v)	Remarks:						
3e	<p>Are there in your country any restrictions on the import of hazardous wastes and other wastes for recovery (Annex IV B)? (Articles 13.2(c), 13.3(c) combined with 4.1(a), 13.3(i))</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 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"> <thead> <tr> <th>Waste code</th> <th>Type of waste⁽¹⁾</th> <th>Remarks, if any</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><i>(box to select and upload file)</i></p>	Waste code	Type of waste ⁽¹⁾	Remarks, if any			
Waste code	Type of waste ⁽¹⁾	Remarks, if any					

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

Waste code	Type of waste ⁽¹⁾	Remarks, if any
<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>		
(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>	
3g	<p>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?</p> <p>(Articles 6.4, fourth sentence, and 13.3(c) (optional))</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify whether this decision applies:</p> <p>Generally <input type="checkbox"/></p> <p>Under specific conditions <input type="checkbox"/></p> <p>If under specific conditions, please specify which:</p>	
3h	<p>(i) Does your country have a definition of “State of transit” in its legislation? (Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, 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>(ii) Does your country otherwise have a definition of “State of transit” (e.g., in a guidance document)? Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, 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>	

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 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

4a	<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? (Article 6, Annex V (Decision VIII/18) combined with Article 13.3(c), 13.3(i))</p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>(i) If yes, have there been any problems in the usage of the Notification and Movement document forms (optional)?</p> <p style="text-align: center;">Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If you have encountered any problem, please explain:</p> <p>(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:</p> <p style="padding-left: 20px;">No other forms are used: <input type="checkbox"/></p> <p style="padding-left: 20px;">Other forms are used: <input type="checkbox"/></p> <p>If other forms are used, please specify which: (1) The forms can be found in the Basel Convention website at: www.basel.int/Procedures/NotificationMovementDocuments.aspx.</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

4b	<p>Which is (are) the acceptable language(s) to receive the Notification and Movement document forms as a <u>(optional)</u>: (Article 13.3(i)) 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

4c	<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)? (Article 6, 4(11) combined with Article 13.3(i))</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please specify:</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

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>: (Articles 4.2(a) and 13.3(h))</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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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

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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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

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? (Article 13.3(d))</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 (optional): <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 ⁽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)
A+B+C	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:

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⁽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.

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⁽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

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 ⁽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

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⁽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

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>
