

BC

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Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal Thirteenth meeting Geneva, 24 April–5 May 2017 Agenda item 4 (c) (i)

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

Committee Administering the Mechanism for Promoting Implementation and Compliance

Addendum

Revised forms

Note by the Secretariat

At its thirteenth meeting, the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal adopted, in decision BC-13/9 on the Committee Administering the Mechanism for Promoting Implementation and Compliance, revisions to the revised reporting format for the Basel Convention national reporting, the standardized reporting format for transmitting information under paragraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention (import and export prohibitions), and the revised form for notification of designation of country contacts, on the basis of the revisions proposed in document UNEP/CHW.13/9/Add.2. The revised forms, as adopted, are set out in the annexes to the present note. Due to budgetary constraints, the present note and its annexes have not been translated. The present note, including its annexes, has not been formally edited.

Questionnaire on "Transmission of Information"

Reporting for the year 20XX^{1, 2}

Annex I

Revisions to question 3 of the revised reporting format for the Basel Convention national reporting

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

()	
	ictions on and conditions for Transboundary Movement of rdous Wastes and Other Wastes
3a	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)) Yes No Remarks:
3b	Are there in your country any restrictions on the export of hazardous wastes and other wastes for final disposal (Annex IV A)? (Articles 13.2(d), 13.3(c) and 13.3(i)). Yes No I
(i)	The nature of the restriction: Total prohibition Partial restriction 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

¹ Adopted by COP12 in decision BC-12/6.

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

	If other, please spe	ecify:					
(iii)	The wastes covered by the restrictions:						
	All wastes covered by BC Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nationally defined hazardous wastes Other						
	If other, please spe	ecify:					
	If possible, attach a list or provide it in the following table (optional):						
	Waste code		Type of waste ⁽¹⁾	Remarks, if any			
	vvaste code		Type of waste	remains, il diff			
	(box to select and upload file)						
	(1) Not required to fill in, if you have provided the waste code in column 1						
(iv)	If possible, provid	le relevan	t legislation and its entry	into force (optional):			
	(box to select and	l upload fi	ile)				
(v)	Remarks:						
3c	Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for <u>recovery</u> (Annex IV B)? (Articles 13.2(d),13.3(c), 13.3(i))						
	,	Yes 🗌	No 🗌				
	If yes, please specify:						

(i)	The nature of the restriction:						
	Total prohibition						
	Partial restriction						
	If partial restriction (e.g. depending on the intended Annex IV B please specify the nature of the restriction:	disposal operation),					
(ii)	The country or region covered by this restriction:						
	All countries						
	If other, please specify:						
(iii)	The wastes covered by the restrictions:						
	All wastes covered by BC Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nationally defined hazardous wastes Other If other, please specify:						
	If possible, attach a list or provide it in the following table (optional):						
	Waste code Type of waste ⁽¹⁾	Remarks, if any					
	(box to select and upload file)						
	(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 forc	e <u>(optional)</u> :					
(s. A	(box to select and upload file)						
(v)	Remarks:						

3d	other wastes for <u>f</u> (Articles 13.2(c), 1	country any restrictions on the import of hand in the import of ha	zardous wastes and			
	If yes, please spec	fy:				
(:)	The meture of the					
(i)	The nature of the	restriction:				
	Total prohibition					
	Partial restriction					
	If partial restriction specify the nature of	n (e.g. depending on the intended final disposa of the restriction:	al operation) please			
(ii)	The country or reg	jion covered by this restriction:				
	All countries non Parties to BC non-Annex VII cour non OECD countries non-EU countries other					
	If other, please spe	ecify:				
(iii)	The wastes cover	ed by the restrictions:				
	All wastes covered Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nation Other	by BC				
	If other, please spe	ecify:				
	If possible, attach a list or provide it in the following table (optional):					
	Waste code	Type of waste ⁽¹⁾	Remarks, if any			
	(box to select and t	upload file)				

	(1) Not required to fill in, if you have provided the waste code in column 1					
(iv)	If possible, provid	le relevant legislation and its entry into forc	e <u>(optional)</u> :			
	(box to select and	l upload file)				
(v)	Remarks:					
3e	other wastes for the (Articles 13.2(c),	country any restrictions on the import of hat ecovery (Annex IV B)? 3.3(c) combined with 4.1(a), 13.3(i))) Yes	zardous wastes and			
	If yes, please spec	ify:				
(i)	The nature of the	restriction:				
	Total prohibition [
	Partial restriction [
		on (e.g. depending on the intended Annex IV B nature of the restriction:	disposal operation),			
(ii)	The country or re	gion covered by this restriction:				
	All countries non Parties to BC non-Annex VII cou non OECD countries other					
	If other, please specify:					
(iii)	The wastes cover	ed by the restriction:				
	All wastes covered Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nation Other	d by BC				
	If other, please sp	ecify:				
	If possible, attach a	a list or provide it in the following table (optiona	<u>ıl)</u> :			
	Waste code	Type of waste ⁽¹⁾	Remarks, if any			
		,,,	,,			

	(box to select and t	upload file)					
	(1) Not required to fill in,	if you have p	provided the w	aste code in columr	า 1		
(iv)	If possible, provid	e relevant	t legislation	and its entry i	nto forc	e <u>(optional)</u> :	
	(box to select and	l unload fi	<i>(</i> 0)				
(v)	Remarks:	иргоац п					
(-)	Kemarks.						
3f	Are there any rest through your cour (Article 13.3(i))		n the <u>trans</u>	<u>it</u> of hazardous	wastes	and other wastes	
	•	Yes □	No 🗌				
	If yes, please spec	ify:					
(i)	The nature of the	restriction	1:				
	Total prohibition						
	Partial restriction]					
	If partial restriction (e.g. depending on the intended disposal operation) please specify						
(ii)	the nature of the restriction: The country or region covered by this restriction:						
• •	All countries non Parties to BC non-Annex VII cour non OECD countries non-EU countries other	 ntries	ou by time				
	If other, please spe	ecify:					
(:::\	The wester sever	ad by the	raatriatians				
(iii)	The wastes covere		restrictions	5.			
	All wastes covered Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nations Other		d hazardous	s wastes 🗌			
	If other, please spe	ecify:					

	(box to select and upload file) Remarks: Has your country decided not to require prior written consent, either generally of under specific conditions, for transit transboundary movements of hazardous wastes or other wastes? (Articles 6.4, fourth sentence, and 13.3(c) (optional) Yes		
	(box to select and upload	d file)	
	(1) Not required to fill in, if you	have provided the waste code in column 1	
(iv)			o force <u>(optional)</u> :
(v)	Remarks:		
3g	under specific condition	ns, for <u>transit</u> transboundary mo	
	(Articles 6.4, fourth sente	ence, and 13.3(c) (optional)	
		nether this decision applies:	
	Under specific conditions	s 🗌	
	If under specific condition	ns, please specify which:	
3h	Does vour country's le	gislation include a definition of "	State of transit"?
	(Articles 6.4 and 13.3 (c)		otate of transit.
	Yes No No		
		e text of the definition, including any ich" in the definition of "State of trar	

Annex II

Revised standardized reporting format for transmitting information under paragraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention (import and export prohibitions)

Sec	retariat of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal
No	tification of restrictions on and conditions for transboundary movement of hazardous wastes and other wastes pursuant to articles 4 and 13 of the Basel Convention
and to Signal	rmation reported using this form shall be regarded as a formal notification pursuant to paragraph 1 of Article 4 paragraph 2 of Article 13 and shall be transmitted by the Secretariat of the Basel Convention to all Parties and gnatories. Information transmitted annually under paragraph 3 of Article 13 may represent a notification under agraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention if transmitted gh the designated focal point. Such information shall be transmitted by the Secretariat of the Basel Convention to all Parties and Signatories.)
C	ountry:
Ir	stitution/Department completing the questionnaire:
A	ddress:
T	elephone No.: Fax No.:
C	ontact person:
P	osition of contact person:
	elephone No.: f different from above)
E	-mail:
	-mail: ate when form completed (DD/MM/YYYY):

1.	Has the amendment to the Basel Convention (decision III/1) been implemented in				
	your country? Yes [] N	[]			
	Remarks:				
2.		disposal (Annex IV A)?	<u>export</u> of hazardous wastes an		
	If yes, please specify:				
(i)	The nature of the restr	ction			
	Total prohibition				
	Partial restriction				
	If partial restriction (e.g. of the restriction:	epending on the intended final disp	osal operation) please specify the natu		
ii)	The country or region c	overed by this restriction:			
	All countries Non Parties to the Basel Co Non-Annex VII countries Non OECD countries Non-EU countries Other If other, please specify:	nvention			
	if other, pieuse speerry.				
iii)	The wastes covered by the restrictions:				
	All wastes covered by the E Annex VIII to the Basel Co Annex II to the Basel Conve Amber List OECD Amber List EU Article 1(1)b nationally defi	nvention			
	If other, please specify:				
	If possible, attach a list or p	rovide it in the following table:			
	Waste code	Type of waste ⁽¹⁾	Remarks, if any		

(iv)	If possible, provide rele	vant legislation and its entry into force	:
(v)	Remarks:		
3.	Are there in your cou other wastes for recov	ntry any restrictions on the <u>export</u> overy (Annex IV B)?	of hazardous wastes and
	Yes [] No	[]	
	If yes, please specify:		
(i)	The nature of the restri	ction:	
	Total prohibition		
	Partial restriction		
	If partial restriction (e.g. nature of the restriction:	depending on the intended Annex IV B dispos	sal operation), please specify the
(ii)	The country or region of	covered by this restriction:	
	All countries Non Parties to the Basel Co Non-Annex VII countries Non OECD countries Non-EU countries Other If other, please specify:	onvention	
(iii)	All wastes covered by the Hannex VIII to the Basel Convamber List OECD Amber List EU Article 1(1)b nationally defo	Basel Convention	
	If other, please specify:		
	If possible, attach a list or p	provide it in the following table:	
	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)	If possible, provide rele	vant legislation and its entry into force	:

Remarks:		
	country any restrictions on the imponal disposal (Annex IV A)?	rt of hazardous wastes a
Yes [] No	[]	
If yes, please specify:	:	
The nature of the res	striction:	
Total prohibition		
Partial restriction		
If partial restriction (e of the restriction:	.g. depending on the intended final disposal o	peration), please specify the na
The country or region	on covered by this restriction:	
All countries Non Parties to the Basel Non-Annex VII countries Non OECD countries Non-EU countries Other		
If other, please specify:		
The wastes covered l	ov this restriction:	
All wastes covered by the Annex VIII to the Basel Annex II to the Basel Control Amber List OECD Amber List EU Article 1(1)b nationally Other	Convention	
If other, please specify:		
	or provide it in the following table:	
	-	
Waste code	Type of waste ⁽¹⁾	Remarks, if any
(1) Not required to fill in,	if you have provided the waste code in colum	nn 1
If possible, provide r	elevant legislation and its entry into fo	rce:
ii bossible, brovide r	elevant legislation and its entry into io	ice:
in possible, provide r		

5.	Are there in your country any restrictions on the <u>import</u> of hazardous wastes and other wastes for <u>recovery</u> (Annex IV B)?				
	Yes [] No	[]			
	If yes, please specify	:			
(i)	The nature of the res	striction:			
	Total prohibition				
	Partial restriction				
	If partial restriction (e nature of the restriction:		intended Annex IV B	disposal operation), please sp	ecify the
(ii)	The country or region	on covered by this	restriction:		
	All countries Non Parties to the Basel Non-Annex VII countrie Non OECD countries Non-EU countries Other				
	If other, please specify:				
(iii)	The wastes covered	by this restriction	:		
All wastes covered by the Basel Convention Annex VIII to the Basel Convention Annex II to the Basel Convention Annex II to the Basel Convention Amber List OECD Amber List EU Article 1(1)b nationally defined hazardous wastes Other If other, please specify: If possible, attach a list or provide it in the following table:					
	Waste code	Т	ype of waste ⁽¹⁾	Remarks, if a	nv
	Waste Code		ype or waste	remarks, if a	
				<u> </u>	
	(1) Not required to fill in	, if you have provide	d the waste code in colu	umn 1	
(iv)	If possible, provide r	elevant legislation	n and its entry into f	orce:	
(v)	Remarks:				
6.	Are there restriction your country? Yes [] No		<u>t</u> of hazardous was	stes and other wastes th	nrough

	If yes, please specif	y:						
(i)	Total prohibition							
	Partial restriction							
	If partial restriction (e.g. depending on the intended disposal operation), please specify the nature of the restriction:							
(ii)	The country or region covered by this restriction:							
	All countries Non Parties to the Basel Convention Non-Annex VII countries Non OECD countries Non-EU countries Other							
	If other, please specify:							
(iii)	The wastes covered by the restriction:							
	All wastes covered by the Basel Convention Annex VIII to the Basel Convention Annex II to the Basel Convention Amber List OECD Amber List EU Article 1(1)b nationally defined hazardous wastes Other If other, please specify:							
	If possible, attach a	list or provide it in the following table:						
	Waste code	Type of waste ⁽¹⁾	Remarks, if any					
(iv)	·	in, if you have provided the waste code in column relevant legislation and its entry into force:	1					
	n possible, provide	relevant registation and its entry into force.						
(v)	Remarks:							
7.	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 (see Article 6.4, fourth sentence)?							

	Yes No No							
	If yes, please specify whether this decision applies:							
	Generally							
	Under specific conditions							
	If under specific conditions, please specify which:							
8.	Does your country's legislation include a definition of "State of transit"?							
	Yes No No							
	If yes, please provide the text of the definition, including any elaboration of the meaning of the terms "through which" in the definition of "State of transit" set out in Article 2.12 of the Convention:							

Annex III

Revised form for country contacts

Revised form for notification of designation of contact(s)







Basel, Rotterdam and Stockholm Conventions Sasel Conventions







FORM FOR NOTIFICATION OF DESIGNATION OF CONTACT(S)*					
STATE/ORGANIZATION:					
Nomination of*: Basel Convention Focal Point Basel Convention Competent Authority/Authorities (if relevant to your country, please provide further information on the scope of each Competent Authority's area of responsibility					
attachment to this form. See back page for the roles and responsibilities of each type of contact. **Parties may designate one or more DNAs in accordance with Article 4 of the Convention and with different responsibilities (e.g. pesticides, industrial chemicals)					
Kindly note that self-nominations will not be considered. 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). The information transmitted shall be included in the official records of the Secretariat as the officially designated country contact(s) for the Basel, Rotterdam and/or Stockholm Conventions.					
Institution/department					
Address Street, number Postal code City Province Country					
Telephone number Country code – city code – local number					
Fax number Country code - city code - local number					
E-mail address					
Name of contact person Title – first name – surname	☐ Mr. ☐ Ms.				

Position of contact person						
Please tick as appropriate The above notification is a first-time nomination by the State/organization concerned The above notification is in addition to the previous nomination by the State/organization concerned The above notification is in replacement of the previous nomination by the State/organization concerned						
THIS NOTIFICATION HAS BEEN SUBMITTED BY						
Name						
Institution/department						
Address Street, number Postal code City Province Country						
Telephone number Country code – city code – local number						
Fax number Country code – city code – local number						
E-mail address						
Date and signature						
PLEASE RETURN COMPLETED FORM TO: Secretariat of the Basel, Rotterdam and Stockholm Conventions 11–13, Chemin des Anémones CH–1219 Châtelaine Geneva Switzerland						
Fax: (+41) 22 917 80 98						

The Secretariat will acknowledge receipt of the information transmitted and make it publicly available on the website of the appropriate convention(s).

E-mail: contacts@brsmeas.org

Contacts under the Basel, Rotterdam and Stockholm conventions: roles and responsibilities

(i) Basel Convention focal point (Articles 2 and 5)

"Focal point" means the entity of a party referred to in Article 5 of the Basel Convention responsible for receiving and submitting information as provided for in Articles 13 and 16.

To facilitate the implementation of the Convention, the parties shall:

- 1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
- 2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
- 3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

(ii) Basel Convention competent authority/authorities (Articles 2 and 5)

"Competent authority" means one 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 notification as provided in Article 6.

To facilitate the implementation of the Convention, the parties shall:

- 1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
- 2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
- 3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

(iii) Rotterdam Convention designated national authority/authorities (Article 4)

Each party shall designate one or more national authorities that shall be authorized to act on its behalf in the performance of the administrative functions required by the Rotterdam Convention.

Each party shall, no later than the date of the entry into force of the Convention for it, notify the name and address of such authority or authorities to the Secretariat. It shall notify the Secretariat of any changes in the name and address of such authority or authorities.

(iv) Rotterdam Convention official contact point

The Secretariat communicates with an official contact point of a party on such official issues as notices regarding participation in meetings of the Conference of the Parties, circulation of the reports of such meetings, proposals for the addition of chemicals to Annex III of the Convention and for inclusion in the PIC procedure, and the nominations of experts to such subsidiary bodies as the Chemical Review Committee.

(v) Stockholm Convention official contact point (decision SC-2/16 of the Conference of the Parties)

Parties and non-party States are invited to nominate to the Secretariat an official contact point for the performance of administrative functions and all formal communications under the Convention.

(vi) Stockholm Convention national focal point (Article 9)

Each party shall designate a national focal point for the exchange of information as specified under Article 9 of the Convention. Non-party States may also designate such national focal points.

Annex IV

Revision to question 1 (a) of the revised reporting format

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

Questionnaire on "Transmission of Information"

Reporting for the year 20XX^{1, 2}

¹ Adopted by COP12 in decision BC-12/6.

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

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

1a	Designated Competent Authority 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 or more competent authorities</u> .									
	According	According to the Secretariat's records the Competent Authority(ies) in your country is(are):								·e):	
	Organizati on: CA1	Departme nt:	Job Positi	ion: Fu	Il Name:	Tel:	Fax:	Address:	e-Mail:	Web site	Area of responsibility
	CA1 CA2 CAx										
			<u>. I</u>	<u> </u>							l
1a.1	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 🗌	No 🗌									
	(If the us	er chooses	"yes" the	e followii	ng opti	ons ap	pear 1	a.2 and 1	a.3)		
1a.2	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)) 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.										
								or nd the may need			
	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.								ut you can		
	Organiz ation: XXX	Department : XXX	Job Position: XXX	Full Name: XXX	Tel:	Fax: 222	Address	e-Mail:	Web site XXX	Area o respon	
	Add butt	on									
1a.3	Upload s	upporting d	ocument	S.							
	any suppo	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.									
	(box to s	elect and u	pload file)							