



UNEP/CHW.13/9/Add.2/Rev.1

Distr.: General 9 September 2017 English only

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.

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

Questionnaire on "Transmission of Information"

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

(...)

Restrictions on and conditions for Transboundary Movement of Hazardous 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 <u>final disposal</u> (Annex IV A)?
	(Articles 13.2(d), 13.3(c) and 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 final disposal operation) please
	specify the nature of the restriction:
(ii)	The country or region covered by this restriction:
	All countries
	non Parties to BC
	non OECD countries
	non-EU countries
	other 🗌

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 sp	cify:	
(iii)	The wastes cover	ed by the restrictions:	
	All wastes covered Annex VIII BC	by BC ally defined hazardous wastes	
	If other, please sp	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	ıpload file)	
	⁽¹⁾ Not required to fill in	if you have provided the waste code in colum	n 1
(iv)	If possible, provid	e relevant legislation and its entry i	nto force <u>(optional)</u> :
	(box to select and upload file)		
(v)	Remarks:		
3с		country any restrictions on the <u>expe</u> <u>ecovery</u> (Annex IV B)? 3.3(c), 13.3(i))	ort of hazardous wastes and
		res 🗌 No 🗌	
	If yes, please spec	fy:	

(i)	The nature of the re	striction:		
	Total prohibition			
	Partial restriction			
		(e.g. depending on the intended Annex IV B ture of the restriction:	disposal operation),	
(ii)	The country or regi	on covered by this restriction:		
	All countries non Parties to BC non-Annex VII countries non OECD countries non-EU countries			
	If other, please spec	ify:		
(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 l	ist or provide it in the following table (optiona	<u>al)</u> :	
	Waste code	Type of waste ⁽¹⁾	Remarks, if any	
	(box to select and up	load 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> :	
	(box to select and ι	ipload file)		
(v)	Remarks:			

3d	other wastes for fi	country any restrictions on the <u>import</u> of I <u>nal disposal</u> (Annex IV A)? <u>3.3(c) combined with 4.1(a), 13.3(i)))</u>	hazardous wastes and
	\ \	/es 🗌 No 🗌	
	If yes, please spec	fy:	
(i)	The nature of the	estriction:	
	Total prohibition		
	Partial restriction]	
	If partial restrictio specify the nature of	n (e.g. depending on the intended final dispo f the restriction:	osal 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	s 🔲 🗌	
(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 nations Other	by BC ally defined hazardous wastes	
	If other, please spe	cify:	
	If possible, attach a	list or provide it in the following table (optio	nal):
	Waste code	Type of waste ⁽¹⁾	Remarks, if any
	(box to select and L	ıpload 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 force (optional):		
	(box to select and	upload file)	
(v)	Remarks:		
Зе	other wastes for <u>r</u> (Articles 13.2(c), 1	country any restrictions on the <u>import</u> or <u>acovery</u> (Annex IV B)? <u>3.3(c) combined with 4.1(a), 13.3(i)))</u> (/es No	f hazardous wastes and
	If yes, please spec	fy:	
(i)	-		√ B disposal operation),
(ii)	The country or re	jion covered by this restriction:	
	All countries non Parties to BC non-Annex VII cou non OECD countries other	s 🗌 🗌	
		lony.	
(iii)	All wastes covered Annex VIII BC Annex II BC Amber List OECD Amber List EU Article 1(1)b nation Other If other, please spe	ally defined hazardous wastes	ional):
	Waste code	Type of waste ⁽¹⁾	Pomorka if any
			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 force (optional):
	(box to select and upload file)
(v)	Remarks:
3f	Are there any restrictions on the <u>transit</u> of hazardous wastes and other wastes through your country? (Article 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 disposal operation) please specify the nature of the restriction:
(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	a list or provide it in the following table (option	nal):
	Waste code	Type of waste ⁽¹⁾	Remarks, if any
	(box to select and i	upload file)	
	⁽¹⁾ Not required to fill in	if you have provided the waste code in column 1	
(iv)		le relevant legislation and its entry into for	ce (optional):
	(box to select and	l upload file)	
(v)	Remarks:		
3g		decided not to require prior written conse nditions, for <u>transit</u> transboundary movem astes?	
	(Articles 6.4, fourth	sentence, and 13.3(c) (optional)	
	Yes 🗍 No 🗌]	
		ify whether this decision applies:	
	Generally 🗌		
	Under specific con	ditions 🗌	
	If under specific co	nditions, please specify which:	
3h	Original Action (Articles 6.4 and 13	y's legislation include a definition of "State .3 (c) (optional)	e of transit"?
	Υ.		
	Yes 🗌 🛛 No 🗌]	
		de the text of the definition, including any ela gh which" in the definition of "State of transit"	•

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)

Secretariat of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal
Notification of restrictions on and conditions for transboundary movement of hazardous
wastes and other wastes pursuant to articles 4 and 13 of the Basel Convention
(Information reported using this form shall be regarded as a formal notification pursuant to paragraph 1 of Article 4 and paragraph 2 of Article 13 and shall be transmitted by the Secretariat of the Basel Convention to all Parties and to Signatories. Information transmitted annually under paragraph 3 of Article 13 may represent a notification under paragraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention if transmitted through the designated focal point. Such information shall be transmitted by the Secretariat of the Basel Convention to all Parties and Signatories.)
Country:
Institution/Department completing the questionnaire:
Address:
Telephone No.: Fax No.:
Contact person:
Position of contact person:
Telephone No.: (if different from above)
E-mail:
Date when form completed (DD/MM/YYYY):

Restrictio	ns on and conditions for transboundary movements of hazardous wastes and other wastes
1.	Has the amendment to the Basel Convention (decision III/1) been implemented in
	your country? Yes [] No []
	Remarks:
2.	Are there in your country any restrictions on the <u>export</u> of hazardous wastes and other wastes for final disposal (Annex IV A)?
	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 final 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 restrictions:
	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
	⁽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 for	rce:
(v)	Remarks:		
3.	Are there in your country other wastes for <u>recovery</u>	any restrictions on the <u>expor</u> (Annex IV B)?	<u>t</u> of hazardous wastes and
	Yes [] No []		
	If yes, please specify:		
(i)	The nature of the restriction	:	
	Total prohibition		
	Partial restriction		
	If partial restriction (e.g. dependent nature of the restriction:	ding on the intended Annex IV B dis	posal operation), please specify
(ii)	The country or region cover	ed by this restriction:	
	All countries Non Parties to the Basel Convent Non-Annex VII countries Non OECD countries Non-EU countries Other		
	If other, please specify:		
(iii)	The wastes covered by the re	estrictions:	
	All wastes covered by the Basel of Annex VIII to the Basel Convention Annex II to the Basel Convention Amber List OECD Amber List EU Article 1(1)b nationally defined h Other	ion	
	If other, please specify:		
	If possible, attach a list or provide	e it in the following table:	
	Waste code	Type of waste ⁽¹⁾	Remarks, if any
	⁽¹⁾ Not required to fill in, if you ha	ave provided the waste code in colum	ın 1
(iv)		legislation and its entry into for	
1111	It possible provide polovent	logislation and its ontwo into for	

(v)	Remarks:
4.	
4.	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)?
	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 final disposal operation), please specify the nature of the restriction:
(ii)	The country or region covered by this restriction:
	All countries
	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 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
	⁽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 :
(v)	Remarks:

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 restriction:	
	Total prohibition	
	Partial restriction	
	If partial restriction (e.g. depending on the intended Annex IV B disposal operation), please specify the nature of the restriction:	
(ii)	The country or region covered by this restriction:	
	All countries	
	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 Anter 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 (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:	
(v)	Remarks:	
6.	Are there restrictions on the <u>transit</u> of hazardous wastes and other wastes through your country? Yes [] No []	

	If yes, please specify:							
(i)								
	Partial restriction							
	If partial restriction (e.g. depending on the intended disposal operation), please specify the nature of the restriction:							
(ii)	The country or reg	ion covered by this restriction:						
	All countries							
	If other, please specify:							
(iii)	The wastes covered	by the restriction:						
	All wastes covered by the Basel Convention							
	If other, please spec							
	in other, please specify.							
	If possible, attach a	possible, attach a list or provide it in the following table:						
	Waste code	Type of waste ⁽¹⁾	Remarks, if any					
			<u> </u>					
(iv)		in, if you have provided the waste code in column ?	1					
(1V)	If possible, provide	relevant legislation and its entry into force:						
(v)	Remarks:							
	Kemarks.							
-								
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							
		whether this decision applies:						

	Under specific conditions
	If under specific conditions, please specify which:
8.	Does your country's legislation include a definition of "State of transit"?
	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)

UNEP	Basel, Rotterdam and Stockholm 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)						
Rotterdam Convention Official Conta	ct Point					
Rotterdam Convention Designated Na	ational Authority /Authorities**					
	(if relevant to your country, please provide further information on the scope of the DNA's mandate/responsibilities					
	Stockholm Convention Official Contact Point Stockholm Convention National Focal Point					
* In the case of notification of multiple contacts, please use one sheet per contact point or include a list as an 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 r	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 <i>Country code – city code – local number</i>						
Fax number Country code - city code - local number						
E-mail address						
Name of contact person <i>Title – first name – surname</i>	□ Mr. □ Ms.					

Position of confact person	
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				
institution, department				
Address				
Street, number				
Postal code				
City				
Province				
Country				
Telephone number				
<i>Country code – city code – local number</i>				
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

E-mail: contacts@brsmeas.org

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

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	-	ed Compet		rity to th	ne Bas	sel Cor	nventio	n			
	(Articles 13.2(a), 13.3(a))										
		nce with Ar		e Conve	ention,	Parties	shall de	esignate o	r establi	sh <u>one</u>	or more
	competent	authorities									
	According	According to the Secretariat's records the Competent Authority(ies) in your country is(are):									
	Organizati on:	Departme nt:	Job Positio	n: Full	I Name:	Tel:	Fax:	Address:	e-Mail:	Web site	Area of responsibility
	CA1										
	CA2										
	CAx										
1a.1	Competer Competer	ant to upda nt Authority nt Authority 13.2(a), 13.3	/ies or not /ies?								
	Yes No										
	(If the user chooses "yes" the following options appear 1a.2 and 1a.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.										
	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.										
	Organiz ation:	Department		Full Name:	Tel:	Fax:	Address	s: e-Mail:	Web site	Area o	of nsibility
	XXX	XXX	XXX	XXX	111	222	XXX	XXX	XXX	ТСЗро	ISIDIIIty
	Add butto	on									
1a.3	Upload supporting documents.										
		n for notifica rting docum d.									
	(box to se	elect and u	oload file)								