



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

Draft user manual for the electronic reporting system of the Basel Convention

Note by the Secretariat

As referred to in the note by the Secretariat on national reporting (UNEP/CHW.13/8), the annex to the present note sets out the draft user manual for the electronic reporting system under the Basel Convention developed by the Secretariat, in consultation with the small intersessional working group on national reporting. The Secretariat is in the process of updating the system to support the revised format for national reporting¹ adopted by the Conference of the Parties in decision BC-12/6. The figures contained in the annex to the present note are taken from the online questionnaire currently available through the electronic reporting system and will be replaced with figures taken from the revised online questionnaire following the update of the electronic reporting system. The present note, including its annex, has not been formally edited.

* UNEP/CHW.13/1.

¹ UNEP/CHW.12/INF/16/Rev.1.

Annex

**Draft user manual for the Electronic Reporting System
of the Basel Convention**

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I. Introduction

The purpose of this manual is to assist Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal in using the Electronic Reporting System (ERS) to submit their national reports pursuant to Article 13(3) of the Convention. The manual provides an overview of the key features of the ERS and explains the various ways in which users can submit information through the system.

The ERS was developed to fulfill the requests of the Conference of the Parties to the Basel Convention pertaining to reporting (decisions BC-12/6, BC-11/7, BC-10/14, BC-10/29, BC.Ex 1/1). The online format (questionnaire) available to Parties through the ERS for reporting for 2016 and later years is based on the national reporting format adopted by decision BC-12/6.

The manual focuses on how to use the ERS for providing information and submitting national reports. Instructions on how to complete the reporting format are contained in the [Manual for completing the format for national reporting under the Basel Convention].

II. How to access the ERS

The focal point to the Basel Convention for each party is the responsible authority for submitting national reports to the Secretariat. Users can access the ERS through the website of the Basel Convention at <http://www.basel.int/Countries/NationalReporting/tabid/3356/Default.aspx>. Credentials (username and password) for logging into the ERS are provided to the focal point by the Secretariat.

If you are the focal point and have not received this information, contact the Secretariat at sbc_natrep@brsmeas.org or sbc_natrep@unep.org to request it.

III. General features of the ERS

The online questionnaire consists of sixteen pages that correspond to seven questions and nine tables. This section provides a brief description of the features and functions of the ERS that allow the user to navigate through the questionnaire, save changes made to it and check for the completeness of the information provided. These functions are accessible through the Sidebar and Toolbar (Figure 1) that are visible at all times when you are logged into the ERS.

The screenshot shows the first page of the online questionnaire. At the top, there is a toolbar with buttons for 'Next Page >>', 'Save Changes', 'Check for Errors', 'download answers', and 'Logout'. Below the toolbar, the page title is 'Electronic Reporting System of the Basel Convention (Year: 2014)' followed by 'PART I: STATUS OF INFORMATION'. The main content area is divided into two sections: 'Competent Authority information' and 'Focal Point information'. The 'Competent Authority information' section includes a question '1a - Designated Competent Authority to the Basel Convention.' and a table with columns for 'Organization', 'Department', 'Job Position', and 'Full Name'. Below the table, it shows 'Total Records: 1' and an 'Export to Excel' button. The 'Focal Point information' section includes a question '1b - Designated Focal Point to the Basel Convention.' and a similar table. A sidebar on the left lists various questions and tables, with 'Question 1 - Competent Authority and Focal Point' highlighted. The sidebar also includes a 'Sidebar' label and a list of questions and tables.

Figure 1. First page of the online questionnaire

Navigation

You can access each page of the questionnaire by clicking on the buttons on the Sidebar or by using the navigation buttons (Next Page or Previous Page) on the Toolbar (Figure 1).

Toolbar functions

The Toolbar at the top of each page of the questionnaire (Figure 1) provides the following functions:

Save changes

This function allows the user to save changes made to the report at any time. You can return to a saved report after logging into the system.

This function will also alert the user about pages of the report that contain incomplete answers. A message will be displayed at the top of the page indicating the pages that contain errors (Figure 2). You can subsequently access individual pages that have been flagged and use the “check for errors” function (see below) to identify errors that should be corrected.

Figure 2. Checking for errors throughout the report.

Check for Errors

This function checks whether there are incomplete answers within a page of the questionnaire. The errors are highlighted and details are provided about how to correct them (Figure 3).

Figure 3. Checking for errors within a page.

Download answers

This function allows the user to export the full report to a downloadable Microsoft Word document. Note that you can also export the data contained in a table to a downloadable Microsoft Excel file by clicking on the Excel button located beneath each table within the questionnaire (Figure 5a).

Logout

The user can exit from the system using the logout function.

IV. Filling in the questionnaire

The questionnaire allows the user to provide information in several ways: answering multiple choice questions, filling in textboxes and importing files (Figure 4).

Figure 4. Options for answering questions.

Answering multiple choice questions

Some questions have a multiple choice format. You can select the most suitable answer out of a list of options. Be aware that, in some cases, selecting an option will display further sub-question(s).

Textboxes

Some questions can be answered by writing directly in textboxes.

Importing files

The user can submit information as part of the national report by uploading a file to the ERS. Accepted file formats include Microsoft Word, Microsoft Excel and PDF. Note that the maximum file size that can be uploaded is 1 Megabyte.

V. Providing information in tables

The questionnaire also allows the user to provide information in tables. There are several ways to fill in the tables: using editing dialogue boxes, entering numerical data and importing tables in Microsoft Excel format.

Using editing dialogue boxes

Most tables in the questionnaire allow the user to add individual records (line entries) by clicking on an “Add” button, as in the example shown in Figure 5a, which brings up an editing dialogue box such as the one shown in Figure 5b. You can make changes to the records in the table or delete them by clicking on the respective links in the table (Figure 5a).

Within the Editing dialogue box (Figure 5b), you can enter information in textboxes or by selecting from multiple choice answers. When entering quantitative information on amounts of wastes, follow the instructions set out in the section “entering numerical data” below.

In some cases, the dialogue box offers predefined lists of answer choices; for example, in Table 3 on recovery options operated within the National Jurisdiction, the user is asked to select from a list of R codes (from Annex IV – section B of the Basel Convention) to specify the recovery operation for each facility that is reported (Figure 5b).

Table 3 Recovery Facilities Operated within the National Jurisdiction

Please provide the following information OR indicate the source from where such information could be obtained:

Facility/operation or process (Name, address, organization/company, etc.)	Description of the facility, operation or process	Recovery operation (Annex IVB) R Code	Capacity (in metric tons)	Does the facility treat wastes imported ?
Facility X, Industrial road, Main town, Central state.	Recovery of tires	R0xx	1000	No

Total Records: 1

Export to Excel Add Recovery Facility edit delete

Export data to Excel file Edit or delete entries

Add new entries

Figure 5a. Adding or changing records in a table.

Editing dialogue box

Facility/operation or process
(Name, address, organization/company, etc.)

Description of the facility, operation or process

Recovery operation (Annex IVB)
R Code

- R_ - R method not specified
- R1 - Use as a fuel (other than in direct incineration) or other means to generate energy
- R2 - Solvent reclamation/regeneration
- R3 - Recycling/reclamation of organic substances which are not used as solvents
- R4 - Recycling/reclamation of metals and metal compounds
- R5 - Recycling/reclamation of other inorganic materials
- R6 - Regeneration of acids or bases
- R7 - Recovery of components used for pollution abatement
- R8 - Recovery of components from catalysts

Capacity of the facility (in metric tons)
(use dots for decimals, e.g. 20.15)

Does the facility treat wastes imported ?
 Yes No

Add Recovery Facility Cancel

Predefined answer list

Enter numerical data

Figure 5b. Entering information in editing dialogue boxes.

Entering numerical data

You can directly enter data in numerical format in various tables, for example in Table 6 to report on the total amount of wastes generated (Figure 6). Specifically in Table 6, you can provide information on wastes generated for the reporting and previous years. Use the horizontal scroll bar at the bottom of the table to view all the years. When entering numerical data on amounts of wastes, follow the instructions below:

- Provide the data in metric tons;

- use the mathematical symbol “ . ” to indicate decimal fractions only. E.g., to indicate ten thousand and one quarter tons, enter 10000.25.
- do not use the symbols “ , ” or “ ` ” to indicate thousand. Therefore, to indicate sixteen thousand tons, enter 16000 and NOT 16,000 or 16`000.

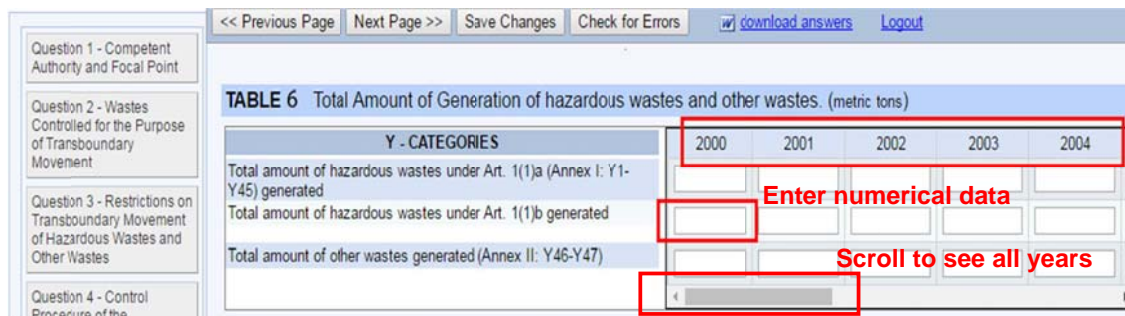


Figure 6. Entering numerical data in a table.

Importing tables in Microsoft Excel format

For entering information into Tables 4 (Export of hazardous wastes and other wastes) and 5 (Import of hazardous wastes and other wastes), you can add records to the tables by clicking on the “Add” button and answering the questions in the editing dialogue box.

Alternatively, you can import the requested information into the ERS by uploading a file in Microsoft Excel format. Note that the Excel file must be formatted using the predefined template provided by the Secretariat for that purpose. The template is available for download from the link located at the top of Tables 4 and 5, and from the website of the Convention at <http://www.basel.int/Countries/NationalReporting/tabid/3356/Default.aspx>

For both modes of data entry, follow the validation rules provided in Box 1 below so that the information provided can be saved to the reporting database managed by the Secretariat.



Figure 7. Importing information as an Excel file.

Box 1. Validation rules for filling in Tables 4 and 5 of the online questionnaire.

Data type	Rule
(1) Waste code: Basel Annex VIII, II or IX	<ol style="list-style-type: none"> 1. Required to fill in. 2. Should be one or more codes from the Basel Convention Annexes VIII, II or IX. 3. If multiple, individual codes should be separated by a comma e.g. A1010, A1030.
(2) Waste code: Basel Annex I (Y code)	<ol style="list-style-type: none"> 4. Required to fill in if you did not fill in at least one code from the Basel Convention Annexes VIII, II, IX (column 1) or national code (column 3). 5. Should be one or more codes from the Basel Convention Annex I. 6. If multiple, individual codes should be separated by a comma e.g. Y17, Y21.
(3) Waste code: National code	<ol style="list-style-type: none"> 7. Required if you did not fill in at least one code from the Basel Convention Annexes VIII, II, IX (column 1) or I (column 2). 8. Particularly important to fill in if there are no applicable wastes codes in column 1. 9. Can be multiple; if multiple, individual codes should be separated by a comma “;”.
(4) Type of waste	Optional to fill in.
(5) Hazardous characteristics: Basel Annex III code or national code (if Basel not applicable)	<ol style="list-style-type: none"> 10. Not required to fill in if you provided in at least one code from the Basel Convention Annexes VIII, II, IX (column 1) or I (column 2). 11. Should be one or more codes from the Basel Convention Annex III. 12. If multiple, individual codes should be separated by a comma “;”.
(6) Amount exported (metric tons; table 4). Amount imported (metric tons; table 5)	<ol style="list-style-type: none"> 13. Required to fill in. 14. Must be a number greater than zero. 15. Use the mathematical symbol “.” to indicate decimal fractions only and avoid using mathematical symbols, such as “,” or “\`” to indicate thousands.e.g., 10000.25 to indicate ten thousand and one quarter tons.
(7) Country/ countries of transit	<ol style="list-style-type: none"> 16. Required to fill in. 17. Use two digit ISO codes. 18. Can be multiple; if multiple, individual codes should be separated by a comma “;”.
(8) Country of destination (table 4 on Export). Country of origin (table 5 on Import)	<ol style="list-style-type: none"> 19. Required to fill in. 20. Use two digit ISO codes. 21. Can be multiple; if multiple, individual codes should be separated by a comma “;”.
(9) Final disposal operation (Annex IV A) D code	<ol style="list-style-type: none"> 22. Required to fill in if you did not fill in R code (column 10). 23. Should be one or more codes from the Basel Convention Annex IV Section A. 24. If multiple, individual codes should be separated by a comma “;”.
(10) Recovery operation (Annex IV B) R code	<ol style="list-style-type: none"> 25. Required to fill in if you did not fill in D code (column 9). 26. Should be one or more codes from the Basel Convention Annex IV Section B. 27. If multiple, individual codes should be separated by a comma “;”.

VI. How to submit the questionnaire

To submit the finalized report to the Secretariat, click on the “Submit the national report” button, which is displayed on the Toolbar (Figure 8) when you reach the last page of the questionnaire (Page 16), containing Table 9 (Cases of illegal traffic which have been closed in the reporting year).

Be aware that after this step, you will no longer be able to make changes to the report using the ERS. If you would like to make changes to the submitted report, you can contact the Secretariat for assistance.

The screenshot shows a web-based reporting interface. On the left, there is a sidebar with five questions: Question 1 - Competent Authority and Focal Point; Question 2 - Wastes Controlled for the Purpose of Transboundary Movement; Question 3 - Restrictions on Transboundary Movement of Hazardous Wastes and Other Wastes; Question 4 - Control Procedure of the Transboundary Movement of Waste; and Question 5 - Reduction and/or Elimination of the... The main content area has a toolbar at the top with buttons: '<< Previous Page', 'Save Changes', 'Check for Errors', 'Submit the National Report' (highlighted with a red box), 'Download Document', and 'Logout'. Below the toolbar, the page number 'Page 18 / 18' is displayed. The main content area contains a table header for 'TABLE 10 - Accidents occurring during the transboundary movement and disposal of hazardous wastes and other wastes'. The table has columns: 'Date of the accident', 'Place of the accident', 'Countries involved', 'Type of waste', 'Amount in metric tons', 'Type of accident', and 'Measures taken to deal with the accident'. Below the table, it says 'Total Records: 0' and 'Add Issue'. There is also a section for 'Sources from where such information could be obtained:' and a note to 'Indicate links (URLs) on the internet.'

Figure 8. Submitting the report online.

{Note from the Secretariat: figure 8 will be replaced by one showing Table 9 once the online questionnaire has been replaced by the revised reporting format contained in the annex to document UNEP/CHW.12/INF/16/Rev.1.}

VII. Getting help on the ERS

For assistance in using the ERS, please contact the Secretariat at sbc_natrep@brsmeas.org or sbc_natrep@unep.org.