AGENDA ITEM 2: MULTILATERAL TRANSPARENCY OF NATIONAL ENVIRONMENTAL REGULATIONS LIKELY TO HAVE TRADE EFFECTS

Note by the Secretariat

This Note responds to requests at the Group's meeting on 4-5 February 1993 that the Secretariat prepare a paper on the kinds of notification requirements that exist in multilateral environmental agreements with respect to trade and trade-related measures. The Note focuses on seventeen binding agreements and one voluntary agreement (number eighteen) that contain trade provisions.

The notification provisions are not reproduced verbatim, but an attempt has been made to explain their meaning and intention, with regard to the trade-related provisions of the agreements, based on the Secretariat's reading of the provisions. Further work in this area could involve closer collaboration with the administering secretariats of these agreements to further the understanding of the workings of the notification provisions and to gain an awareness of the compliance with, enforcement and effectiveness of these provisions.

A. Agreements related to conservation or protection of species

1. Convention Relative to the Preservation of Fauna and Flora in their Natural State (1933)

Article 9 of the Convention contains provisions requiring Contracting Governments to take the necessary measures to control and regulate the internal, the import and export, traffic in, and the manufacture of articles from the protected species. The Convention speaks specifically of "trophies" which mean any animal, dead or alive, in the annex containing the lists of controlled species, or anything part of or produced from any such animal when dead, or the eggs, egg-shells, nests or plumage of any bird mentioned. The export of "trophies" to any destination is prohibited unless the exporter has been granted a certificate by a competent authority permitting export. The import of "trophies" is prohibited except with an accompanying certificate of lawful export.

Each Contracting Government shall furnish to the depository country (the United Kingdom) information on the measures taken in order to carry out the above obligations or any part of them. The depository country will communicate this information to all the other Contracting Governments.
2. **Convention on Nature Protection and Wild Life Preservation in the Eastern Hemisphere** (1940)

Articles IV through IX of the Convention state that Contracting Parties agree to adopt regulations to protect the flora and fauna within their territories. They shall take the necessary measures to control and regulate the importation, exportation and transit of protected flora and fauna through the issuing of export certificates and prohibiting the importation of any species without an accompanying certificate.

There are no notification requirements for these trade provisions.


The Convention contains provisions to protect birds by prohibiting certain methods for their killing, capturing or unnecessary suffering. In this regard, it prohibits the import, export, transport, sale, offer for sale, giving or possession of any live or dead bird killed or captured in contravention of the provisions. Each Party has the right to draw up a list of birds that may be kept in captivity and establish permissible methods of capture and captivity. However trade in the birds protected by this Convention shall be regulated.

There are no notification requirements for these trade provisions.


The Convention contains an Annex of animal and plant species to be protected by Contracting States. For animal species not included in this annex the Contracting States shall regulate their trade and transport, and control the application of the regulations so as to prevent trade in specimens which have been illegally captured or killed or obtained. For plant and animal species which are included in the Annex, Contracting States shall also do the above and, in addition, make the export of such specimens and "trophies" subject to an authorisation, and make their import and transit subject to the presentation of the export authorisation.

The Convention stipulates that Contracting States shall supply the Organisation of African Unity with the text of laws, decrees, regulations and instructions in force in their territories which are intended to ensure the implementation of the Convention; reports of the results achieved in applying the provisions of this Convention; and all the information necessary for the complete documentation of matters dealt with by this Convention, if requested.

5. **European Convention for the Protection of Animals During International Transport** (1968)

Each Party shall apply the provisions governing the international transport of animals contained in the Convention. Before transported, an authorised veterinary officer shall inspect the animals and shall issue a certificate which identifies the animals and states that they are fit for transportation.
In order that importation and transit formalities are completed as quickly as possible, consignments of animals shall be notified as early as possible to control posts.


The Convention stipulates that traffic with third countries, the import, export and transit of live or dead birds that are game shall be governed by the regulations in force in the partner countries. For birds that are not game, traffic with third countries, the import, export and transit of all live or dead birds shall be permitted only with prior authorisation from the partner countries in which such operations take place. Each of the three countries of the Convention (Belgium, Luxembourg, Netherlands) can maintain or introduce legislative provisions for matters not covered by the Convention, provided that they are not incompatible with it.

In cases of emergency, each of the Governments may adopt and apply measures which depart from the provisions of this Convention, for a maximum period of three months, but they must inform the other Governments of such provisional application through the Secretary-General of the Benelux Economic Union.


Three Appendices of protected species are included in this Convention. Under the first, export is only allowed with an export permit satisfying certain conditions, and the import is only allowed with an import permit satisfying certain conditions. Species in the second Appendix also require an export permit, but importation does not require an import permit, only presentation of the export permit. Species in the third Appendix require an export permit, and importation requires prior presentation of a certificate of origin and, where the import is from a State which has included that species in Appendix III, an export permit.

Each Party shall prepare periodic reports on implementation of the Convention and shall transmit to the Secretariat: an annual report containing a summary of the number and type of permits and certificates granted, the State with which such trade occurred, the numbers of quantities and types of specimens, names of species as in the Appendices and, where applicable, the size and sex of the specimens in question; and a biennial report on legislative, regulatory and administrative measures taken to enforce the provisions of the Convention. This information shall be available to the public where this is not inconsistent with the law of the Party concerned.

The Secretariat shall study the Parties' reports and request further information as necessary to ensure implementation, and invite the attention of the Parties to any matter pertaining to the aims of the present Convention. It shall also publish periodically and distribute to the
parties current editions of the Appendices together with any information which will facilitate identification of specimens of species included in those Appendices; and prepare annual reports to the Parties on its work, on the implementation of the present Convention and on other matters as meetings of the Parties may request. It shall also make recommendations for the implementation of the aims and provisions of the Convention, including the exchange of information of a scientific or technical nature.

When the Secretariat is satisfied that any species in the Appendices is being affected adversely by trade, it shall communicate such information to the authorised Management Authority of the Party or Parties concerned. This Party(ies) shall, as soon as possible, inform the Secretariat of any relevant facts insofar as its laws permit and, where appropriate, propose remedial action. The information provided by the Party or resulting from any inquiry shall be reviewed by the next Conference of the Parties which may take whatever recommendations it deems appropriate.

Any Party may at any time submit to the Secretariat a list of species which are subject to regulations within its jurisdiction for protection or control of trade, under the third Appendix. The Secretariat shall communicate each list to the Parties which shall take effect ninety days after the date of the communication. Any Party submitting such a list shall also submit to the Secretariat a copy of all domestic laws and regulations applicable to the protection of such species, together with any interpretations which the Party may deem appropriate or the Secretariat may request.

8. Agreement on Conservation of Polar Bears (1973)

Contracting Parties shall prohibit the exportation from, the importation and delivery into, and traffic within, its territories of polar bears or any part or product thereof taken in violation of the Agreement.

Contracting Parties shall exchange information on national research and management programmes related to polar bears, and research results and data on bears taken. They shall also take action as appropriate to promote compliance with the provisions of this Agreement by nationals of States not party to this Agreement.


Each Party agrees to prohibit the importation and delivery into and the traffic within its territories of skins of fur seals taken in the area of the North Pacific Ocean mentioned in the Convention, except those taken for research purposes in accordance with the Convention, and those inadvertently captured which are taken possession of by a Party, provided that all such excepted skins be officially marked and certified by the authorities of the Party concerned.

There are no notification requirements pertaining to this trade-related provision.

The Convention stipulates that the hunting of and illegal trade in the vicuña, its products and derivatives shall be prohibited within the territories of the Parties. The export of fertile vicuña reproductive material is also prohibited, except to member countries for research and/or repopulation.

Parties agree to continue an active interchange of information through the Multinational Documentation Centre as referred to in the Convention.

11. ASEAN Agreement on the Conservation of Nature and Natural Resources (1985)

Regarding harvested species, Contracting Parties shall take the appropriate and necessary legislative and administrative measures whereby trade and possession of specimens or products of specimens are regulated whenever such regulations meaningfully contribute to the implementation of the harvesting regulations. An Annex of endangered species recognised by the Contracting Parties is attached to the Agreement. Contracting Parties shall regulate the trade in and possession of such specimens and products of those species wherever possible.

Contracting Parties shall forward to the Secretariat information, including reports and publications of a scientific, administrative or legal nature and, in particular, information on measures taken by the Parties in pursuance of the provisions of this Agreement.

B. Agreements relating to plant protection and phytosanitary conditions

1. International Plant Protection Convention (1951)

Each Contracting Government shall establish an official plant protection organisation for inspection of domestic plants and plant products and their consignments moving in international traffic, the disinestation or disinfection of consignments moving in international traffic, and the issue of certificates relating to phytosanitary conditions and origin of consignments.

Each Contracting Government shall distribute information within the country regarding the pests and diseases of plants and plant products and the means of their prevention and control. Each shall also submit a description of the scope of its national organisation to the Director-General of the United Nations Food and Agricultural Organisation (FAO), which shall circulate it to all Contracting Governments.

If a Contracting Government prescribes any restrictions or requirements concerning the importation of plants and plant products into its territories, it shall publish them and communicate them immediately to the plant protection services of the other Contracting Governments and to
the FAO. If a Contracting Government prohibits, under the provisions of its plant protection legislation, the importation of any plants or plant products, it shall publish its decision with reasons and shall immediately inform the plant protection services of other Contracting Governments and the FAO.

Also, if a Contracting Government requires consignment of particular products to be imported only through specified points of entry, these points shall be selected so as not to unnecessarily impede international commerce. Each Government shall publish a list of such points of entry and communicate it to the plant protection services of other Contracting Governments and to the FAO.

Each Contracting Government also agrees to cooperate with FAO in the establishment of a world reporting service on plant diseases and pests, and to furnish to FAO periodically reports on the occurrence, outbreak and spread of economically important pests and diseases of plants and plant products which may be of immediate or potential danger, and information on means found to be effective in controlling the pests and diseases of plants and plant products.


The Convention establishes the Inter-African Phyto-Sanitary Commission represented by each of the participating Governments. It seeks the information, and recommends the action necessary to fulfil the objectives of the Convention.

Participating Governments shall undertake to exercise the control of plant imports that the Commission considers necessary and shall take legislative or administrative measures for this purpose. They shall prohibit the importation of any plant, plant material, seed or packing material which the Commission considers shall be refused admittance into the participating Governments' territories.

Participating Governments shall inform the Commission of each importation of prohibited plants, plant materials or seeds which is made, and the Commission shall inform all other participating Governments.

3. Plant Protection Agreement for the South East Asia and Pacific Region (1956)

This is a supplementary agreement to Agreement number four above. It establishes the regional Plant Protection Committee for the South East Asia and Pacific Region, which shall determine procedures and arrangements necessary for the implementation of the Agreement.

Contracting Governments shall endeavour to apply with respect to the importation of any plants, including their packings and containers, and any packings and containers of plant origin, from anywhere inside or outside the region, such measures as prohibition, certification, inspection,
disinfection, disinestation, quarantine, destruction or other measures as may be recommended by the Committee.

The Committee shall review reports submitted by the Contracting Governments of the progress in implementing the Agreement.

4. Agreement Concerning Cooperation in the Quarantine of Plants and Their Protection Against Pests and Diseases (1959)

Article V states that Contracting Parties undertake to apply uniform phytosanitary regulations for the import, export and transit of consignments of products of vegetable origin from one country to another. They shall undertake to apply measures to prevent the introduction into another country, through exported consignments of goods or by any other means, of quarantinable plant pests, diseases and weeds specified in lists to be drawn up under the Agreement.

Contracting Parties shall regularly exchange information concerning the spread of dangerous plant pests and diseases and the measures being taken for their control. The form and frequency of such information exchanges shall be determined by the international conference on the quarantine and protection of plants to meet at least every three years as provided in the Agreement. In the event of the outbreak of especially dangerous quarantinable plant pests and diseases and centres of infection discovered for the first time, the relevant information shall be transmitted immediately.

Contracting Parties shall also exchange copies of legislative provisions relating to plant quarantine and protection, instructions, directives, specialist literature, information on the methods employed by scientific research institutes, curricula, programmes, statistical and other material relating to plant quarantine and protection.

They shall also notify one another of the most important conferences on questions of plant quarantine and protection and advanced training courses for plant quarantine and protection specialists, so that specialists from the contracting parties may be given opportunity to take part in them.

C. Agreements relating to the atmosphere


Article 4 provides for control of trade with non-parties to the Protocol. As of January 1991, each Party was to have banned the import of the controlled substances from any State not party to the Protocol. Beginning January 1993, each Party was to have banned the export of the controlled substances to any State not party to the Protocol. Parties are also to ban the export of the relevant technology to non-parties. The 1990 London amendments, which are not in force and must be ratified by
Parties, would establish an Annex B of controlled substances which would also be subject to the above bans in accordance with the dates of adoption by Parties. The provisions also require Parties to elaborate a list of products containing the controlled substances whose import from non-parties was to be banned as of January 1993. A further list of products made with the controlled substances is to be elaborated in 1995; the import of such products from non-parties is then supposed to be banned.

Article 7 requires each Party to provide to the Secretariat, within three months of becoming a Party, statistical data on its production, imports and exports of each of the controlled substances for the base year, 1986. It shall also provide data on its annual production, imports, and exports to Parties and non-parties, respectively, of the substances for the year during which it becomes a Party and for each year thereafter. This shall be forwarded no later than nine months after the end of the year to which the data relate.

The Secretariat shall prepare and distribute regularly to the Parties reports based on the above information. It shall notify Parties of any request for technical assistance received, and provide, as appropriate, this information and requests to non-party observers. The amendments would extend these requirements to Annex B and the transitional substances in Annex C. Regional economic integration organisations can satisfy these requirements for imports and exports by providing data on imports and exports between the organisation and States that are not members of the organisation.

D. Agreements relating to hazardous wastes


General Obligations

Categories of wastes are defined in Annex I and characteristics of hazardous wastes in Annex III. Each Party may define as or consider to be a hazardous waste other substances in its domestic legislation. It shall, within six months of becoming a Party, inform the Secretariat and their exporters of these wastes and of any requirements concerning transboundary movement procedures applicable to them, and any subsequent changes. The Secretariat shall inform all Parties of this information.

Each Party may totally or partially prohibit the import of hazardous wastes for disposal within its national jurisdiction and shall inform each other through the Secretariat of such decisions. Parties shall prohibit or not permit the export of hazardous wastes to the Parties which have prohibited their import. In the case where that State of import has not prohibited the import of the particular waste, Parties shall prohibit or not permit the export of hazardous wastes if the State of import does not consent in writing to each specific import (see procedures below).
Parties shall not allow the export of hazardous wastes to a Party or shall prevent the importation of a hazardous waste if it has reason to believe that the waste will not be disposed of in an environmentally sound manner. Exports of hazardous wastes to a non-party or imports from a non-party are prohibited. Exports of hazardous wastes for disposal shall not be allowed within the area south of 60 South latitude, whether or not such wastes are subject to transboundary movement.

Parties shall also require that information about a proposed transboundary movement of hazardous wastes be provided to the States concerned according to the procedures provided in the Convention in order to state clearly the effects of the proposed movement on human health and the environment. They shall also require that hazardous wastes that are to be subject to transboundary movement be packaged, labelled, and transported in conformity with generally accepted and recognised international rules and standards in the field of packaging, labelling, and transport, and that due account is taken of relevant internationally recognised practices. Transboundary movements shall also be accompanied by a movement document from the point of commencement to the point of disposal (see below).

**Procedural obligations**

Parties shall designate or establish one or more competent authorities and one focal point. These and any changes thereof shall be informed to the Secretariat.

**Exporters**

The State of export shall notify, or shall require the generator or exporter to notify, in writing, through the channel of the competent authority of the State of export, the competent authority of the States of import and transit of any proposed transboundary movement of hazardous wastes. The notification shall contain the declarations and information specified in the Convention, written in a language acceptable to the State of import.

The State of export shall not allow the generator or exporter to begin the transboundary movement until it has received written confirmation that the notifier has received the written consent of the State of import; and the notifier has received from the State of import confirmation of the existence of a contract between the exporter and the disposer specifying environmentally sound management of the wastes. Each State of transit which is a Party shall promptly acknowledge to the notifier receipt of the notification and may then respond in writing, within sixty days, consenting to the movement with or without conditions, denying permission for the movement, or requesting additional information.

The State of export may, subject to the written consent of the States concerned, allow the generator or the exporter to use a general notification where hazardous wastes having the same physical and chemical characteristics are shipped regularly to the same disposer via the same customs office of exit of the State of export, via the same office of entry
of the State of import, and, in the case of transit, via the same customs office of entry and exit of the State or States of transit. The general notification and written consent may cover multiple shipments during a maximum period of twelve months.

**Importers**

The State of import shall respond to the notifier in writing, consenting to the movement with or without conditions, denying permission for the movement, or requesting additional information. A copy of the final response of the State of import shall be sent to the competent authorities of the Parties concerned. If the import is allowed, the importer must inform both the exporter and the authority of the State of export of its receipt of the wastes, and of the completion of disposal as specified in the notification.

The Parties shall require that each person who takes charge of a transboundary movement sign the movement document either upon delivery or receipt of the wastes in question. They shall also require that the disposer inform both the exporter and the competent authority of the State of export of receipt by the disposer of the wastes in question and, in due course, of the completion of disposal as specified in the notification. If no such information is received within the State of export, the competent authority of the State of export or the exporter shall so notify the State of import.

The notification and response required in the Convention shall be transmitted to the competent authority of the Parties concerned or to such governmental authority as may be appropriate in the case of non-parties.

**Other notification obligations**

Parties shall, in addition, inform each other through the Secretariat of any decisions taken by them to limit or ban the export of hazardous wastes or other wastes. They shall transmit, consistent with national laws and regulations, through the Secretariat to the Conference of the Parties established under the Convention, before the end of each calendar year, a report on the previous calendar year, containing information on:

(i) the designated competent authorities and focal points;

(ii) transboundary movements of hazardous wastes in which they have been involved, including the amount of hazardous wastes exported, their category, characteristics, destination, any transit country and disposal method as stated on the notifications; the amount of hazardous wastes imported, their category, characteristics, origin, and disposal methods; disposals which did not proceed as intended; and efforts to achieve a reduction of the amount of hazardous wastes subject to transboundary movement;

(iii) the measures adopted by them to implement the Convention;
(iv) available qualified statistics compiled by them on the effects on human health and the environment of the generation, transportation and disposal of hazardous wastes;

(v) bilateral, multilateral and regional agreements entered into pursuant to the Convention;

(vi) accidents occurring during the transboundary movement and disposal of hazardous wastes, and the measures undertaken to deal with them;

(vii) disposal options operated within their national jurisdiction;

(viii) measures undertaken for development of technologies for the reduction and/or elimination of production of hazardous wastes; and

(ix) other matters as the Conference of the Parties shall deem relevant.

The Parties shall ensure that copies of each notification concerning any given transboundary movement of hazardous wastes, and the response to it, are sent to the Secretariat when a Party considers that its environment may be affected by that transboundary movement has requested that this should be done.

International cooperation

Parties shall make available information, upon request, whether on a bilateral or multilateral basis, with a view to promoting the environmentally sound management of hazardous wastes, including harmonisation of technical standards and practices for the adequate management of hazardous wastes.

E. Agreement relating to banned or severely restricted chemicals


The Guidelines are a voluntary instrument to assist governments in increasing chemical safety through exchange of scientific, technical, economic or legal information on chemicals in international trade. It is based on the information exchange mechanism provided by the already established International Register of Potentially Toxic Chemicals (IRPTC). Countries can complement the IRPTC information exchange system by participating in the Prior Informed Consent (PIC) procedures under which a chemical that is banned or severely restricted in order to protect human health or the environment, should not be exported without the agreement, where such agreement exists, or contrary to the decision of the national authority in the importing country. The procedure, incorporated in the FAO
International Code of Conduct on the Distribution and use of Pesticides, is administered jointly by UNEP and FAO.

Countries participating in the IRPTC notify the IRPTC Secretariat each time they take action to ban or severely restrict the use of a chemical, according to the definitions in the Guidelines. The Secretariat then distributes this information on control actions to all participating countries. The minimum information should include the chemical identification/specification; a summary of the control action taken and of the reasons for it; and the fact that additional information is available and the contact point in the State of export to which a request should be addressed. To the extent possible, information concerning alternative measures, such as integrated pest management procedures, non-chemical alternatives, should be provided.

Under the PIC procedures, participating importing countries are expected to respond to the above notification with a decision regarding future imports of the chemical concerned. To aid importing countries in making this decision, a Decision Guidance Document is provided with each notification. Semi-annually IRPTC notifies all Governments in writing of the status of these decisions by importing countries. Governments shall transmit these decisions immediately to industry which, along with interested parties, can request information from IRPTC. Countries may withdraw at any time from PIC procedures.

**Procedures**

Each country shall establish a designated national authority to communicate with such authorities of other countries and with international organisations concerned. All exporting countries are expected to ensure that exports do not occur contrary to the PIC decisions of the participating importing countries. If an export of a banned or severely restricted chemical occurs, the country of export should ensure that the designated national authority of the importing country is provided with:

(i) a copy or reference of the information provided at the time of notification of control action to IRPTC;

(ii) indication that an export of a chemical concerned will occur or is occurring;

(iii) an estimate of the quantity to be exported annually as well as any specific shipment inspection

as far as possible, prior to export.

The purpose of this information is to remind the designated authority in the importing country of the original notification to IRPTC regarding control action and to alert it to the fact that an export will occur.

Importing countries should ensure that actions taken with regard to an imported chemical are not more restrictive than those applied to the same
chemical produced for domestic use or imported from a country other than
the one that supplied the information. The designated authority in an
importing country shall respond within ninety days to the IRPTC indicating
its initial response to notifications of banned or severely restricted
chemicals. This response may be a final decision to permit or prohibit use
and importation or to permit importation only under specified stated
conditions; or an interim response which may state that importation is
under review, and/or request further information; and/or request
assistance in evaluating the chemical.

The chemical should not be exported without the explicit consent of
the importing country, unless it is a pesticide which is registered in the
importing country or is a chemical, the use or importation of which has
been allowed by other governmental action in the importing country. Any
final or interim decision should be communicated to the competent national
authority responsible for controlling imports so that it can take
appropriate import control actions under its authority.

Other notification obligations

Designated national authorities of States of import should provide to
IRPTC, for the purpose of periodic review, a summary of action taken as a
result of notifications and information received, and on any difficulties
which they have experienced in using the Guidelines.

F. Conclusion

Generally speaking, the notification requirements for the conservation
agreements consist of providing the relevant secretariats and/or the other
Parties with the laws, regulations, legislation or any other pertinent
information concerning the implementation of the agreements. CITES goes
further by requiring transmission to the Secretariat of statistical
information relating to, inter alia, the number and type of export and
import permits and certificates granted and the number and types of
specimens traded, with the stipulation that this information shall be
available to the public. Other requirements of these agreements relate to
the exchange of scientific and technical information among the Parties.

The plant protection agreements generally require publication of
requirements or restrictions concerning the importation of plants and plant
products and communication of such requirements to the Parties and the
relevant secretariats. Under the International Plant Protection
Convention, if a Party prohibits the importation of any plant or plant
product, it shall publish its decision with the reasons for the decision,
and inform other Parties and the Secretariat thereof. Other requirements
of these agreements relate to the exchange of information on plant pests
and diseases.

The Montreal Protocol requires that Parties provide to the Secretariat
statistical data on annual production, imports and exports of each of the
controlled substances. The Secretariat shall prepare and distribute
reports based on this information to all Parties and to non-party
It shall also notify Parties and non-party observers of any request for technical assistance received.

Both the Basel Convention, for hazardous wastes, and the London Guidelines, for banned or severely restricted chemicals, make use of a prior informed consent system of transparency and notification. Under this system, importing countries have the right to notify to the relevant secretariat any decisions they may make, based on prior receipt of technical information, regarding the present and future importation of the concerned substance. The relevant secretariat communicates these decisions to all Parties, and exporting countries are obliged to respect these decisions. If the importation is not prohibited, exporting Parties, however, must have written permission from the importing Party and provide other information, as required, to the importing Party prior to each exportation. Other requirements generally include providing information to the relevant secretariats of a scientific or technical nature and of the measures taken to implement the agreements.