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For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
INTRODUCTION

In very general terms, dumping is the sale of a product in the territory of an importing country at less than the price for which that product is sold in domestic market of the exporting country. Article VI of GATT allows Members to impose anti-dumping duties in cases where there are dumped imports, injury to the industry in the importing country, and a causal link between the two.

Under the WTO system, the Anti-Dumping Agreement governs the imposition by Members of anti-dumping duties on products imported from another Member. The Agreement contains detailed procedural and substantive requirements concerning the initiation and conduct of investigations to determine whether imports are dumped, whether there is injury to the domestic industry in the importing Member, and whether there is a causal link.

Although Members are not required to have anti-dumping legislation, the Agreement specifies that anti-dumping measures may only be applied pursuant to investigations initiated and conducted in accordance with the Agreement. The Agreement contains the basic rules for such investigations but is not itself sufficient to govern all aspects of an investigation. Therefore, a Member that foresees the need to impose anti-dumping duties is likely to find it necessary to enact additional legislation or regulations in order to carry out investigations in accordance with the provisions of the Agreement.

The Agreement requires that all Members ensure the conformity of their laws in the anti-dumping area with the provisions of the Agreement.

WHAT MUST BE NOTIFIED?

Notifications of Anti-Dumping legislation and/or regulations.

Article 18.5 of the AD Agreement requires Members to notify their domestic laws and/or regulations relating to anti-dumping to the Anti-Dumping Practices Committee (ADP Committee). These notifications are in the form of the full texts of the relevant laws and/or regulations in English or French or Spanish. Any modification to the laws, regulations or administrative procedures must be notified promptly. Members that have no anti-dumping laws or regulations should notify that fact by providing a nil notification. If a Member is unable to notify the text of existing legislation, it should submit an explanation of why such legislation is not notified. (G/ADP/1 & G/ADP/N/1/Suppl.1).

Notifications of Competent Authorities.

Article 16.5 requires Members to notify to the ADP Committee which of its authorities are competent to initiate and conduct anti-dumping investigations. The list of such notifications includes addresses and contact numbers. It is periodically updated and can be found in document G/ADP/N/14/*; the addendum document with the highest number contains the most recent information.

Notifications of Preliminary and Final Actions.

Article 16.4 requires Members to report without delay all preliminary or final anti-dumping actions taken. The notifications often are made by submitting the full text of a Member’s public notice regarding the action in English, French or Spanish, but in any event, notifications should contain the minimum information to be provided as adopted by the ADP Committee in document G/ADP/2/Rev.2.

Notifications of Anti-Dumping Actions.

Article 16.4 also requires Members to submit a report of all anti-dumping actions they have taken, as well as a list of all anti-dumping measures in force, twice a year. These reports are normally submitted by mid-February, covering the period 1 July through 31 December of the previous calendar year, and by mid-August, covering the period 1 January through 30 June of the same calendar year. A format for these reports, with detailed instructions adopted by the ADP Committee, can be found in document G/ADP/1/Rev.1. Members that have not taken any actions during a covered period and have no ongoing investigations or proceedings or measures in force do not need to use the format but shall instead submit a nil notification (simple two sentences indicating that no actions have been taken during that period; i.e. a nil notification).
One-time notification “OTN” (to be submitted only by a specific category of Members as described below).

The Committee adopted on 21 October 2009 a notification format under Articles 16.4 and 16.5 of the AD Agreement. This format (G/ADP/19) provides for a so-called “one-time notification”. This format was developed to be used by Members that have not yet established an investigating authority and, accordingly, have not taken any anti-dumping action, as a one-time notification that would remain valid until further notice. Should this situation change, the Member in question should notify the Committee upon the establishment of an authority competent to initiate and conduct investigations and should report, without delay, any anti-dumping actions taken accordingly.

WHICH MEMBERS MUST NOTIFY?

All WTO Members.

With respect to Observer governments, a decision by the Committee in 1995 contained in G/ADP/N/1/Suppl.1 was adopted, and it reads as follows:

“An Observer government shall provide the Committee with any information the Observer government considers relevant to matters within the purview of the Agreement, including the text of its laws and regulations regarding AD duties, and information regarding any AD measures taken by the Observer government. At the request of any Party or the Observer government itself, any matter contained in such information could be brought to the attention of the Committee after governments have been allowed sufficient time to examine the information.”

WHEN TO NOTIFY?

In case of legislative notifications. Article 18.5 (G/ADP/1 & G/ADP/N/1/Suppl.1), the notification is to be made once, upon entry into force of the WTO Agreement for the notifying Member for existing laws and regulations, and thereafter on an ad hoc basis, as and when laws/regulations are established, or changes effected. Please see illustrative mock examples listing different situations and explaining when/how to notify depending on the situation.

In case of Ad hoc notifications. Article 16.4. Members are to report without delay all preliminary and final anti-dumping actions taken.

In case of Semi-Annual reports. Article 16.4, twice per year, the first should be submitted by mid-February covering the period July–December of the previous calendar year (the Secretariat issues a request for the notification in December of a given year and a reminder in January of the subsequent year), while the second should be submitted by mid-August and should cover the period January–June of the same calendar year (the Secretariat issues a request for the notification in June and a reminder in July of the same year). If no actions were taken during a given reporting period, the Member concerned should submit a simple nil notification whereby the format would not be used. However, if the Member concerned did not have any actions to report during a given reporting period but has pending actions such as ongoing investigations or proceedings during previous reporting periods, or has measures in force, etc., the format should be used to report those.

In case of the establishment of an authority competent to initiate and conduct investigations. Article 16.5, this should also be notified only once. Any future modifications introduced should also be notified on an ad hoc basis.

OTN. Under Articles 16.4 and 16.5 should be submitted only once by certain Members that fall in the category of Members described in G/ADP/19.
HOW TO NOTIFY?¹

As a general matter, it should be noted that pursuant to a Decision adopted by the Committee in 2009 (G/ADP/20), each Member shall submit all anti-dumping notifications, including the ad hoc reports on all anti-dumping actions and the minimum information format, in an electronic form.

In case of legislative notifications. Article 18.5 (G/ADP/1 & G/ADP/N/1/Suppl.1), the notification is to be made once, upon entry into force of the WTO Agreement for the notifying Member for existing laws and regulations, and thereafter on an ad hoc basis, as and when laws/regulations are established, or changes effected. Please see illustrative mock examples listing different situations and explaining when/how to notify depending on the situation. This notification should be sent by email to crn@wto.org with a copy to the Secretary of the ADP Committee. As this document would be formatted by the WTO Secretariat prior to circulation, it should be submitted in a WORD format.

In case of Ad hoc notifications. Article 16.4, Members should provide – on an ad hoc basis without delay – the minimum information contained in G/ADP/2/Rev.2. Alternatively, Members working in English, French or Spanish can provide the full text of their public notices regarding the notified action. This notification should be sent by email to crn@wto.org with a copy to the Secretary of the ADP Committee. As these notifications are not circulated per se, but kept with the Secretariat for inspection by Members, it could be submitted in a WORD or PDF formats. The Secretariat circulates monthly reports reflecting the Members submitting such notifications during a given month, the products subject to the notified action, and the names of the exporting countries.

In case of Semi-Annual reports. Article 16.4 – twice per year, by mid-February (reporting period July – December of the preceding calendar year) and mid-August (reporting period January-June of the same calendar year):

- In case of actions to report, the format adopted by the Committee and contained in G/ADP/1/Rev.1 shall be used.
- In case of no actions to report and no pending actions pertaining to previous periods, a nil notification would suffice, and the format in G/ADP/1/Rev.1 would not be used. Example of nil notification:

  "In accordance with Article 16.4 of the Agreement on Implementation of Article VI of the GATT 1994, and in response to the request for semi-annual reports contained in document G/ADP/N/XX, the Government of [name of Member] notifies the Committee on Anti-Dumping Practices that it has taken no anti-dumping actions during the period 1 January – 30 June/1 July through 31 December."

- In case of no actions to report during a given reporting period, but the Member concerned has pending actions such as ongoing investigations or proceedings during previous reporting periods, or has measures in force, etc., the format should be used to report those.

All such notifications should be sent by email to crn@wto.org with a copy to the Secretary of the ADP Committee. As this document would be formatted by the WTO Secretariat prior to circulation, it should be submitted in a WORD format.

In case of the establishment of an authority competent to initiate and conduct investigations. Article 16.5, this should also be notified once. A simple email containing the contact details of the newly established authority (name of the Head of the authority, its address, email, website, phone numbers, etc.) would suffice. Any subsequent changes introduced should also be reported – on an ad hoc basis – via email. This email should be sent to crn@wto.org with a copy to the Secretary of the ADP Committee.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Under Articles 16.4 and 16.5 should be submitted by certain Members that fall in the category of Members described in G/ADP/19. Members falling in this category should make the notification using the format contained in G/ADP/19 and circulated in the document series G/ADP/N/193/*. This notification is made only once and remains valid until further notice by the Member concerned. Submitting such a notification would replace submitting the other notifications under Articles 16.4 and 16.5 until such time the circumstances change as described in G/ADP/19. This notification should be sent by email to crn@wto.org with a copy to the Secretary of the ADP Committee. As this document would be formatted by the WTO Secretariat prior to circulation, it should be submitted in a WORD format.
### Listing of the Notification Obligations

#### Part 2

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<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
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<tr>
<td>Agreement on the Implementation of Article VI of the GATT 1994, Article 16.4 (Ad hoc).</td>
<td>Anti-dumping actions (preliminary and final).</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Ad hoc, without delay.</td>
<td>No (There is no format per se, but a list of minimum information to be notified (G/ADP/2/Rev.2).</td>
<td>Committee on Anti-Dumping Practices.</td>
<td>G/ADP/N/*</td>
</tr>
</tbody>
</table>

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2. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?  
### WHICH MEMBERS MUST NOTIFY?  
### WHEN TO NOTIFY?  
### HOW TO NOTIFY?

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<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom²</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on the Implementation of Article VI of the GATT 1994, Article 16.5.</td>
<td>Investigating authorities competent to initiate and conduct investigations referred to in Article 16.5, and domestic procedures governing the initiation and conduct of such investigations.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>One time and upon introduction of any future changes. As appropriate, upon entry into force of the WTO Agreement for the Member concerned.</td>
<td>No (There is no format per se, but a compilation of investigating authorities contact details (G/ADP/N/14/*).)</td>
<td>Committee on Anti-Dumping Practices.</td>
<td>G/ADP/N/14/*</td>
</tr>
</tbody>
</table>

² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/75/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### LISTING OF THE NOTIFICATION OBLIGATIONS

#### PART 2

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<tr>
<td>Notification requirements</td>
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<td>Members notifying</td>
<td>Periodicity</td>
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<tr>
<td>Agreement on the Implementation of Article VI of the GATT 1994, Article 18.5.</td>
<td>Laws/regulations and changes thereto, including changes in the administration of such laws (concerning the languages of notification under Article 18.5, see document G/ADP/1 and G/ADP/N/1/Suppl.1).</td>
<td>All WTO Members - Observer governments requested to provide information considered relevant including texts of laws and regulations and information regarding measures taken.</td>
<td>Ad hoc</td>
</tr>
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</table>

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\(^2\) All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Format for information provided in the semi-annual reports G/ADP/1/Rev.1.

Minimum information to be provided under Article 16.4 of the Agreement in the reports on all preliminary or final Anti-Dumping actions G/ADP/2/Rev.2.

Notification of laws and regulations under Article 18.5 of the Agreement G/ADP/1 and G/ADP/N/1/Suppl.1.

List of competent authorities notified & updates G/ADP/N/14/*.

Notifications under Articles 16.4 and 16.5- Format adopted by the Committee on 21 October 2009 OTN G/ADP/19.

Decision on the electronic submission of all anti-dumping notifications G/ADP/20.
PART 4

LIST OF NOTIFICATIONS SINCE 1995

LIST OF NOTIFICATIONS UNDER ARTICLE 16.4

Notifications under Article 16.4 – Ad hoc.
Notifications under Article 16.4 – Semi-annual.

LIST OF NOTIFICATIONS UNDER ARTICLE 16.5

Notifications under Article 16.5.

LIST OF NOTIFICATIONS UNDER ARTICLE 18.5

Notifications under Article 18.5.

LIST OF NOTIFICATIONS UNDER ARTICLES 16.4 & 16.5

OTN – Decision by the ADP (G/ADP/19).
Agreement on Implementation of Article VI of the General Agreement on Tariffs and Trade 1994 LT/UR/A-1A/3.
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This section of the Handbook on Notification Requirements covers the notification obligations under the Agreement on Agriculture. It consists of the following five parts:

**PART 1**
OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
LIST OF NOTIFICATIONS SINCE 1995

**PART 5**
TEXT OF THE AGREEMENT

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
OVERVIEW OF NOTIFICATION REQUIREMENTS

INTRODUCTION

Requirements and formats for notification under the Agreement on Agriculture are listed in documents G/AG/2 and G/AG/2/Add.1 and cover five areas:

- Market access, with respect to tariff and other quotas, and special safeguard provisions;
- Domestic support, including the Current Total Aggregate Measurement of Support (AMS), and new or modified exempt measures;
- Export subsidies; including notifications concerning anti-circumvention provisions;
- Export prohibitions or restrictions; and
- Follow-up to the Decision on Measures Concerning the Possible Negative Effects of the Reform Programme on Least-Developed and Net Food-Importing Developing Countries.

As the notification requirements are largely dependent on the specific commitments as set out in each Member’s Schedule along with the actions that may be taken by that Member in any given implementation year. In many cases only a limited number of notification requirements will apply for a particular Member.

WHAT MUST BE NOTIFIED?

- Market access, with respect to tariff and other quotas, and special safeguard provisions;
- Domestic support, including the Current Total Aggregate Measurement of Support (AMS), and new or modified exempt measures;
- Export subsidies; including notifications concerning anti-circumvention provisions;
- Export prohibitions or restrictions; and
- Follow-up to the Decision on Measures Concerning the Possible Negative Effects of the Reform Programme on Least-Developed and Net Food-Importing Developing Countries.

WHICH MEMBERS MUST NOTIFY?

In many cases only a limited number of notification requirements will apply for a particular Member. This is because they largely depend on the specific commitments as set out in each Member’s Schedule, as well as on the actions that may be taken by that Member in any given implementation year.

For information on Members’ notifications obligations, see Members’ commitments.

WHEN TO NOTIFY?

Some notification requirements are periodic. They are to be regularly submitted to the Committee on Agriculture in line with the frequency and deadlines established in G/AG/2.

Some notification requirements are ad hoc, meaning that they become due only where a specific measure is introduced, or about to be introduced.

For information on when to notify, see Members’ commitments.
HOW TO NOTIFY?¹

For comprehensive information on how to notify measures under each pillar of the Agreement on Agriculture, please consult the relevant parts of the *Handbook on agriculture notifications*, a practical guide for Member governments' officials on how to notify measures to the WTO.

The Secretariat has also developed a self-training module which acts as a useful e-learning tool to assist Members in preparing notifications in the area of agriculture.

Mock examples for each notification requirement can be found in the *Handbook on agriculture notifications*. Page numbers are provided below to allow easy access to the relevant mock notifications.

MARKET ACCESS

- Administration of tariff and other quota commitments – Table MA:1 (Pg. 8-14)
- Volume of imports under tariff and other quotas – Table MA:2 (Pg. 15-21)
- Special safeguard measures:
  - Volume-based – Tables MA:3 (Pg. 22-28)
  - Price-based – Table MA:4 (Pg. 29-35)
- Special safeguard provisions – Table MA:5 (Pg. 36-39)

DOMESTIC SUPPORT

- Total Aggregate Measurement of Support – Table DS:1 and, as appropriate, Supporting Tables DS:1 to DS:9 (Pg. 42-93)
- New or modified exempt domestic support measures – Table DS:2 (Pg. 94-98)

EXPORT SUBSIDIES

- Budgetary outlays and quantity reduction commitments – Table ES:1 and Supporting Tables ES:1 and ES:2 (Pg. 101-114)
- Total exports – Table ES:2 (Pg. 115-122)
- Total volume of food aid – Table ES:3 (Pg. 123-126)

EXPORT RESTRICTIONS

- Export prohibitions and restrictions – Table ER:1 (Pg. 127-129)

FOLLOW-UP OF THE DECISION ON MEASURES CONCERNING THE POSSIBLE NEGATIVE EFFECTS OF THE REFORM PROGRAMME ON LEAST-DEVELOPED AND NET FOOD-IMPORTING DEVELOPING COUNTRIES

- Monitoring of the Follow-up to the NFIDC Decision – Table NF:1 (Pg. 131-134)

In addition, Members can request the Secretariat assistance for preparing notifications by sending their enquiries to agnotifqueries@wto.org.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

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<td>Members notifying</td>
<td>Periodicity</td>
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<tr>
<td>Agreement on Agriculture, Article 18.2 (Tariff and other quota commitments).</td>
<td>Market access-Administration of tariff and other quota commitments.</td>
<td>Members with tariff and other quota commitments recorded in Section 1-B (or Section 1-A) of Part 1 of their schedules.</td>
<td>One time</td>
</tr>
<tr>
<td>Agreement on Agriculture, Article 18.2 (Tariff and other quota commitments).</td>
<td>Market access-Volume of imports under tariff and other quotas.</td>
<td>Members with tariff and other quota commitments recorded in Section 1-B (or Section 1-A) of Part 1 of their schedules.</td>
<td>Regular – Annual</td>
</tr>
<tr>
<td>Agreement on Agriculture, Article 5.7 (Special safeguard provisions).</td>
<td>Market access-Special safeguard measures – Agriculture.</td>
<td>Members taking, for any product, the volume-based safeguard action for the first time in any period in the case.</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

2 Reverse notification of “any measure which ... ought to have been notified” is provided for in Article 18.7.

3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.1. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

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<tr>
<td>Agreement on Agriculture, Article 5.7 and 18.2</td>
<td>Market access-special safeguard provisions</td>
<td>Members whose schedules indicate they have the right to invoke the special safeguard for any product.</td>
<td>Regular – Annual</td>
<td>Yes</td>
<td>Committee on Agriculture</td>
</tr>
<tr>
<td>Agreement on Agriculture, Article 5.7</td>
<td>Market access-special safeguard measures – agriculture</td>
<td>Members taking, for any product, price-based special safeguard action for the first time. For the price-based safeguard, an ‘up-front’ notification of trigger prices may be made.</td>
<td>Ad hoc</td>
<td>Upfront notification</td>
<td>Yes</td>
</tr>
<tr>
<td>Agreement on Agriculture, Article 18.2 (Domestic support)</td>
<td>Domestic support-Total Aggregate Measurement of Support</td>
<td>All WTO Members.</td>
<td>Regular – Annual</td>
<td>Or longer for developing and least-developed Members.</td>
<td>Yes</td>
</tr>
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</table>

2 Reverse notification of "any measure which ... ought to have been notified" is provided for in Article 18.7.

3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Listing of the Notification Obligations

**Part 2**

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<th>To whom</th>
<th>Notification Symbol</th>
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<tr>
<td>7. Agreement on Agriculture, Article 18.3 (Domestic support).</td>
<td>Domestic support—new or modified exempt domestic support measures.</td>
<td>All WTO Members (all Members introducing or modifying such measures).</td>
<td>Ad hoc</td>
<td></td>
<td>Yes (Domestic Support Table DS:2)</td>
<td>Committee on Agriculture</td>
<td>DS:2</td>
</tr>
<tr>
<td>8. Agreement on Agriculture, Article 18.2 (Export subsidies).</td>
<td>Export subsidies—budgetary outlay and quantity reduction commitments.</td>
<td>All WTO Members.</td>
<td>Regular – Annual</td>
<td></td>
<td>Yes (Export Subsidy Commitments Table ES:1 and Supporting Tables ES:1 or ES:2)</td>
<td>Committee on Agriculture</td>
<td>ES:1 and Supporting Tables ES:1 or ES:2</td>
</tr>
<tr>
<td>9. Agreement on Agriculture, Articles 10 and 18.2 (Export subsidies).</td>
<td>Export subsidies—total exports.</td>
<td>WTO Members with export subsidy reduction commitments plus significant exporters as set out in G/AG/2/Add.1.</td>
<td>Regular – Annual</td>
<td></td>
<td>Yes (Export Subsidy Commitments Table ES:2)</td>
<td>Committee on Agriculture</td>
<td>ES:2</td>
</tr>
<tr>
<td>10. Agreement on Agriculture, Articles 10 and 18.2 (Export subsidies).</td>
<td>Export subsidies—total food aid.</td>
<td>WTO Members which are food aid donors.</td>
<td>Regular – Annual</td>
<td></td>
<td>Yes (Export Subsidy Commitments Table ES:3)</td>
<td>Committee on Agriculture</td>
<td>ES:3</td>
</tr>
</tbody>
</table>

2 Reverse notification of “any measure which ... ought to have been notified” is provided for in Article 18.7.

3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.1. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Agriculture, Article 12.1(b) (Export restrictions).</td>
<td>Export restrictions – new export restrictions.</td>
<td>WTO Members (certain Members introducing such measures).</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>Agreement on Agriculture, Article 16.2 (Decision on Measures Concerning the Possible Negative Effects of the Reform Programme on Least-Developed and Net Food-Importing Developing Countries).</td>
<td>Net Food-Importing Decision – food aid and other assistance.</td>
<td>WTO Members (which provide food aid and technical or financial assistance to such countries).</td>
<td>Regular – Annual</td>
</tr>
</tbody>
</table>

2 Reverse notification of "any measure which ... ought to have been notified" is provided for in Article 18.7.
3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.3. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
**NOTIFICATION REQUIREMENTS**

**WHAT MUST BE NOTIFIED?**

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Agriculture, Article 16.2 (Decision on Measures Concerning the Possible Negative Effects of the Reform Programme on Least-Developed Net Food-Importing Developing Countries).</td>
<td>Net Food-Importing Decision- other.</td>
<td>WTO Members (those wishing to notify other specific actions related to the Decision).</td>
<td>Ad hoc</td>
<td>Yes (Net Food-Importers Table NF:1, item (4))</td>
<td>Committee on Agriculture</td>
<td>NF:1</td>
<td></td>
</tr>
</tbody>
</table>

**Reverse notification of “any measure which … ought to have been notified” is provided for in Article 18.7.**

**All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.**
Notification Requirements and Formats G/AG/2 and G/AG/2/Add.1.
List of “Significant Exporters” for the purposes of the notification requirements in respect of Export Subsidy Commitments G/AG/2/Add.1.
Notification Obligations: Agriculture – Note by the Secretariat G/AG/W/24.
Notifications submitted since 1995 can be found in the Compliance Reports that are regularly prepared by the Secretariat and reflect Members’ compliance with their regular notification obligations.

All notifications can also be searched through the Ag-IMS database.
Agreement on Agriculture LT/UR/A-1/A/2.
TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS

LEGAL PROVISIONS ON BALANCE OF PAYMENTS (GATT AND GATS)

DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the **LEGAL PROVISIONS ON BALANCE OF PAYMENTS (GATT AND GATS)**. It consists of the following five parts:

**PART 1**
OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
LIST OF NOTIFICATIONS SINCE 1995

**PART 5**
TEXT OF THE LEGAL PROVISIONS

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The legal provisions on balance of payments (GATT and GATS) provide for five main types of notifications - with only one of them applying to all Members:

• Notification of restrictive measures (import restriction) that a Member may take for Balance-of-Payments purposes (BOP measures);
• Notification of time-schedules for the removal of BOP measures;
• Notification of changes in the application of BOP measures, as they occur; and
• Consolidated notification, on a yearly basis, including all changes in laws, regulations, policy statements or public notices.

Members which have reason to believe that a restrictive import measure applied by another Member was taken for balance-of-payments purposes may bring the matter to the attention of the Committee on Balance-of-Payments to enable Members to seek further information and clarification on the measure. This provision may amount to a granting a right to make a reverse notification.

These notifications are governed by:

• With respect to trade in goods, Article II of the GATT 1947 and Article XVIII of the GATT 1947, as complemented initially by the Declaration on Trade Measures Taken for Balance-of-Payments Purposes approved by the (GATT) CONTRACTING PARTIES on 28 November 1979, and then by the Understanding on the Balance-of-Payments Provisions of the GATT 1994; and
• With respect to trade in services, Article XII of the GATS. As a practical matter, the procedural requirements of the Understanding on the Balance-of-Payments Provisions of the GATT 1994 (including on notifications) apply equally to measures introduced or maintained under Article XII of the GATS.

WHICH MEMBERS MUST NOTIFY?

The notification obligations related to the introduction of BOP measures, the adoption of time-schedules for the removal of such measures, changes in the application of such measures and/or of time schedules, as well as the annual consolidated notification, apply to all Members that chose to apply BOP measures.

Reverse notification may be made by any other Member.

WHEN TO NOTIFY?

The 1979 Declaration states that the Members shall “promptly” notify the introduction or intensification of BOP measures. The Understanding on the Balance-of-Payments Provisions of the GATT 1994 clarifies that a member shall notify, “as soon as possible” the introduction of or any changes in the application of BOP measures, as well as any modifications in time-schedules for the removal of such measures. Moreover, according to the same Understanding, significant changes shall be notified “prior to or not later than 30 days after their announcement”.

The “consolidated notification” shall be performed “on a yearly basis”.

There is no clear timing specified in the case of reverse-notification.

HOW TO NOTIFY? 1

There is no adopted format of notification though some guidelines are given by the relevant legal texts as to the type of information that shall be provided. More details and references are contained in the next section below (Part 2).

1 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<td>Members notifying</td>
<td>Periodicity</td>
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<tr>
<td>1. Understanding on the Balance-of-Payments Provisions of the GATT 1994 paragraph 9 (Notification and documentation).</td>
<td>Introduction of restrictive import measures taken for balance-of-payments purposes (BOP measure).</td>
<td>Member that takes a BOP measure</td>
<td>One time</td>
</tr>
<tr>
<td>2. Understanding on the Balance-of-Payments Provisions of the GATT 1994 paragraph 9 (Notification and documentation).</td>
<td>Any changes in BOP measure.</td>
<td>Member that takes a BOP measure</td>
<td>Ad hoc</td>
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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

3 As complemented by the Declaration on Trade Measures taken for Balance-of-Payments purposes (1979 Declaration, paragraph 3), which was complementing Articles XII and XVIII:B of the GATT 1994.
## Listing of the Notification Obligations

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<td>Understanding on the Balance-of-Payments Provisions of the GATT 1994 paragraph 1³ (Application of Measures).</td>
<td>Any modification in time-schedules of the removal of BOP measure.</td>
<td>Member that takes a BOP measure</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>Understanding on the Balance-of-Payments Provisions of the GATT 1994 paragraph 10³ (Notification and Documentation).</td>
<td>Any restrictive import measure applied by a Member that another Member believes to have been taken for Balance-of-Payments purposes (Reverse Notification).</td>
<td>Any Member</td>
<td>One time</td>
</tr>
</tbody>
</table>

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

3 As complemented by the Declaration on Trade Measures taken for Balance-of-Payments purposes (1979 Declaration, paragraph 3), which was complementing Articles XII and XVIII:B of the GATT 1994.
## WHAT MUST BE NOTIFIED?

### Notification requirements

### Type of measure
- Consolidated Notification.

### Members notifying
- Member that takes a BOP measure

### Periodicity
- Regular – Annual

### Comments on Periodicity
- On a yearly basis for as long as the measures concerned are in place.

### Format
- No

### To whom
- Made available to the WTO Secretariat

### Notification Symbol
- WT/BOP/N/*

### Comments on
- As complemented by the Declaration on Trade Measures taken for Balance-of-Payments purposes (1979 Declaration, paragraph 3), which was complementing Articles XII and XVIII:B of the GATT 1994.

### Notification
- Notification should include, as appropriate, "all changes in laws, regulations, policy statements or public notices related to the restrictive import measures taken for balance-of-payments purposes. Notifications shall include full information, as far as possible, at the tariff-line level, on the type of measures applied, the criteria used for their administration, product coverage and trade flows affected".

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

3 As complemented by the Declaration on Trade Measures taken for Balance-of-Payments purposes (1979 Declaration, paragraph 3), which was complementing Articles XII and XVIII:B of the GATT 1994.

4 Notification should include, as appropriate, "all changes in laws, regulations, policy statements or public notices related to the restrictive import measures taken for balance-of-payments purposes. Notifications shall include full information, as far as possible, at the tariff-line level, on the type of measures applied, the criteria used for their administration, product coverage and trade flows affected".
### WHAT MUST BE NOTIFIED?
General Agreement on Trade in Services Article XII, paragraph 4 (Restrictions to safeguard the Balance-of-Payments).

### WHICH MEMBERS MUST NOTIFY?
Member that takes a BOP measure.

### WHEN TO NOTIFY?
Ad hoc

### COMMENTS ON PERIODICITY
To be notified "promptly", further clarified as "as soon as possible", but significant changes shall be notified prior to or not later than 30 days after their announcement.

### HOW TO NOTIFY?
No

### Notification requirements
Any changes to BOP measure.

### Type of measure
Member that takes a BOP measure

### Members notifying
Ad hoc

### Format
No

### To whom
General Council

### Symbol
WT/BOP/N/*

---

2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
While there is no adopted format of notification, some guidelines are given by the relevant legal texts as to the type of information that shall be provided. More details and references are contained in the above section (Part 2).
The Balance-of-payments WTO dedicated website has a section on "Search Documents Online" which features direct access to all BOP notifications made by Members and published under the series WT/BOP/N/* (where * takes additional values).

With respect to trade in services, to date, no notification has ever been made.
WITH RESPECT TO TRADE IN GOODS

General Agreement on Trade and Tariffs 1947: Article 2.

General Agreement on Trade and Tariffs 1947: Article XVIII:B.


Balance-of-Payments import restrictions – Consultation procedures; Note by the Chairman of the Committee on Balance-of-Payments Restrictions (L/3388) – BISD 18S/48-53; presented to the GATT Council on 28 April 1970.

Balance-of-Payments import restrictions – Procedures for regular consultations on Balance-of-Payments restrictions with developing countries (L73772/Rev.1), - BISD 20S/47-49; approved by the GATT council on 19 December 1972.

Declaration on Trade Measures Taken for Balance-of-Payments Purposes (L/4904) – BISD 26S/205-209; adopted by the (GATT) CONTRACTING PARTIES on 28 November 1979.

WITH RESPECT TO TRADE IN SERVICES

General Agreement on Trade in Services: Article XII.

As a practical matter, the procedural requirements of the Understanding on the Balance-of-Payments Provisions of the GATT 1994 (including on notifications) apply equally to measures introduced or maintained under Article XII of the GATS.
TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS

GENERAL AGREEMENT ON TRADE IN SERVICES

DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.

REVISED 1 NOVEMBER 2021
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

General notification requirements are defined in Article III:3.

It provides that each Member shall promptly inform the Council for Trade in Services of the introduction of any new, or any changes to existing, laws, regulations or administrative guidelines which significantly affect trade in services and which concern services covered by the specific commitments of the Member.

Any Member may counter-notify any measure taken by another Member which it considers affects the operation of the Agreement (Article III:5).

Specific measures have to be notified according to the requirements of the various Articles of the GATS:

- Establishment of enquiry/contact points (Article III:4 and/or Article IV:2, S/L/23)
- Economic Integration Agreements and their enlargement or significant modifications (Article V:7 (a))
- Labour markets integration Agreements (Article V bis)
- Existing recognition measures (Article VII:4(a))
- Opening of negotiations on recognition (Article VII:4(b))
- Adoption of new recognition measures or significant modification of existing ones (Article VII:4(c))
- Granting of new monopoly rights (Article VIII:4)
- Exclusive service suppliers (Article VIII:5)
- Emergency safeguard measures (Article X:2)
- Restrictions to safeguard the balance of payments (Article XII:4)
- Security exceptions (Article XIV bis:2)
- Modification of schedules (Article XXI:1(b))
- Permanent residents substantially treated like nationals (Article XXVIII(k)(ii)(2))
- MFN exemptions’ termination (Annex on Article II Exemptions)
- Modification of rules affecting the use of public telecommunication and transport networks and services (Annex on Telecommunications paragraph 5(c))

WHICH MEMBERS MUST NOTIFY?

All WTO Members.

WHEN TO NOTIFY?

Notifications are to be made ad hoc, i.e. when the circumstances giving rise to the need for notification arise. In principle, notifications should be done promptly, i.e. without undue delay (Articles III:3, V, VII:4(b), VII:4(c), XII:4).

In some cases, however, specific time limits and other variations to the ad hoc principle are provided:

- For introduction of any new, or any changes to existing, laws, regulations or administrative guidelines, notification is to take place promptly and at least annually (Article III:3).
- For enquiry/contact points (Article III:4/Article IV:2), notification should have taken place by 31 December 96 for existing Members (not defined in the GATS for Members acceding afterwards).
- For recognition Agreements (Article VII:4(a)) notification should take place within 12 months from the date on which the WTO Agreement takes effect for a Member.
- For recognition agreements or arrangements, notification should be promptly as far as advance as possible of the opening of negotiations (Article VII:4(b)).
- For the treatment of permanent residents as nationals for GATS purposes (Article XXVIII(k)(ii)(2)) notification should take place upon accession.
- Three (3) months before implementation of the provisions that have to be notified (Articles VIII:4, VIII:5, XXI:1(b)).
How to Notify?¹

Notifications should be submitted using the form provided on the fourth page of document S/L/5. The completed form has to be submitted to the Central Registry of Notification at crn@wto.org, and copies can be submitted to the Trade in Services and Investment Division at GATSNotifications@wto.org, except for restrictions to safeguard the balance of payments (Article XII:4) which may be copied to the Council and TNC Division. The form must be completed in one of the three official languages of the WTO. An essential element is the complete description of the measure notified and its effect on trade in services. The text of the measure should be made available at the enquiry point (Article III:4) or at the WTO Secretariat, except for economic integration Agreements (Article V:7) and labour market integration Agreements (Article V bis(b)) whose full text has to be notified.

Unlike other notifications, the establishment of enquiry points (Article III:4) and/or contact points (Article IV:2) and any changes to their contact details need not be notified through the standardized form, see S/L/23. They can be notified formlessly to the WTO Secretariat at GATSNotifications@wto.org. An inventory of Enquiry and Contact Points is shared with Members at regular intervals in the S/ENQ/ series.

Any questions regarding notifications related to the GATS can be sent to the Secretariat at GATSNotifications@wto.org.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?
- Notification requirements
- Type of measure
- Members notifying

### WHICH MEMBERS MUST NOTIFY?
- All WTO Members
- Developed WTO Members
- In principle each Member Party to an RTA.

### WHEN TO NOTIFY?
- Ad hoc
- One time

### HOW TO NOTIFY?
- At least annually when the condition is met.
- As early as possible, and no later than directly following the Parties’ ratification of an RTA or any Party’s decision on application of the relevant parts of an RTA, and before the application of preferential treatment between the Parties.

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom²</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. General Agreement on Trade in Services, Article III:3</td>
<td>Change in regulation affecting trade in scheduled sectors.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>At least annually when the condition is met.</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
<td>S/C/N/*</td>
</tr>
<tr>
<td>2. General Agreement on Trade in Services, Article III:4</td>
<td>References of enquiry point.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Changes to references ad hoc.</td>
<td>No</td>
<td>Council for Trade in Services.</td>
<td>S/ENQ/*</td>
</tr>
<tr>
<td>3. General Agreement on Trade in Services, Article IV:2</td>
<td>References of contact point.</td>
<td>Developed WTO Members</td>
<td>Ad hoc</td>
<td>Changes to references ad hoc.</td>
<td>No</td>
<td>Council for Trade in Services.</td>
<td>S/ENQ/*</td>
</tr>
<tr>
<td>4. General Agreement on Trade in Services Article V:7(a), Transparency Mechanism for RTAs, paragraphs 3 and 4.</td>
<td>Conclusion of, or accession to an Economic Integration Agreement.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>One time</td>
<td>As early as possible, and no later than directly following the Parties’ ratification of an RTA or any Party’s decision on application of the relevant parts of an RTA, and before the application of preferential treatment between the Parties.</td>
<td>Yes (S/L/310)</td>
<td>The CTS, though, in practice to the CRTA.</td>
<td>S/C/N/*</td>
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² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## WHAT MUST BE NOTIFIED?

### Notification requirements

**General Agreement on Trade in Services**, Article V:7(a); Transparency Mechanism for RTAs, paragraph 14.

### Type of measure

Significant modification of an RTA liberalizing trade in services. Changes to be notified include, inter alia, modifications to the preferential treatment between the Parties and to the RTA’s disciplines.

### Members notifying

In principle each Member Party to an RTA. In practice joint notifications are made.

### Periodicity

Ad hoc

### Comments on Periodicity

As soon as possible after the changes occur.

### Format

Yes (S/L/418)

### To whom

The CTS, though, in practice to the CRTA.

### Notification Symbol

S/C/N/*

---

## WHICH MEMBERS MUST NOTIFY?

### Members notifying

All WTO Members

### Periodicity

Ad hoc

### Comments on Periodicity

No specific comments.

### Format

Yes (S/L/5)

### To whom

Council for Trade in Services.

### Notification Symbol

S/C/N/*

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## WHEN TO NOTIFY?

### Periodicity

One time

### Comments on Periodicity

Within 12 months of accession to WTO for existing recognition measures.

### Format

Yes (S/L/5)

### To whom

Council for Trade in Services.

### Notification Symbol

S/C/N/*

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/05/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

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<tbody>
<tr>
<td>General Agreement on Trade in Services, Article VII:4 (b).</td>
<td>Opening of negotiation on recognition.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Promptly, as far in advance as possible.</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
<td>S/C/N/*</td>
</tr>
<tr>
<td>General Agreement on Trade in Services, Article VII:4 (c).</td>
<td>Adoption of new recognition measures or significant modification of existing ones.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Promptly</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
<td>S/C/N/*</td>
</tr>
<tr>
<td>General Agreement on Trade in Services, Article VIII:4.</td>
<td>Granting of new monopoly rights.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>3 months before implementation of the provisions that have to be notified.</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
<td>S/C/N/*</td>
</tr>
<tr>
<td>General Agreement on Trade in Services, Article VIII:5.</td>
<td>Exclusive service suppliers.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>3 months before implementation of the provisions that have to be notified.</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
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All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>15. General Agreement on Trade in Services, Article XXI:1(b).</td>
<td>Intention to modify the schedule of specific commitments.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>16. General Agreement on Trade in Services, Article XXVIII (k)-(l):2.</td>
<td>Treatment of permanent residents as nationals for GATS purposes.</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
</tbody>
</table>

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2. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom²</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>17. General Agreement on Trade in Services, Annex on Article II, Exemptions.</td>
<td>MFN exemption termination.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Once upon termination of the MFN exemption for the Members concerned.</td>
<td>Yes (S/L/5)</td>
<td>Council for Trade in Services.</td>
<td>S/C/N/*</td>
</tr>
</tbody>
</table>

² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Guidelines for notifications under the General Agreement on Trade in Services S/L/5.
Decision on the notification of the establishment of enquiry and contact points S/L/23.
Notification format for Regional Trade Agreement S/L/310.
Template for notifying changes to an existing Regional Trade Agreement S/L/418.
Integrated Trade Intelligence Portal (I-TIP) Services is a joint initiative of the World Trade Organization and the World Bank. It is a set of linked databases that provides information on Members' commitments under the WTO’s General Agreement on Trade in Services (GATS), services commitments in Regional Trade Agreements (RTA), applied measures in services, and services statistics.

List of ALL NOTIFICATIONS submitted by Members since 1995.
General Agreement on Trade in Services (Article I-XXVI) \texttt{LT/UR/A-1B/S/1}.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
PART 1

OVERVIEW OF NOTIFICATION REQUIREMENTS

INTRODUCTION

This section provides an overview of notification requirements arising from the revised Agreement on Government Procurement (GPA 2012). The GPA was revised on 30 April 2012 and entered into force on 6 April 2014. The GPA 2012 is composed of the text of the Agreement; Parties’ market access schedules of commitments (Appendix I); and Parties’ electronic and media sources of procurement information (Appendices II-IV). In addition to the Agreement and its Appendixes, the Decision of the Committee on Government Procurement regarding the results of the GPA revision (GPA/113, dated 2 April 2012) includes a set of relevant Decisions. It should be noted as well that a separate electronic notification platform is being implemented. Additional information on related developments will be provided in due course.

WHAT MUST BE NOTIFIED?

The Agreement on Government Procurement 2012 (GPA 2012) and various decisions by the Committee on Government Procurement (CGP) set out Parties’ notification obligations in detail. These include:

- Notification of any changes to procurement laws and regulations;
- Notification of statistics in relation to procurements covered by the Agreement;
- Notification of thresholds in national currencies;
- Notification of modifications to schedules; and
- Notification of media for the publication of procurement-related information.

WHICH MEMBERS MUST NOTIFY?

All Parties to the GPA. The GPA is a plurilateral agreement, which means it is binding only on those WTO Members who are Party to it and have therefore accepted to be bound by it. For more information on the current list of Parties and observers to the Agreement, click here.

WHEN TO NOTIFY?

Notifications of statistics in relation to procurements covered by the Agreement are provided on an annual basis within two years from the end of the reporting period; and notifications of thresholds in national currencies are provided every two years. Other notifications are made on an ad hoc basis.

HOW TO NOTIFY?

For additional information see GPA Notifications webpage. Please also contact the WTO Secretariat for further guidance/examples of relevant notifications (email: GPA@wto.org).

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1 See, in particular, the Decision of the Committee on Government Procurement on Modalities for Notifying Threshold Figures in National Currencies (GPA/1, dated 27 February 1996, Annex 3); and the Decision of the Committee on Government Procurement on Notification Requirements under Articles XIX and XXII of the Agreement (GPA/113, dated 2 April 2012, Annex A).
2 See Article XXII.5 of the GPA 2012; Decision on Notification Requirements under Articles XIX and XXII of the Agreement (GPA/113, Annex A).
3 See Article XVI:4-6 of the GPA 2012.
4 See Decision on Modalities for Notifying Threshold Figures in National Currencies (GPA/1, Annex 3).
5 See Article XIX of the GPA 2012; Decision on Notification Requirements under Articles XIX and XXII of the Agreement (GPA/113, Annex A).
6 See Article VI:3 of the GPA 2012.
7 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
# Listing of the Notification Obligations

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>GPA 2012 Article XXII:5 Decision on Notification. Requirements under Articles XIX and XXII of the Agreement (GPA/113, Annex A).</td>
<td>Notification of any changes to procurement laws and regulations.</td>
<td>GPA Parties</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>GPA 2012 Article XVI:4-6.</td>
<td>Notification of statistics in relation to procurements covered by the GPA 2012.</td>
<td>GPA Parties</td>
<td>Regular – Annual</td>
</tr>
</tbody>
</table>

8 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

9 Prior to the creation of GPA/LEGIS/* series in 2017, notifications were circulated under the GPA/* series.

10 The symbol includes the last two digits of the year/reporting period (e.g. GPA/STAT(18)/**).

11 Prior to the creation of GPA/STAT* series in 2017, notifications were circulated under the GPA/* series.
### WHAT MUST BE NOTIFIED?

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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification of thresholds in national currencies.</td>
<td>GPA Parties</td>
<td>Regular – Biennial</td>
<td>No</td>
<td>CGP</td>
<td>GPA/THR/* GPA/W/*/</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### WHICH MEMBERS MUST NOTIFY?

| GPA 2012 Article XIX, Decision of the CGP on Notification. Requirements under Articles XIX and XXII of the GPA 2012 (GPA/113, Annex A). | GPA Parties | Ad hoc | Under certain conditions, the relevant Decision provides flexibility to submit notifications every two years. | No | CGP | GPA/MOD/* GPA/W/*/ |

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8 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

12 Prior to the creation of GPA/THR/* series in 2017, notifications were circulated under the GPA/W/*/ series.

13 A Party may notify the Committee on GP of an objection to a proposed rectification within 45 days from the date of the circulation to the Parties of the notification. In accordance with Article XIX:2, where a Party submits an objection, it shall set out the reasons for the objection, including the reasons why it believes the proposed rectification would affect the mutually agreed coverage under the Agreement and therefore the proposed rectification is not subject to paragraph 3. If there is no written objection, the proposed rectifications become effective 45 days after the circulation of the notification, as provided for in Article XIX:5(a). See effective modifications and rectifications that have been certified [here](#). See paragraph 5 of Annex A of Appendix 2 of the Decision of the Committee on Government Procurement on Notification Requirements under Articles XIX and XXII of the Agreement (GPA/113).

14 Prior to the creation of GPA/MOD/* series in 2017, notifications were circulated under the GPA/W/*/ series.
### Listing of the Notification Obligations

#### Part 2

<table>
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<tr>
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<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>GPA 2012 Article VI.3.</td>
<td>Notification of modifications of information on the media for the publication of procurement-related information.&lt;sup&gt;15&lt;/sup&gt;</td>
<td>GPA Parties</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

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<sup>a</sup> All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

<sup>15</sup> Pursuant to Article VI.2 of the GPA 2012, existing Parties provided information on the media for the publication of procurement-related information. Accession candidates provide relevant information at the time of their accession process.
For additional information see GPA Notifications webpage. Please also contact the WTO Secretariat for further guidance/examples of relevant notifications (email: GPA@wto.org).
The Secretariat’s Systemic Compilation of Notifications under the GPA 2012 ([GPA/S/3]).

List of notifications of changes to procurement laws and regulations under Article XXII:5 of the GPA 2012 and the Decision on Notification Requirements under Articles XIX And XXII of the GPA 2012 ([GPA/113], Annex A). See also GPA Notifications webpage.

List of notifications of statistics under Article XVI:4 of the GPA 2012. See also GPA Notifications webpage.

List of notifications of thresholds in national currency under the Decision on Modalities for Notifying Threshold Figures in National Currencies ([GPA/1], Annex 3) is available in the e-GPA and in Documents Online. See also GPA Notifications webpage.

List of notifications of modifications to market access commitments under Article XIX of the GPA 2012 and the Decision on Notification Requirements under Articles XIX And XXII of the Agreement ([GPA/113], Annex A). Notifications related to the modification of schedules are restricted documents and accessible to the governments of GPA Parties and observers only before relevant modifications are certified. Relevant notifications are accessible from the e-GPA portal.

List of notifications of modifications of information on the media for the publication of procurement-related information under Article VI:3 with regard to modifications to Appendix II; Appendix III; Appendix IV. The information provided by Parties is available in the e-GPA portal.
The Agreement on Government Procurement 2012, including the Decision of the Committee on Government Procurement on Notification Requirements under Articles XIX and XXII of the Agreement (GPA/113, dated 2 April 2012). See also WTO webpage.

The Decision of the Committee on Government Procurement on Modalities for Notifying Threshold Figures in National Currencies (GPA/1, dated 27 February 1996, Annex 3).
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the INTEGRATED DATABASE. It consists of the following five parts:

**PART 1**
OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
LIST OF NOTIFICATIONS SINCE 1996

**PART 5**
TEXT OF THE DECISION

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The Committee on Market Access (CMA) adopted the decision on "Modalities and Operation of the Integrated Data Base (IDB)" contained in document G/MA/367 in order to streamline and facilitate the preparation of notifications by Members and to improve participation in the IDB. This new decision relates to the Decision of General Council of 18 July 1997 (WT/L/225) and supersedes those contained in several related documents previously issued. The document stipulates the mandatory data elements to be notified by Members. It also encourages Members to submit additional elements on a voluntary basis.

1. Mandatory elements:

Members shall notify, on an annual basis, data defined in paragraph 1 of the G/MA/367:

a) Applied MFN import tariffs at the national customs tariff nomenclature (at the most detailed level, for example HS codes with 8, 9, or 10 digits, as normally applied by the Member’s customs administration);

b) Import statistics in the same national tariff nomenclature as the corresponding MFN applied tariffs for the same year (i.e. same HS version and with the same level of disaggregation), including value (in USD or national currency) and volume (quantity and unit), by country of origin and by tariff line;

c) Data elements required by the Transparency Mechanism for Preferential Trade Arrangements, which include:

i. Preferential applied tariffs and import statistics, for preferences by developed countries to developing and least-developed countries in accordance with the Generalized System of Preferences (GSP), including the list of countries or separate customs territories on which they apply.

ii. Preferential applied tariffs and import statistics, in case of non-reciprocal preferential arrangements authorised under the WTO Agreement, including the list of countries or separate customs territories on which they apply.

d) The relevant reference information (as defined in the Annex 1 of the document G/MA/367).

2. Optional elements:

Members are encouraged to notify, on a voluntary basis, the elements listed in paragraph 2 of the Decision (G/MA/367), particularly when the information is already publicly available in a national website:

a) Applied non-MFN tariffs, including:

i. Preferential tariffs applied in the context of regional trade agreements (for example free trade agreements or customs unions), including arrangements under Article XXIV of the GATT 1994 and Paragraph 2(c) of the Decision on "Differential and More Favourable Treatment Reciprocity and Fuller participation of Developing countries" (Enabling Clause). The submission should include list of countries or separate customs territories covered by each of these agreements; and

ii. Other applied non-MFN tariffs, for example tariffs applied on imports originating in non-WTO Members, if applicable, including the list of countries or separate customs territories on which they apply.

b) Preferential import statistics under regional trade agreements (for example free trade agreements or customs unions), including arrangements under Article XXIV of the GATT 1994 and Paragraph 2(c) of the Enabling Clause. They should include the value of countries or separate customs territories on which they apply.

iii. Preferential applied tariffs and import statistics, in case of non-reciprocal preferential arrangements authorised under the WTO Agreement, including the list of countries or separate customs territories on which they apply.

Nothing in this Decision shall be interpreted as modifying the notification requirements of the Transparency Mechanism for Regional Trade Agreements and the Transparency Mechanism for Preferential Trade Arrangements.

Decision of 28 November 1979, GATT document L/4903. Paragraph 2(c) provides that: "Regional or global arrangements entered into amongst [developing country Members] for the mutual reduction or elimination of tariffs and, in accordance with criteria or conditions which may be prescribed by the CONTRACTING PARTIES, for the mutual reduction or elimination of non-tariff measures, on products imported from one another".
(in USD or national currency) and volume (i.e. quantity and unit), disaggregated by country of origin, by tariff line, and by the duty regime under which each product was imported. The statistics should distinguish at the tariff line level, and for each of the beneficiary partners, the imports entered under MFN conditions from the imports entered under preferential conditions.

c) Ad valorem equivalents (AVEs) of non-ad valorem (NAV) duties, as calculated by the Member.

d) Applied internal taxes and other duties and charges (ODCs), when available at the tariff line level.

e) Imports or proportion of imports (value and volume) under tariff rate quotas (TRQs) for each identified tariff line associated with the relevant TRQ, in particular in case the in-quota and out-of-quota imports are recorded under the same tariff line code. In case the data corresponds to a bound TRQ, the TRQ identification (TQ ID) as contained in the Consolidated Tariff Schedules (CTS).

WHICH MEMBERS MUST NOTIFY?

All WTO Members shall supply to the Secretariat, on an annual basis, the mandatory elements described above. Members are also encouraged to notify the voluntary elements, particularly when the information is already publicly available in a national website.

WHEN TO NOTIFY?

The deadline for the current year tariff is to be 30 March, and for imports of the previous year, 31 October. For example, by 30 March 2020, the applied tariffs for 2020 should be notified, and by 31 October 2020, the imports for 2019 should be notified.

HOW TO NOTIFY?

IDB notifications being sent to the WTO should be addressed to the Market Access Intelligence Section, IDB Unit at the WTO. Notification can be sent as an attachment email to: idb@wto.org or uploaded to the IDB File Exchange facility. Access to this facility is granted to all Members through a Member-specific login User ID and password.

Data contained in flash drives or CDs should be addressed to:

Integrated Data Base (IDB) Unit
Economic Research and Statistics Division (ERSD)
World Trade Organization (WTO)
Rue de Lausanne 154, CH- 1211 Geneva 2, Switzerland

Paragraph 8 of the IDB Decision provides that, to the extent it is technically viable, Members may voluntarily enter into an agreement with the Secretariat for the automatic electronic transmission of data at regular intervals or similar methods. These agreements will be set on a case-by-case basis and include the terms and conditions in which the data will be obtained from the Member, including the manner in which the Member shall be informed of the data transmission and how the data is included in the IDB. Members may request, at any point in time, that these data be modified or removed from the IDB.

Additional information on Tariff and Non-Tariffs Measures can be found online at:

Tariff Analysis Online (TAO) is an analytical tool, that provides access to the WTO’s Integrated Data Base (IDB) and Consolidated Tariff Schedules (CTS) database on-line, select markets and products, compile reports and download data. The two databases contain applied customs duties at the tariff line level, import statistics by country of origin and WTO Members’ commitments on goods (bound tariffs and specific commitments in agriculture).

WTO Data portal contains statistical indicators related to WTO issues. Available time series cover merchandise trade and trade in services statistics, market access indicators (bound, applied & preferential tariffs), non-tariff information as well as other indicators. Data retrieval functionalities include data selection, display and export, including available metadata.

World Tariff Profiles is a joint publication of the WTO, International Trade Centre (ITC) and the United Nations Conference on Trade and Development (UNCTAD), provides comprehensive information on the tariffs and non-tariff measures imposed by over 170 countries and customs territories.
## WHAT MUST BE NOTIFIED?

### Notification requirements

1. Modalities and operation of the Integrated Data Base (IDB) on tariffs.
   - MFN applied duties and product descriptions at the national tariff line level with standard product codes based on a specific version of the Harmonized Commodity Description and Coding System.
   - All WTO Members
   - Regular – Annual
   - No later than 30 March for tariffs of the current year.
   - Yes (In spreadsheet (e.g. MS Excel or CSV), database format (e.g. MS Access or SQL) or other formats which are ready to be imported into spreadsheet or database format following examples 1.1 and 2.1 in Annex 2 of document G/MA/367.)
   - Committee on Market Access
   - N/A

### HOW TO NOTIFY?

7 These deadlines apply to Members which base their tariffs on a calendar year. For other Members, the deadlines could be adjusted to take into account the dates when the national tariff comes into force.

8 Product descriptions should be in any of the three official WTO languages.

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### WHICH MEMBERS MUST NOTIFY?

- All WTO Members

### WHEN TO NOTIFY?

1. No later than 30 March for tariffs of the current year.
2. No later than 31 October for data of the previous year.

### Format

- Yes (In spreadsheet (e.g. MS Excel or CSV), database format (e.g. MS Access or SQL) or other formats which are ready to be imported into spreadsheet or database format following examples 1.2 and 2.2 in Annex 2 of document G/MA/367.)
IDB File Exchange facility offers a comprehensive status of submissions, including all years from 1996 in electronic format.

The comprehensive status of submissions to the IDB is prepared for the Committee on Market Access G/MA/IDB/2/*. From the document G/MA/IDB/2/Rev.43, the status of submissions includes only the most recent 10 years and with information on the number of non-MFN duty schemes included in the submission.
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

Article 1.4(a): Members are required to notify the Committee on Import Licensing the sources/publications in which the information concerning import licensing procedures are published, and to make copies of these publications available to the Secretariat.

In cases where the publications are not in a WTO official language, Members shall provide, together with such publications, a summary of the notification in one of the WTO languages. Other Members may ask for a full translation if they so wish or seek any additional information on a bilateral basis. Any issues that cannot be solved on a bilateral basis may be brought to the attention of the Committee.

Article 7.3: The questionnaire covers import licensing and similar administrative procedures (which are understood to include technical visas, surveillance systems, minimum price arrangements and other administrative reviews). Members are required to provide information relating to purposes and coverage of licensing, laws, regulations and administrative orders under which licensing is maintained, procedures for application and granting licenses under restrictive and non-restrictive systems, allocation of quotas, period for processing of applications, license validity, administrative bodies to be approached, documentation requirements for application, eligibility of importers to apply for license, conditions of licensing and foreign exchange formalities.

Article 8.2(b): Members are required to inform the Committee of any changes in their laws and regulations relevant to the Agreement and in the administration of such laws and regulations.

The first notification under Article 8.2(b) by Members which were not Parties to the Tokyo Round Code shall contain the full text of relevant laws and regulations in effect on entry into force of the WTO Agreement for the Member concerned.

In cases where the legislation is not in a WTO official language, Members shall provide, together with such legislation, a summary of the notification in one of the WTO languages. Other Members may ask for a full translation if they so wish or seek any additional information on a bilateral basis. Any issues that cannot be solved on a bilateral basis may be brought to the attention of the Committee.

Article 5.1-5.4: Members which institute licensing procedures or changes in these procedures are required to notify the Committee of such within 60 days of publication. Such notifications shall include the information listed in Article 5.2 (i.e., list of products subject to licensing; contact point for information on eligibility; administrative bodies for submission of applications; date and name of publication where licensing procedures are published; indication whether the procedure is automatic or non-automatic according to the definitions in Articles 2 and 3; in the case of automatic licensing, their administrative purpose; in the case of non-automatic licensing, indication of the measure being implemented through the licensing procedure; expected duration of the licensing procedure if this can be estimated with some probability, and if not, reason why this information cannot be provided), as well as the changes in import licensing procedures (Article 5.3). Members are required to notify the Committee of the publications in which the relevant information is published.

Article 5.5: Any Member which considers that another Member has not notified the institution of a licensing procedure or changes therein in accordance with Article 5.1-5.3, may bring the matter to the attention of such other Member, and if notification is not made promptly thereafter, such Member may itself notify the licensing procedure or the changes therein.

Footnote 5 to Article 2.2: Footnote 5 to Article 2.2 enables developing countries which were not parties to the Tokyo Round Code to delay, upon notification to the Committee, the application of the provisions of Art.2.2(a)(ii) and (a)(iii) linked to automatic licensing for a period of two years.

WHICH MEMBERS MUST NOTIFY?

All WTO Members.

WHEN TO NOTIFY?

Article 1.4(a): The Committee, at its meeting on 12 October 1995, established a deadline of 12 January 1996 for the first notification under this provision from current Members.
Article 7.3: Members are required to complete, by 30 September each year, the questionnaire on import licensing procedures (see G/LIC/3, Annex).

Article 8.2: The Committee, at its meeting on 12 October 1995, established a deadline of 12 January 1996 for the first notification under this provision from current Members.

Article 5.1-5.4: Members are requested to notify within 60 days of publication.

**HOW TO NOTIFY?**

Neither the Agreement nor the G/LIC/3 document provided any template for LIC notifications. However, a notification form was agreed at the Import Licensing Committee meeting on 4 April 2019 for WTO Members to use on a voluntary basis, to notify under Article 5.1-5.4 of the Agreement. It is understood that the notifying Member has also completed its notification obligations under Article 1.4(a) and Article 8.2(b) of the Agreement regarding the relevant law/regulation/procedure notified for by filling this form in a full and complete manner. The template is contained in document G/LIC/28.

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1. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Import Licensing Procedures Article 1.4(a) and paragraph 1 of G/LIC/3.</td>
<td>Sources in which the information concerning import licensing procedures are published. Copies of such publications (national publication 21 days before entry into force).</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>Agreement on Import Licensing Procedures Article 8.2(b) and paragraph 4 of G/LIC/3.</td>
<td>Changes in laws/ regulations relevant to the agreement and in the administration of such laws and regulations. Copies of these laws and regulations.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
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</table>

² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

³ For publications that are not in a WTO Official Language, Members shall provide a summary in one of the WTO official language (G/LIC/3).
### Listing of the Notification Obligations

#### Part 2

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<th>Notification Symbol</th>
</tr>
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<tbody>
<tr>
<td>Agreement on Import Licensing Procedures Article 5.1, Article 5.2, Article 5.3, Article 5.4.</td>
<td>Institution of licensing procedures or changes in these procedures.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Within 60 days of their publication.</td>
<td>Yes (G/LIC/28, voluntary use by Members)</td>
<td>Committee on Import Licensing</td>
<td>G/LIC/N/2/*</td>
</tr>
<tr>
<td>Agreement on Import Licensing Procedures Article 73.</td>
<td>Replies to the Annual Questionnaire on import licensing procedures.</td>
<td>All WTO Members</td>
<td>Regular – Annual</td>
<td>Every year, by 30 September (G/LIC/3)</td>
<td>No (19 questions in the Questionnaire in the Annex to G/LIC/3)</td>
<td>Committee on Import Licensing</td>
<td>G/LIC/N/3/*</td>
</tr>
<tr>
<td>Agreement on Import Licensing Procedures Article 5.5.</td>
<td>Import licensing procedures or changes thereto of other Members (reverse notification).</td>
<td>Ad hoc</td>
<td></td>
<td></td>
<td>No</td>
<td>Committee on Import Licensing</td>
<td>N/A</td>
</tr>
<tr>
<td>Agreement on Import Licensing Procedures, Article 2.2 (footnote 5).</td>
<td>Deferred application of the provisions of Articles 2.2(a)(ii) and (iii).</td>
<td>Developing country Members not parties to the Tokyo Round Code.</td>
<td>One time</td>
<td>Once upon entry into force of the WTO Agreement for the Member.</td>
<td>No</td>
<td>Committee on Import Licensing</td>
<td>WT/Lett/*</td>
</tr>
</tbody>
</table>

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2. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/258/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Procedures for notification and review under the Agreement on Import Licensing Procedures G/LIC/3.
Part 4  List of Notifications Since 1995

List of Notifications Under Article 1.4 (a)
Notifications under Article 1.4(a) – Publications.

List of Notifications Under Article 2.2
Notifications under Article 2.2.

List of Notifications Under Article 5.1-5.3
Notifications under Articles 5.1, 5.2, 5.3.

List of Notifications Under Article 5.5
Notifications under Article 5.5.

List of Notifications Under Article 7.3
Notifications under Article 7.3.

List of Notifications Under Article 8.2 (b)
Notifications under Article 8.2(b) – Legal texts.
Agreement on Import Licensing Procedures LT/UR/A-1A/5.
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

Copies of the laws and regulations by which Members put the PSI Agreement into force, as well as copies of any other laws and regulations relating to Preshipment Inspection. Any changes in laws and regulations relating to PSI should be notified immediately after their publication. The changes should not be enforced before they have been notified to the Members.

WHICH MEMBERS MUST NOTIFY?

All WTO Members implementing the PSI Agreement.

WHEN TO NOTIFY?

Members implementing the PSI Agreement should notify at the time the Agreement enters into force for them.

HOW TO NOTIFY? ¹

There is no standard format for PSI notifications.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

**Notification requirements** | **Type of measure** | **Members notifying** | **Periodicity** | **Comments on Periodicity** | **Format** | **To whom** | **Notification Symbol**
--- | --- | --- | --- | --- | --- | --- | ---
1. Agreement on Preshipment Inspection, [Article 5](#). | Copies of Laws/regulations by which the Agreement is put into force for the Member concerned, as well as copies any other laws/regulations relating to Preshipment Inspection. | All WTO Members | One time | Once upon entry into force of the WTO Agreement for the Member concerned. | No | Council for Trade in Goods | G/PSI/N/1/*
2. Agreement on Preshipment Inspection, [Article 5](#). | Changes in laws/regulations. | All WTO Members | Ad hoc | Immediately after their publication. | No | Council for Trade in Goods | G/PSI/N/1/*

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1. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](#). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
NONE.
Notifications under Article 5 G/PSI/N/1/*.
Agreement on Preshipment Inspection LT/UR/A-1A/6.
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.

1 The section does not address other notification obligations relating to non-reciprocal preferential schemes which may be contained in specific "waiver" Decisions.
INTRODUCTION

The Transparency Mechanism for Preferential Trade Arrangements (PTAs) was established by the General Council Decision of 14 December 2010 (WT/L/806). The purpose of the Mechanism is to enhance transparency of the PTAs, which in this context refers to non-reciprocal preferential schemes.

The Committee on Trade and Development (CTD) is responsible for the implementation of the Transparency Mechanism. For purposes of performing the functions established under the Mechanism, the CTD is to convene in a dedicated session.

WHAT MUST BE NOTIFIED?

Section A of the Transparency Mechanism specifies the coverage of the Mechanism. According to Paragraph 1, the Transparency Mechanism shall apply to the following PTAs:

- PTAs falling under paragraph 2 of the Decision of 28 November 1979 on Differential and More Favourable Treatment Reciprocity and Fuller Participation of Developing Countries ("Enabling Clause"), with the exception of Regional Trade Agreements under paragraph 2(c) as described in the General Council Decision of 14 December 2006 (Transparency Mechanism for Regional Trade Agreements).

- PTAs taking the form of preferential treatment accorded by any Member to products of least-developed countries.

- Any other non-reciprocal preferential treatment authorised under the WTO Agreement.

According to Section B ("Notification"):

- Notifying Members shall specify under which provision or provisions in paragraph 1 their PTAs are notified. The Member notifying a PTA shall provide the full text of the related legislation and any related instruments (e.g., regulations, annexes, schedules, protocols), in one of the WTO official languages and in an electronically exploitable format, including, when appropriate, internet links.

According to Section C ("Procedures to Enhance Transparency"):

- Upon notification, the PTA shall be considered by the CTD under the procedures established in paragraphs 6 to 13.

To assist Members in their consideration of the PTA:

- The notifying Member shall make available to the WTO Secretariat data as specified in Annex 1 (Initial Notification of PTAs by Notifying Members), in an electronically exploitable format. If the PTA covers several sub-schemes, the data should be detailed enough so as to allow an analysis by sub-scheme. Disaggregated data, if available for these sub-schemes, shall be provided. As described in the Annex I, the Member notifying a PTA shall submit, at the tariff-line level, a full listing of preferential duties under the PTA per beneficiary partner, and a full tariff listing of the notifying Member’s MFN duty rates applied on the year of the PTA’s implementation and on the year preceding it.

The requirements of notifications of changes affecting a PTA during a calendar year are contained in Section D.

- Elements to be notified in electronically exploitable format include legal changes made, in one of the WTO official languages; changes in the implementation of the PTA, including (but not limited to) the list of graduated beneficiaries and the period of graduation, as well as the list of specific product/country waivers, if appropriate; and changes in the preferential tariffs per beneficiary partner applied under the PTA, at the tariff-line level.

- The notifying Member shall notify data on imports from each of the beneficiary partners on an annual basis at the tariff-line level, in value for total imports, imports entered under MFN and imports entered under PTA benefits no later than 31 October for data of the previous year.

WHICH MEMBERS MUST NOTIFY?

Any WTO Member granting non-reciprocal preferences is required to notify the PTA to the CTD.
WHEN TO NOTIFY?

- The required notification of a PTA shall take place as early as possible; it will occur when practicable before the application of preferential treatment by the notifying Member and, at the latest, three months after the PTA is in force (Section B, paragraph 3).

- Changes affecting the implementation of a PTA during a calendar year (including legal changes, or changes in coverage in terms of products or beneficiary Members) shall be notified on an annual basis, and no later than 30 June of the next immediate calendar year (Section D, Paragraph 15).

- The notifying Member shall notify data on imports from each of the beneficiary partners on an annual basis at the tariff-line level, in value for total imports, imports entered under MFN and imports entered under PTA benefits no later than 31 October for data of the previous year (Section D, Paragraph 16).

HOW TO NOTIFY?

Existing notification formats are available for some of these notification requirements; these are referred to below.

Any questions regarding notifications under the Transparency Mechanism for PTAs can be sent to the Secretariat at pta@wto.org.

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### PREFERENTIAL TRADE ARRANGEMENTS (TRANSPARENCY MECHANISM)

#### PART 2

**LISTING OF THE NOTIFICATION OBLIGATIONS**

### NOTIFICATION OF A PTA

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
<td>Comments on Periodicity</td>
</tr>
<tr>
<td>Transparency Mechanism for PTAs, paragraph 1(a).</td>
<td>Establishment of a PTA under paragraph 2 of the Decision of 28 November 1979 on Differential and More Favourable Treatment Reciprocity and Fuller Participation of Developing Countries (&quot;Enabling Clause&quot;), with the exception of regional trade agreements under paragraph 2(c).</td>
<td>Members granting the non-reciprocal preferences.</td>
<td>One time</td>
<td>As early as possible; when practicable before the application of preferential treatment by the notifying Member and, at the latest, three months after the PTA is in force.</td>
</tr>
</tbody>
</table>

³ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

⁴ This is the notification symbol for PTAs agreed to by the CTD at the 108th Regular Session held on 5th April 2019. Prior to this, notifications of PTAs were circulated using the symbol WT/COMTD/N/*.
## Notification of a PTA

### What Must be Notified?

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Transparency Mechanism for PTAs, paragraph 1(b).</td>
<td>Establishment of a PTA by any Member taking the form of preferential treatment accorded by any Member to products of least developed countries.</td>
<td>Members granting the non-reciprocal preferences.</td>
<td>One time</td>
<td>As early as possible; when practicable before the application of preferential treatment by the notifying Member and, at the latest, three months after the PTA is in force.</td>
<td>Yes (<a href="https://www.wto.org">WT/COMTD/73</a>)</td>
<td>Committee on Trade and Development (CTD)</td>
<td>WT/COMTD/PTA*/N/*</td>
</tr>
<tr>
<td>3. Transparency Mechanism for PTAs, paragraph 1(c).</td>
<td>Establishment of a PTA by a Member offering any other non-reciprocal preferential treatment authorized under the WTO Agreement.</td>
<td>Members granting the non-reciprocal preferences.</td>
<td>One time</td>
<td>As early as possible; when practicable before the application of preferential treatment by the notifying Member and, at the latest, three months after the PTA is in force.</td>
<td>Yes (<a href="https://www.wto.org">WT/COMTD/73</a>)</td>
<td>Committee on Trade and Development (CTD)</td>
<td>WT/COMTD/PTA*/N/*</td>
</tr>
</tbody>
</table>

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3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](https://www.wto.org). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Subsequent Notification and Reporting

<table>
<thead>
<tr>
<th>What Must Be Notified?</th>
<th>Which Members Must Notify?</th>
<th>When to Notify?</th>
<th>How to Notify?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Changes affecting the implementation of a PTA.</td>
<td>Members granting the non-reciprocal preferences.</td>
<td>Regular – Annual</td>
<td>Yes (With regard to changes in the implementation of a PTA, members shall be notified on an annual basis. No later than 30 June of the next immediate calendar year. Format: CTD/IDB. Relevant changes may also be submitted directly for integration into the IDB).</td>
</tr>
</tbody>
</table>

1. **Subsequent Notification and Reporting**

   (Section D, Paragraph 15 of the Transparency Mechanism for PTAs).

   Changes affecting the implementation of a PTA. These include changes in the corresponding national legislation and other changes specified in WT/L/806 (e.g., updated list of beneficiaries, as well as changes in the preferential tariffs applied under the PTA, at the tariff-line level).
### Subsequent Notification and Reporting

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Subsequent Notification and Reporting (Section D, Paragraphs 16 and 17 of the Transparency Mechanism for PTAs)</td>
<td>The notifying Member shall notify data on imports from each of the beneficiary partners on an annual basis at the tariff-line level, in value for total imports, imports entered under MFN and imports entered under PTA benefits.</td>
<td>Members granting the non-reciprocal preferences.</td>
<td>Regular – Annual</td>
</tr>
</tbody>
</table>
The format for notification of a PTA is contained in document WT/COMTD/73. Notifying Members are also invited to consult the information note on “Modalities and Operation of the Integrated Database (IDB)” (G/MA/367) provided by the WTO Secretariat through the Committee on Market Access and adopted on 28 May 2019. The note summarizes various notification requirements of tariff and import data to the WTO’s Integrated Data Base (IDB), including notification requirements as set out under the PTA Transparency Mechanism (WT/L/806). Specific examples of tariff and import data notifications are found in the Annex of the note G/MA/367.
LIST OF NOTIFICATIONS OF PREFERENTIAL TRADE ARRANGEMENTS

Database on Preferential Trade Agreements As required by the Transparency Mechanism for PTAs, the WTO Secretariat maintains an updated electronic database on individual PTAs. This database includes all written material (including notifications of PTAs) related to the notified PTAs available at the WTO as well as relevant tariff and trade-related information.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations relating to QUANTITATIVE RESTRICTIONS. It includes information on three notifications in the Committee on Market Access and consists of the following five parts:

- **PART 1**: OVERVIEW OF NOTIFICATION REQUIREMENTS
- **PART 2**: LISTING OF THE NOTIFICATION OBLIGATIONS
- **PART 3**: RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS
- **PART 4**: LIST OF NOTIFICATIONS SINCE 1995
- **PART 5**: TEXT OF THE DECISION

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

On 22 June 2012, the Council for Trade in Goods adopted the Decision on notification procedures for quantitative restrictions (G/L/59/Rev.1). The objective of this Decision is to enhance transparency on the prohibitions and other restrictions introduced or maintained by Members on their trade in goods, including their legal justification of such measures under WTO rules. The notification must be submitted using the relevant format.

Under the QR Decision, all quantitative restrictions affecting both imports and exports shall be notified. The scope of the measures to be notified is largely defined by Article XI of the GATT 1994, which states that:

“No prohibitions or restrictions other than duties, taxes or other charges, whether made effective through quotas, import or export licenses or other measures, shall be instituted or maintained by any contracting party on the importation of any product of the territory of any other contracting party or on the exportation or sale for export of any product destined for the territory of any other contracting party.”

Therefore, the concept refers to all "prohibitions or restrictions other than duties, taxes or other charges" that are applied on imports or exports of goods, which can be "made effective through quotas, import or export licenses or other measures". For purposes of preparing a notification, it should not be difficult to identify the prohibitions (i.e. bans) on imports or exports imposed by the Member, as customs and other authorities usually maintain lists of goods that cannot be traded. However, it may prove more challenging to identify the measures that qualify as "restrictions other than duties, taxes or other charges". The text of Article XI:1 is helpful in this context; it indicates that restrictions can be "made effective through quotas, import or export licenses", and makes reference to "other measures".

Annex 2 of the QR Decision provides an indicative list of ten measures that are covered by the notification requirements, including a list of symbols to be used in the notification. They include prohibitions, global quotas, non-automatic licensing, restrictions made effective through state trading operations, mixing regulations, voluntary export restraints, and others (see Table 1). The QR Decision further requires the notifying Member to specify whether the measure notified affects imports and/or exports, and if the measure is “seasonal”. In such cases, the suffixes "S" for seasonal restrictions and "X" for export restrictions should be added to the relevant symbol, as appropriate. For example, if a Member applies a temporary import ban, this should be reflected in the notification with the symbol "P-S"; if the notified measure is a non-automatic export license, the symbol NAL-X should be used.

1 Paragraph 8 of the QR Decision states that it fully replaces the previous notification procedures contained in the CTG Decision of 1 December 1995 (document G/L/59) and the notification format in document G/MA/NTM/QR/2.

2 The full text of Article XI is reproduced in Annex 1.

3 The list with the symbols in Annex 2 was originally contained in the Annex to the Group on Quantitative Restriction’s (1985) Report and the recommendation was that they should be used for future. Notifications to the Group and other relevant GATT bodies. See, for example, GATT document NTM/W/8/Rev.2, p. 2. In the QR Decision, Members agreed to use these symbols in their notification to indicate the type of restriction being notified.
Table 1: Measures listed in Annex 2 of the QR Decision, with symbols

<table>
<thead>
<tr>
<th>MEASURE</th>
<th>SYMBOL</th>
<th>SUFFIX (AS REQUIRED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prohibition</td>
<td>P</td>
<td></td>
</tr>
<tr>
<td>Prohibition except under defined conditions</td>
<td>CP</td>
<td></td>
</tr>
<tr>
<td>Global quota</td>
<td>GQ</td>
<td></td>
</tr>
<tr>
<td>Global quota allocated by country</td>
<td>GQC</td>
<td></td>
</tr>
<tr>
<td>Bilateral quota (i.e. anything less than a global quota)</td>
<td>BQ</td>
<td></td>
</tr>
<tr>
<td>Non automatic licensing</td>
<td>NAL</td>
<td></td>
</tr>
<tr>
<td>Quantitative restriction made effective through state trading operations</td>
<td>STR</td>
<td></td>
</tr>
<tr>
<td>Mixing regulation</td>
<td>MXR</td>
<td></td>
</tr>
<tr>
<td>Minimum price, triggering a quantitative restriction</td>
<td>MPR</td>
<td></td>
</tr>
<tr>
<td>&quot;Voluntary&quot; export restraint</td>
<td>VER</td>
<td></td>
</tr>
</tbody>
</table>

Source: Document G/L/59/Rev.1.

Although Article XI:1 of the GATT 1994 provides for the *general elimination* of quantitative restrictions, Members are allowed to introduce or maintain them in a limited number of circumstances, as exceptions. These include, for example, the carveouts in GATT Article XI:2, as well as the general exceptions of GATT Article XX, national security exceptions of GATT Article XXI, and other exceptions contained in other agreements, such as the Agreement on Agriculture and the Agreement on Safeguards and other WTO Agreements. The specific WTO justification has to be indicated for every notified measure.

The QR Decision also recognizes that certain measures that qualify as quantitative restrictions may have been introduced pursuant to other international commitments, such as multilateral environmental agreements which, for the sake of transparency, should also be notified and justified under the relevant WTO provisions. Finally, the QR Decision acknowledges that some measures may already have been notified by Members to other WTO Committees or bodies and, for this reason, it allows for a cross-reference to be made to existing notifications.

**WHICH MEMBERS MUST NOTIFY?**

All Members should notify all the quantitative restrictions in force, both affecting imports and exports.

**WHEN TO NOTIFY?**

The QR Notification decision (G/L/59/Rev.1) provides that Members shall notify all its quantitative restrictions in force at two yearly intervals (i.e. biennial periods). The current biennial period began in September 2018 and the next one will begin in September 2020.
HOW TO NOTIFY? 4

All notifications shall be made in accordance with the format in Annex 1 of G/L/59/Rev.1 and based on the information required in paragraph 2 of the QR Decision. The format of QR notifications consists of three elements:

- A cover page with key information on the notification (e.g. notifying Member, type of notification, biennial period, and others);
- Section 1, which provides a list of all quantitative restrictions in force and the information required for each of these measures; and
- Section 2, where it is possible to cross-reference the QR notification with other WTO notifications that also contain information on, or relevant to, the quantitative restriction in question.

Notifications shall be submitted to the Secretariat in electronic form (footnote 2 of the QR Decision) and are circulated under document symbol G/MA/QR/N/Member code. QR notifications can be submitted in any of the three WTO official languages (English, French, or Spanish), and only the cover page is translated. This means that the information contained in Sections 1 and 2 of the QR notification will only ever be available in the language in which it was submitted.

For a detailed explanation of this notification requirement, including possible sources of information, please refer to the Practical Guide by the Secretariat in document JOB/MA/101/Rev.2.

Additional information can be found online at the Quantitative Restriction Website which provides an overview of quantitative restrictions that have been notified to the Committee on Market Access. It includes measures such as prohibitions, non-automatic import licences, quotas, among others, notified by WTO Members as part of their notification commitment pursuant to the procedures in the Quantitative Restriction Decision (QR Decision) adopted by the Council for Trade in Goods in 22 June 2012.

4 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Listing of the Notification Obligations

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision on Notification Procedures for Quantitative Restrictions G/L/59/Rev.1</td>
<td>Quantitative restrictions (all restrictions in place, even if notified previously).</td>
<td>All WTO Members</td>
<td>Regular – Biennial</td>
<td>30 September 2012 and 2-yearly intervals thereafter.</td>
<td>Yes (Annex I of G/L/59/Rev.1 and Guidelines JOB/MA/101/Rev.2)</td>
<td>Committee on Market Access</td>
<td>G/MA/QR/N/*</td>
</tr>
<tr>
<td>Changes to quantitative restrictions maintained.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>As soon as possible, but not later than six months from their entry into force.</td>
<td>Yes (Annex I of G/L/59/Rev.1 and Guidelines JOB/MA/101/Rev.2)</td>
<td>Committee on Market Access</td>
<td>G/MA/QR/N/*</td>
<td></td>
</tr>
</tbody>
</table>

*All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/258/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.*
Notification on Quantitative Restrictions (QRS): A practical guide [JOB/MA/101/Rev.2].
To access the list of notifications under Quantitative Restrictions, search for documents with the symbol G/MA/QR/N/*.
Decision on notification procedures for quantitative restrictions G/L/59/Rev.1.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the **LEGAL PROVISIONS RELATING TO REGIONAL TRADE AGREEMENTS (RTAs)**. It consists of the following five parts:

**PART 1**
- OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
- LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
- RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
- LIST OF NOTIFICATIONS SINCE 1995

**PART 5**
- TEXT OF THE LEGAL PROVISIONS

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
INTRODUCTION

Notification requirements relating to regional trade agreements (RTAs) are contained in different legal instruments. The General Council Decision of 14 December 2006 establishing a “Transparency Mechanism for Regional Trade Agreements” (WT/L/671), hereafter the “Transparency Mechanism on RTAs”, clarifies issues related to the notification of RTAs and establishes a harmonized mechanism – of a provisional nature – to deal with RTAs in the WTO system.

The horizontal nature of RTAs is reflected in the fact that there are four bodies of the WTO that, either directly or indirectly, have monitoring functions for RTA issues – namely the Committee on Regional Trade Agreements (CRTA), the Committee on Trade and Development (CTD), the Council for Trade in Goods (CTG) and the Council for Trade in Services (CTS). All these bodies are under the overall authority of the General Council and the Ministerial Conference.

WHAT MUST BE NOTIFIED?

Legal Provisions relating to RTAs provide for five types of notifications:

Notification of the conclusion of/accession to an RTA

Notification is required for both the conclusion of a new RTA as well as for the accession of a new Party to an existing RTA (this may also be referred to as the “enlargement” of an RTA). All Members are required to notify their RTAs under the various WTO provisions relating to RTAs:

- for RTAs providing preferential treatment in goods, in accordance with Article XXIV:7 of GATT 1994 or paragraph 4 of the Decision on Differential and More Favourable Treatment Reciprocity and Fuller Participation of Developing Countries (hereafter the “Enabling Clause”);
- for RTAs providing preferential treatment in services, in accordance with Article V:7 of the GATS.

Section B of the Transparency Mechanism on RTAs clarifies the notification requirements. Cessation of an RTA is also to be notified.

Notification of changes to an RTA

Notification is required for any change affecting the implementation of an existing RTA, or the operation of an already implemented RTA. Changes that are to be notified include inter alia those affecting the plan or schedule of an RTA, the preferential treatment granted, the RTA disciplines, and the withdrawal of a Party from the RTA.

All Members of RTAs affected by changes are required to notify such changes under Article XXIV of the GATT 1994 or the Enabling Clause and/or Article V of the GATS.

Section D of the Transparency Mechanism on RTAs clarifies the notification requirements.

Report on the operation of an RTA (de facto inoperable since 2003)

Periodic reports on the operation of customs unions and free-trade areas (also referred to as “biennial reports”) are to be made. The same applies to RTAs liberalizing trade in services implemented on the basis of a time-frame.

All Members that are Parties to customs unions or free-trade areas are required to provide periodic reports in accordance with a GATT 1947 decision (BISD 18S/38) as well as in reference to paragraph 11 of the Understanding on the interpretation of Article XXIV of the GATT 1994 (hereafter the “Understanding”). Parties to RTAs liberalizing trade in services are required to provide the periodic reports in accordance with GATS Article V:7(b).

The Transparency Mechanism on RTAs makes no reference to the provision of biennial reports nor to the relationship it may have with the provision of end-of-implementation report mentioned in point 4 below. In its paragraph 23, the Transparency Mechanism for RTAs nevertheless provides that, in the context of replacing that provisional mechanism by a permanent one, Members will “review the legal relationship between this Mechanism and relevant WTO provisions related to RTAs.”

1 Although there is no notification format for the cessation of an RTA, the Secretariat circulates a list of such RTA to all the Members.
End-of-implementation report
A short written report on the realization of the liberalization commitments, as contained in the RTA that was originally notified is required, at the end of the RTA’s implementation period. The report is referred to as the "End-of-Implementation (EOI) Report".

All Members that are Parties to an RTA shall provide such EOI report, in accordance with Paragraph 15 of the Transparency Mechanism for RTAs.

Section D of the Transparency Mechanism for RTAs clarifies the notification requirements though no official format has been adopted. Draft outlines are nevertheless available.

Communication of the modification of bound rates in the context of a customs union
If the formation (or the enlargement) of a customs union leads to the modification of bound rates by any of the Parties to the customs union, the Member(s) concerned has(have) to commence GATT procedures for the modification of bound rates before the concessions are modified or withdrawn (Article XXIV:6 of GATT 1994 and paragraphs 4-5 of the Understanding on the interpretation of Article XXIV). The procedures of Article XXVIII of the GATT 1994, as further elaborated by the 1980 guidelines (BISD 27S/26-28) and in the Understanding, apply in this case and include specific information to be provided by the Member(s) concerned.

WHICH MEMBERS MUST NOTIFY?

The notification obligations under points 1 to 4 above shall be made by each Member that is a Party to an RTA. However, while the notification obligation applies to each Member that is a Party to an RTA, in practice, the report/notification is usually made jointly by all the Parties.

When an RTA covers both goods and services two distinct notifications must be made: one under GATT Article XXIV or the Enabling Clause (for trade in goods) and one under GATS Article V (for trade in services). The two notifications can be included on the same notification template.

In the case of point 5 (above) involving Article XXIV of GATT 1994, notifications may be required from either each Member that is a Party to the customs union or only from those proposing to increase their bound rates, depending on how the customs union will negotiate and implement the tariff concessions.

WHEN TO NOTIFY?

The notification of a newly concluded RTA (or of an accession to an existing RTA) must be filed "as early as possible". As a rule, it will occur no later than directly following the Parties’ ratification of the RTA or any Party’s decision on application of the relevant parts of an agreement, and before the application of preferential treatment between the Parties’ (paragraph 3 of the Transparency Mechanism for RTAs). This time-frame, which applies equally to notifications under Article XXIV of the GATT 1994, Article V of the GATS and the Enabling Clause, clarified GATT and GATS provisions which refer to notifications being made "promptly" by the Parties to the RTAs.

The notification of changes to an RTA shall take place as soon as possible after the changes occur (paragraph 14 of the Transparency Mechanism for RTAs).

The Report on the operation of an RTA under Article XXIV of the GATT 1994 is to be submitted in accordance with the calendar issued by the CRTA. From 1971 onwards, reports on the operation of an RTA were to be submitted every two years (biennial reports). Since 2003, however, the issuance of a calendar fixing dates for the examination of biennial reports has been provisionally suspended. With respect to reports on RTAs liberalizing trade in services that are to be presented periodically under GATS Article V:7(b) no further clarification exists on the term "periodically".

The End-of-implementation Report shall take place at the end of an RTA’s implementation period. The CRTA issues annually a document listing corresponding deadlines applicable to the reports that are or will become due for RTAs notified under Article XXIV of the GATT 1994 and/or Article V of the GATS.

The notification of the modification of bound rates in the context of a customs union shall take place "before tariff concessions are modified or withdrawn" (paragraphs 4-5 of the Understanding on the interpretation of Article XXIV of the GATT 1994).
HOW TO NOTIFY?

Existing notification formats, of a voluntary or mandatory nature, are available for some of these notification/reporting requirements; these are referred to in the table that follows (Part 2). Available templates are also proposed under Part 3 below.

A self-training module on notification requirements for newly concluded RTAs is available at: How to notify a new RTA to the WTO.

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### LISTING OF THE NOTIFICATION OBLIGATIONS

### PART 2

#### NOTIFICATION OF THE CONCLUSION OF/ACCESSION TO AN RTA

<table>
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<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
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</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td><strong>1.</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Agreement on Tariffs and Trade</td>
<td>Conclusion of, or accession to, a customs union, a free trade area or an interim agreement leading to one or the other.</td>
<td>In principle each Member Party to an RTA. In practice, joint notifications are made.</td>
<td>One time</td>
</tr>
</tbody>
</table>

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](#). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## PART 2

**LISTING OF THE NOTIFICATION OBLIGATIONS**

### NOTIFICATION OF THE CONCLUSION OF/ACCESSION TO AN RTA (CONTINUATION)

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<th>WHEN TO NOTIFY?</th>
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</thead>
<tbody>
<tr>
<td>Enabling Clause, paragraph 4(a) as regards measures under paragraph 2(c); Transparency Mechanism for RTAs, paragraphs 3 and 4.</td>
<td>Conclusion of, or accession to, a regional or global arrangement entered into amongst developing countries for the mutual reduction or elimination of tariffs and for the mutual reduction or elimination of non-tariff measures, on products imported from one another.</td>
<td>One time</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
</tr>
<tr>
<td>Notification requirements</td>
<td>Members notifying</td>
<td>Periodicity</td>
<td>Comments on Periodicity</td>
</tr>
<tr>
<td>Type of measure</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To whom?</td>
<td>Format</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notification Symbol</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Contextual Notes:

3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

4. This is the notification symbol for RTAs agreed to by the CTD at the 108th Regular Session held on 5th April 2019. Prior to this, notifications of RTAs were circulated using the symbol WT/COMTD/N/**.
### NOTIFICATION OF THE CONCLUSION OF/ACESSION TO AN RTA (CONTINUATION)

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<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
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<th>HOW TO NOTIFY?</th>
</tr>
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<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>General Agreement on Trade in Services Article V:7(a); Transparency Mechanism for RTAs, paragraphs 3 and 4.</td>
<td>Conclusion of, or accession to an Economic Integration Agreement.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>One time</td>
</tr>
</tbody>
</table>

\(^3\) All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Notification of Changes to an RTA

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Agreement on Tariffs and Trade Article XXIV:7(a); Understanding on the interpretation of Article XXIV of GATT 1994, paragraphs 9 and 11; Transparency Mechanism for RTAs, paragraph 14.</td>
<td>Significant changes and/or developments in an RTA, including changes in the plan or schedule (for the formation of a customs union or a free trade area). Changes to be notified include, inter alia, modifications to the preferential treatment between the Parties and to the RTA’s disciplines.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>Ad hoc</td>
<td>As soon as possible after the changes occur.</td>
<td>Yes (G/L/1295)</td>
<td>The Ministerial Conference, though, in practice to the CRTA.</td>
<td>WT/REG/<em>/N/</em></td>
</tr>
</tbody>
</table>

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3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/26/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Notification of Changes to an RTA (Continuation)

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Periodicity</td>
<td>Comments on Periodicity</td>
</tr>
<tr>
<td>Enabling Clause, paragraph 4(a) as regards measures under paragraph 2(c); Transparency Mechanism for RTAs, paragraph 14.</td>
<td>Modification/withdrawal of the RTA’s preferential treatment or disciplines. Changes to be notified include, inter alia, modifications to the preferential treatment between the Parties and to the RTA’s disciplines.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Notification of Changes to an RTA (Continuation)

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>General Agreement on Trade in Services Article V:7(a); Transparency Mechanism for RTAs, paragraph 14.</td>
<td>Significant modification of an RTA liberalizing trade in services. Changes to be notified include, <em>inter alia</em>, modifications to the preferential treatment between the Parties and to the RTA’s disciplines.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

---

3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## REPORT ON THE OPERATION OF AN RTA

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>1. Understanding on the interpretation of Article XXIV of the GATT 1994, paragraph 11.</td>
<td>Operation of the RTA.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>Regular – Biennial</td>
</tr>
<tr>
<td>2. General Agreement on Trade in Services Article V:7(b).</td>
<td>Implementation of an Economic Integration Agreement implemented on a time-frame basis.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>Not defined</td>
</tr>
</tbody>
</table>

<sup>3</sup> All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### End-of-Implementation Report

**What must be notified?**  
**Type of measure**  
**Members notifying**  
**Periodicity**  
**Comments on Periodicity**  
**Format**  
**To whom**  
**Notification Symbol**

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Transparency Mechanism for RTAs, paragraph 15.</td>
<td>Short written report on the realization of the liberalization commitments in the RTA as originally notified.</td>
<td>In principle each Member Party to an RTA. In practice joint notifications are made.</td>
<td>One time</td>
<td>At the end of the RTA’s implementation period.</td>
<td>No (No, but voluntary format [JOB/REG/4]).</td>
<td>The WTO, though, in practice either the CRTA or the CTD.</td>
<td>WT/REG*/R/I or WT/COMTD/RTA*/R/I</td>
</tr>
</tbody>
</table>

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3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.3]. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Communication of the Modification of Bound Rates in the Context of a Customs Union

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
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<th>WHEN TO NOTIFY?</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Increase of a bound rate of duty after the formation of a customs union.</td>
<td>General Agreement on Tariffs and Trade 1994, Article XXIV; Understanding on the Interpretation of Article XXIV of the GATT 1994, paragraph 4; General Agreement on Tariffs and Trade 1994, Article XXVIII, and its related instruments.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Two notification formats, including templates, have been adopted by the respective bodies responsible for handling notifications with respect to the notification of the conclusion of an RTA (1) and the notification of changes to an RTA (2).

With respect to the **Notification of the conclusion of an RTA**, including accession to or enlargement of an existing RTA, since 2007, three identical templates have been adopted by, respectively, the Council for Trade in Services (S/L/310); the Council for Trade in Goods (G/L/834); and the Committee on Trade and Development (WT/COMTD/63). These templates are available for the notifications to be made pursuant to, respectively, Article V.7(a) of the GATS; Article XXIV:7(a) of the GATT 1994; and Paragraph 4(a) of the Enabling Clause.

The Parties shall specify under which provision(s) of the WTO agreements it is notified. The Parties will also provide the full text of the RTA (or those parts they have decided to apply) and any related schedules, annexes and protocols, in one of the WTO official languages; if available these shall also be submitted in an electronically exploitable format. Reference to related official Internet links shall also be supplied.

With respect to the **Notification of changes to an RTA**, since 2018, three identical templates have been adopted by, respectively, the Council for Trade in Services (S/L/418); the Council for Trade in Goods (G/L/1295); and the Committee on Trade and Development (WT/COMTD/98). These templates are available for the notifications to be made pursuant to Paragraph 14 of the Transparency Mechanism for RTAs (WT/L/671).

The Parties shall provide a summary of the changes made, as well as any related texts, schedules, annexes and protocols, [...], if available, in electronically exploitable format. In their notification, Members may refer to official internet links related to the Agreement where the relevant information can be consulted in full, in one of the WTO official languages.

For the **other notifications**, the notifying Members may wish to make use of the standard format for information on RTAs (WT/REG/W/8) or the Standard format for information on Economic Integration Agreements on Services (WT/REG/W/14) that have been taken note of by the CRTA in, respectively, 1996 and 1997. With respect to End-of-Implementation Reports, a format is suggested on a voluntary basis (JOB/REG/4).

More details and references are contained in the above section (Part 2).
Regional Trade Agreements Information System (RTA-IS) is a database that allows to retrieve information on RTAs notified to the GATT/WTO.
The main disciplines on notification or reporting on RTAs can be found in the following legal provisions:

- [Article XXIV of the General Agreement on Tariffs and Trade 1994](#)
- [Decision on differential and more favourable treatment, reciprocity and fuller participation of developing countries (Enabling clause)](#)
- [Understanding on the Interpretation of Article XXIV of GATT 1994](#)
- [Article V of the GATS](#)
- [Transparency Mechanism for Regional Trade Agreement (Decision of the General Council of 14 December 2006) WT/L/671](#)

For adopted formats of notification, or endorsed guidelines and standard formats, see the above sections ([PART 2](#) and [PART 3](#)).
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

According to the WTO Agreement on Rules of Origin, both preferential and non-preferential rules of origin must be notified to the Secretariat.

In relation to preferential rules of origin, both reciprocal (applied in the context of regional trade agreements) and non-reciprocal (used in the context of GSP) rules of origin must be notified. In addition, preferential rules of origin which are applied in the context of non-reciprocal trade preferences for least-developed countries must be notified using a detailed notification template agreed to by the Committee on Rules of Origin.

WHICH MEMBERS MUST NOTIFY?

All Members must notify their preferential and their non-preferential rules of origin to the Secretariat. Members who do not apply non-preferential rules of origin must also submit a notification stating so.

In the case of non-reciprocal preferential rules of origin, only those Members who have implemented such preferences for LDCs must submit a notification.

In relation to preferential rules of origin (applied in the context of regional trade agreements), a single notification can be made. In other words, there is no need to prepare a notification to the CRO if a notification covering preferential trade agreements and rules of origin has been submitted to the Committee on Trade and Development (CTD) or to the Committee on Regional Trade Agreements (CRTA).

WHEN TO NOTIFY?

Regarding non-preferential rules, the Agreement requires all WTO Members to notify, within 90 days of entry into force of the WTO Agreement for themselves, rules of origin, judicial decisions and administrative rulings of general application relating to rules of origin in effect on that date. Subsequently, all WTO Members are required to publish new or modified rules of origin (Article 5.2).

Regarding preferential rules, the Agreement requires all WTO Members to notify promptly rules of origin (indicating the preferential agreements to which they apply), judicial decisions, and administrative rulings of general application. WTO Members are also required to notify any subsequent modifications to existing preferential rules of origin or the introduction of new rules of origin.

HOW TO NOTIFY?\(^1\)

There is currently no agreed format for notifications on non-preferential rules of origin. However, the practice has been to include an Internet link to a webpage where the full legislation can be found. Alternatively, a copy of the legislation implementing non-preferential origin requirements can be sent to the Secretariat. If the legislation being notified is not in a WTO working language, Members should include a description or summary of the requirements in an WTO working language.

Notifications of preferential rules of origin which are applied in the context of non-reciprocal trade preferences for least-developed countries must be notified using a detailed notification template agreed to by the Committee on Rules of Origin. The template is contained in document G/RO/84. Notifications are circulated under the symbol G/RO/LDC/Member-name.

\(^1\) All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS

#### RULES OF ORIGIN

## PART 2

### LISTING OF THE NOTIFICATION OBLIGATIONS

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</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Rules of Origin, Article 5.1</td>
<td>Existing non-preferential rules of origin; judicial decisions and administrative rulings of general application relating to non-preferential rules of origin. (Changes must be published promptly).</td>
<td>All WTO Members.</td>
<td>One time</td>
</tr>
<tr>
<td>Agreement on Rules of Origin, Annex II, paragraph 4</td>
<td>Existing preferential rules of origin; judicial decisions and administrative rulings of general application relating to preferential rules of origin (comprehensive notification of all rules applied).</td>
<td>All WTO Members.</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

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² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

³ The practice by Members has been to notify the title of legislation only and include an internet link where the full legislation can be found.
## LISTING OF THE NOTIFICATION OBLIGATIONS

### RULES OF ORIGIN

### PART 2

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<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Rules of Origin, Annex II, paragraph 4.</td>
<td>Changes in preferential rules of origin; new preferential rules of origin.</td>
<td>All WTO Members.</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>2015 Ministerial Decision on preferential rules of origin for LDCs (WT/L/917/Add.1), Paragraph 4.3.</td>
<td>Preferential rules of origin and origin requirements applied to LDCs in (non-reciprocal) trade preferences.</td>
<td>All preference-granting Members (LDC schemes).</td>
<td>One time</td>
</tr>
</tbody>
</table>

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

3 The practice by Members has been to notify the title of legislation only and include an internet link where the full legislation can be found.
Notifications Procedures- Agreement by the Committee on Rules of Origin at its meeting on 4 April 1995 G/RO/1.

Template for the notification of preferential Rules of Origin for least developed countries– Decision adopted by the Committee on 2 March 2017 G/RO/84.
All notifications on non-preferential rules of origin can be found on the Rules of Origin page of the WTO website section "Notifications".

For rules which apply under reciprocal trade preferences, the obligation is reiterated and elaborated in the Transparency Mechanism for Regional Trade Agreements (WT/L/671). Notifications received by the Secretariat can be retrieved in the WTO RTA database.

For rules which apply under non-reciprocal trade preferences, the obligation is reiterated and elaborated in the Transparency Mechanism for Preferential Trade Arrangements (WT/L/806). Notifications received by the Secretariat can be retrieved in the WTO PTA database.
Agreement on Rules of Origin [LT/UR/A-1A/7].

2013 Ministerial Decision on Preferential Rules of Origin for Least-Developed Countries (LDCs) [WT/MIN(13)/42].

2015 Ministerial Decision on Preferential Rules of Origin for Least-Developed Countries (LDCs) [WT/MIN(15)/W/48/*].
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
INTRODUCTION

The notification requirements of the SCM Agreement can be divided into regular notification requirements, which apply in principle to all Members, and special notification requirements, which apply to Members invoking particular provisions.

With respect to regular notification requirements, Part VII of the SCM Agreement ("Notification and Surveillance") contains requirements regarding the notification of subsidies (Article 25.1), countervailing measures (Article 25.11) and competent authorities that conduct countervailing duty investigations (Article 25.12). In addition, Article 32.6 in Part XI of the SCM Agreement ("Final Provisions") requires notification of laws and regulations relevant to the SCM Agreement.

The SCM Agreement contains special notification requirements regarding certain aspects of the provisions of Article 27 on Special and Differential Treatment of Developing Country Members. Special notification requirements also applied under provisions, which are no longer applicable, on non-actionable subsidy programmes (Article 8) and on transitional arrangements regarding existing programmes (Article 28) and transformation into a market economy (Article 29).

WHAT MUST BE NOTIFIED?

REGULAR NOTIFICATION REQUIREMENTS

Notification of subsidies

Article 25.2 of the Agreement provides that "Members shall notify any subsidy as defined in paragraph 1 of Article 1, which is specific within the meaning of Article 2, granted or maintained within their territories".¹

Article 25.3 of the SCM Agreement contains certain requirements regarding the content of subsidy notifications. Thus, "the content of notifications should be sufficiently specific to enable other Members to evaluate the trade effects and to understand the operation of notified subsidy programmes", and Members are obligated to ensure that their subsidy notifications contain information on the form, amount, policy objectives and/or purpose and duration of the subsidy and statistical data permitting an assessment of the trade effects of the subsidy.

Notification of Countervailing Measures

Article 25.11 of the SCM Agreement requires Members to notify, without delay, all preliminary or final actions taken with respect to countervailing duties.

There is a significant number of Members that do not have a competent authority to conduct countervailing duty investigations and which therefore have not imposed any countervailing measures and are unlikely to do so in the foreseeable future. Those Members inform the Committee accordingly through one-time notifications which are circulated in the G/SCM/N/202/... series.

Notification of Competent Authorities

Article 25.12 of the SCM Agreement stipulates that Members shall notify to the Committee which of their authorities are competent to conduct countervailing duty investigations in their territories and the domestic procedures that govern the initiation and conduct of such investigations.

Notification of Countervailing Duty Legislation

Article 32.6 of the SCM Agreement provides that Members shall notify to the Committee the changes in their laws and regulations relevant to the Agreement and in the administration of such laws and regulations. Any such modification to the laws, regulations or administrative procedures must be notified promptly.

SPECIAL NOTIFICATION REQUIREMENTS

Notification of Non-Actionable Subsidies under Article 8.3

Article 8.3 of the SCM Agreement required the notification of non-actionable subsidies. Article 8 is no longer applicable.

¹ Article 25.6 provides that a Member must also provide a nil notification if it considers that there are no measures in its territory that require notification.
Notifications Related to the Provisions of Article 27 Regarding Special and Differential Treatment of Developing Country Members

Article 27 of the Agreement contains a series of special and differential treatment provisions for developing Members. Among these provisions is Article 27.2(b), which established an eight-year period from the date of entry into force of the WTO Agreement for the phase out of export subsidies by those developing Members not covered by Annex VII of the Agreement. Article 27.4 establishes a mechanism pursuant to which this phase-out period can be extended under certain conditions. On 27 July 2007, the General Council adopted procedures regarding the continuation of previously-granted extensions for certain subsidy programmes.

Under Article 27.6, export competitiveness may be determined either on the basis of a notification by the developing Member at issue, or on the basis of a computation by the Secretariat conducted at the request of any Member.

Notifications under the Transitional Arrangements Set Out in Article 28.1(a)

Article 28.1(a) of the SCM Agreement requires the notification of subsidy programmes in existence before the date a Member signed the WTO Agreement, and which were inconsistent with the SCM Agreement. This provision is no longer applicable.

Notifications under the Transitional Arrangements Set Out in Article 29.3

Article 29.3 of the SCM Agreement requires the notification of certain subsidies granted by Members which were in a process of transformation from a centrally-planned economy into a market economy. This provision is no longer applicable.

WHICH MEMBERS MUST NOTIFY?

All WTO Members.

WHEN TO NOTIFY?

REGULAR NOTIFICATION REQUIREMENTS

Notification of subsidies

Article 25.1 of the SCM Agreement provides that, without prejudice to the provisions of Article XVI:1 of the GATT 1994, Members shall make their subsidy notifications not later than 30 June of each year. Pursuant to an understanding reached in the SCM Committee, however, Members should submit new and full notifications by 30 June of every second year (the odd-numbered years) and spend the intervening year reviewing other Members’ notifications.

Notification of Countervailing Measures

Article 25.11 of the SCM Agreement stipulates that Members shall submit, on a semi-annual basis, reports on any countervailing duty actions taken within the preceding six months.

For Members that do not have a competent authority to conduct and in order to relieve them from the obligation to submit semi-annual reports of countervailing actions, the Committee adopted a one-time notification format. A Member submitting this type of notification will not be expected to submit semi-annual reports of countervailing actions until such time as it sets up a competent authority and starts conducting investigations.

Notification of Countervailing Duty Legislation

Any modification to the laws, regulations or administrative procedures relevant to the Agreement and in the administration of such laws and regulations must be notified promptly.
Special Notification Requirements

Notifications Related to the Provisions of Article 27 Regarding Special and Differential Treatment of Developing Country Members

Article 27 of the Agreement contains a series of special and differential treatment provisions for developing Members. These procedures require annual updating notifications in respect of the programmes benefitting from extensions.

Article 27.5 of the SCM Agreement provides that a developing Member which reaches export competitiveness in a given product has to phase out its export subsidies for that product within two years. For Members in Annex VII who reach export competitiveness, this period is eight years.

Article 27.13 of the SCM Agreement exempts, for a limited period of time, certain subsidies granted in connection with privatization programmes provided certain conditions are met.

How to Notify?

Regular Notification Requirements

Notification of subsidies

In November 2003, the Committee adopted a questionnaire format for subsidy notifications (G/SCM/6/Rev.1).

Notification of Competent Authorities

This notification requirement can be fulfilled by providing to the Committee the name, address, telephone and fax numbers, and email address(es) of the investigating authority. There is no standard format.

Notification of Countervailing Duty Legislation

There is no standard format.

Special Notification Requirements

Notifications Related to the Provisions of Article 27 Regarding Special and Differential Treatment of Developing Country Members

Privatization programmes (Article 27.13) follows the format in G/SCM/15.

Export competitiveness (Articles 27.5 and 27.6) no standard format has been developed for such notifications, and to date no such notifications have been submitted.

Please see illustrative mock examples listing different situations and explaining when/how to notify depending on the situation.

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<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 25.1; GATT 1994, Article XVI:1.</td>
<td>Any subsidy as defined in ASCM Art.1:1 which is specific within the meaning of ASCM Art.2 as well as any other subsidy which causes increased exports or decreased imports within the meaning of GATT 1994, Article XVI:1.</td>
<td>All WTO Members</td>
<td>Regular – Biennial</td>
</tr>
</tbody>
</table>

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7 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 25.11 (Ad hoc).</td>
<td>Countervailing duty actions: (1) initiations, (2) preliminary determinations/provisional measures; (3) final determinations/definitive measures.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 25.11 (Semi-annual).</td>
<td>Countervailing duty actions (taken within the preceding 6 months).</td>
<td>All WTO Members</td>
<td>Regular – Semi-annual</td>
</tr>
</tbody>
</table>

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### Notification Obligations

<table>
<thead>
<tr>
<th>Number</th>
<th>Notification Requirements</th>
<th>Type of Measure</th>
<th>Members Notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To Whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>Article 25.12</td>
<td>Authorities competent to initiate and conduct countervailing duty investigations referred to in ASCM Art. 11 and domestic procedures governing the initiation and conduct of such investigations.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Once upon entry into force of the WTO Agreement for existing authorities and procedures; ad hoc as and when a Member establishes such authorities and procedures.</td>
<td>Yes</td>
<td>G/SCM/N/18</td>
<td>Committee on Subsidies and Countervailing Measures.</td>
</tr>
</tbody>
</table>

| 5.     | Article 25.11 and Article 25.12 | One-time nil notification of having no competent authority and never having taken any countervailing duty actions. | WTO Members with no competent authorities that have never taken countervailing actions. | One time | Once, on an ad hoc basis. Remains valid, with no further action needed, unless and until a competent authority is established and/or an action is taken. | Yes | G/SCM/129 | Committee on Subsidies and Countervailing Measures. |

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## PART 2

### LISTING OF THE NOTIFICATION OBLIGATIONS

#### NOTIFICATION OBLIGATIONS

<table>
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<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom?</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 27.13.</td>
<td>Debt relief (direct forgiveness of debt) and subsidies to cover social costs, in whatever form (including relinquishment of government revenue and other transfer of liabilities) when such subsidies are granted within and directly linked to a privatization programme of a developing country Member that results in eventual privatization.</td>
<td>WTO developing Members wishing to invoke the provisions of ASCM Art. 27.13.</td>
<td>Ad hoc</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6. **Agreement on Subsidies and Countervailing Measures, Article 27.13.**

Debt relief (direct forgiveness of debt) and subsidies to cover social costs, in whatever form (including relinquishment of government revenue and other transfer of liabilities) when such subsidies are granted within and directly linked to a privatization programme of a developing country Member that results in eventual privatization.

Members notifying:

- WTO developing Members wishing to invoke the provisions of ASCM Art. 27.13.

Periodicity:

- Ad hoc

Comments on Periodicity:

- | Yes |

Format:

- Format

To whom?

- Committee on Subsidies and Countervailing Measures.

Notification Symbol:

- G/SCM/N/*

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<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 32.6</td>
<td>Laws/regulations and changes thereto, including changes in the administration of such laws (concerning the languages of notification for Article 32.6, see document G/SCM/N/1).</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
</tbody>
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*All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.*
### Listing of Subsidies and Countervailing Measures SCm Notification Requirements

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<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 8.3 (Ad hoc).</td>
<td>Any subsidy programme for which the provisions of ASCM Art. 8.2 are invoked.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>In advance of implementation of a subsidy programme.</td>
<td>Yes</td>
<td>Committee on Subsidies and Countervailing Measures.</td>
<td></td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 8.3 (Annual).</td>
<td>Any subsidy programme for which the provisions of ASCM Art. 8.2 are invoked.</td>
<td>All WTO Members</td>
<td>Regular – Annual</td>
<td>Annual updates once initial notification is made.</td>
<td>Yes</td>
<td>Committee on Subsidies and Countervailing Measures.</td>
<td></td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 27.11.</td>
<td>Elimination of export subsidies.</td>
<td>WTO developing Members wishing to invoke the provisions of ASCM Art. 27.11.</td>
<td>Ad hoc</td>
<td>Yes</td>
<td>Committee on Subsidies and Countervailing Measures.</td>
<td>G/SCM/N/*</td>
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## Listing of the Notification Obligations

### Expired Notifications

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<td>Notification requirements</td>
<td>Type of measure</td>
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<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 28.1</td>
<td>Existing subsidy programmes inconsistent with the provisions of the ASCM.</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
<tr>
<td>Agreement on Subsidies and Countervailing Measures, Article 29.3</td>
<td>Existing subsidy programmes falling within the scope of ASCM Art. 3.</td>
<td>WTO Members in the process of transformation from a centrally planned to a market, free-enterprise economy wishing to invoke the provisions of ASCM Art. 29.2</td>
<td>One time</td>
</tr>
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The notification formats and requests pertaining to the notification provisions in effect can be accessed through the following links:

- Minimum information to be provided under Article 25.11 of the Agreement on Subsidies and Countervailing Measures in the reports on all preliminary or final countervailing actions [G/SCM/3/Rev.1](https://www.wto.org).  
- Format for semi-annual reports of countervailing duty actions pursuant to Article 25.11 of the Agreement on Subsidies and Countervailing Measures [G/SCM/2/Rev.1](https://www.wto.org).  
- Notification of laws and regulations under Article 32.6 of the Agreement on Subsidies and Countervailing Measures- Supplement [G/SCM/N/1/Suppl.1](https://www.wto.org).  
- Informal contact group on Anti-dumping Subsidies and Safeguards [PC/IPL/11](https://www.wto.org). Refer to Annex 7 (Semi-Annual Reports of Anti-Dumping and Countervailing Duty Actions).  
- Notification of Competent Authorities [G/SCM/N/18](https://www.wto.org).  
- Notification of Laws and Regulations under Article 32.6 Of the Agreement [G/SCM/N/1](https://www.wto.org).
LIST OF NOTIFICATION OBLIGATIONS

List of Notifications under Article 25.1
Notifications under Article 25.1.

List of Notifications under Article 25.11 (Ad hoc)
Notifications under Article 25.11.

List of Notifications under Article 25.11 (Regular-Semiannual)
Notifications under Article 25.11.

List of Notifications under Article 25.12
Notifications under Article 25.12.

List of Notifications under Article 27.13
Notifications under Article 27.13.

List of Notifications under Article 27.4 Part VIII
Notifications under Article 27.4 Part VIII.

List of Notifications under Article 32.6
Notifications under Article 32.6.

LIST OF EXPIRED NOTIFICATIONS

List of Notifications under Article 28.1
Notifications under Article 28.1.

List of Notifications under Article 29.3
Notifications under Article 29.3.

List of Notifications under Article 27.11
Notifications under Article 27.11.
Agreement on Subsidies and Countervailing Measures [LT/UR/A-1A/9].
DISCLAIMER

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This section of the Handbook on Notification Requirements covers the notification obligations under the **AGREEMENT ON SAFEGUARDS**. It consists of the following five parts:

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<th>PART 3</th>
<th>PART 4</th>
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<tr>
<td>OVERVIEW OF NOTIFICATION REQUIREMENTS</td>
<td>LISTING OF THE NOTIFICATION OBLIGATIONS</td>
<td>RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS</td>
<td>LIST OF NOTIFICATIONS SINCE 1995</td>
<td>TEXT OF THE AGREEMENT</td>
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</table>

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

- **Laws, regulations and administrative procedures** relating to safeguard ("SG") measures, as well as any modifications made to them, need to be notified. If a Member does not have any, it is enough to submit a one sentence notification to that effect.

- If a Member initiates any SG measure, various **actions** taken in the course of an investigation need to be notified.

WHICH MEMBERS MUST NOTIFY?

The obligations explained in this section applies to all relevant Members. See Part 2 to identify who the ‘relevant Members’ are.

WHEN TO NOTIFY?

Most notification requirements are ad hoc, meaning that they become due only when a specific action is taken by a Member. For more information on when to notify, refer to Part 2.

HOW TO NOTIFY?¹

The easiest way to notify is to send the notification in Word format by e-mail to the CRN (crn@wto.org). There is no need to send an official letter (e.g. paper letter with letterhead).

Please see **illustrative mock examples** listing different situations and explaining when/how to notify depending on the situation.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Agreement on Safeguards

#### Listing of the Notification Obligations

<table>
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<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format*</th>
<th>To whom*</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Article 9.1 and footnote 2</td>
<td>Non-application of safeguard measures against a product originating in a developing country Member for reasons specified in Article 9.1.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when a Member imposes a SG measure.</td>
<td>Yes (G/SG/1/Rev.1, item B)</td>
<td>Committee on Safeguards</td>
<td>G/SG/N/11/*</td>
</tr>
<tr>
<td>Article 12.1 (a) - Initiation.</td>
<td>Initiation of an investigation.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when a Member initiates a SG investigation. (Notification shall be made immediately).</td>
<td>Yes (G/SG/1/Rev.1, item A)</td>
<td>Committee on Safeguards</td>
<td>G/SG/N/6/*</td>
</tr>
<tr>
<td>Article 12.1 (b) - Finding of serious injury.</td>
<td>Making a finding of serious injury or threat thereof.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when a Member makes such a finding. (Notification shall be made immediately).</td>
<td>Yes (G/SG/1/Rev.1, item C)</td>
<td>Committee on Safeguards</td>
<td>G/SG/N/8/*</td>
</tr>
</tbody>
</table>

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2. Note that the Committee agreed on a format for certain notifications that are not obligations as such. See document G/SG/2 and items F and G in document G/SG/1/Rev.1.

3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

### Agreement on Safeguards, Article 12.1 (c)- Imposition.

- **Notification requirements**: Taking a decision to apply or extend a safeguard measure.
- **Members notifying**: All WTO Members
- **Periodicity**: Ad hoc
- **Comments on Periodicity**: If and when a Member decides to impose or extend a measure. (Notification shall be made immediately).
- **Format**: Yes (G/SG/1/Rev.1, item C)
- **To whom**: Committee on Safeguards
- **Notification Symbol**: G/SG/N/10/*

### Agreement on Safeguards, Article 12.4- Provisional Measure.

- **Notification requirements**: Before taking a provisional measure.
- **Members notifying**: All WTO Members
- **Periodicity**: Ad hoc
- **Comments on Periodicity**: In advance of the application of the measure.
- **Format**: Yes (G/SG/1/Rev.1, item D)
- **To whom**: Committee on Safeguards
- **Notification Symbol**: G/SG/N/7/*

### Agreement on Safeguards, Article 12.5- Results of consultations.

- **Notification requirements**: Results of consultations.
- **Members notifying**: All WTO Members
- **Periodicity**: Ad hoc
- **Comments on Periodicity**: If and when a Member held consultations pursuant to Articles 12.3 and 12.4.
- **Format**: Yes (G/SG/1/Rev.1, item E(a))
- **To whom**: Council for Trade in Goods (through Committee on Safeguards - See Article 12.10)
- **Notification Symbol**: G/L/*, G/SG/N/*

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2 Note that the Committee agreed on a format for certain notifications that are not obligations as such. See document G/SG/2 and items F and G in document G/SG/1/Rev.1.

3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/26/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format 2</th>
<th>To whom 3</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Safeguards, Article 12.5 - Mid-term review</td>
<td>Mid-term review.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when a Member conducted a review pursuant to Article 7.4.</td>
<td>Yes (G/SG/1/Rev.1, item E(b))</td>
<td>Council for Trade in Goods (through Committee on Safeguards - See Article 12.10).</td>
<td>G/L/<em>, G/SG/N/</em></td>
</tr>
<tr>
<td>Agreement on Safeguards, Article 12.5 - Compensation.</td>
<td>Compensation referred to in Article 8.1.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when a compensation referred to in Article 8.1 was provided.</td>
<td>Yes (G/SG/1/Rev.1, item E(c))</td>
<td>Council for Trade in Goods (through Committee on Safeguards - See Article 12.10).</td>
<td>G/L/<em>, G/SG/N/</em></td>
</tr>
<tr>
<td>Agreement on Safeguards, Article 12.5 - Proposed suspension of concessions.</td>
<td>Proposed suspensions of concessions and other obligations referred to in Article 8.2.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>If and when an exporting Member proposes suspensions of concessions and other obligations referred to in Article 8.2.</td>
<td>Yes (G/SG/1/Rev.1, item E(d))</td>
<td>Council for Trade in Goods (through Committee on Safeguards - See Article 12.10).</td>
<td>G/L/<em>, G/SG/N/</em></td>
</tr>
</tbody>
</table>

2 Note that the Committee agreed on a format for certain notifications that are not obligations as such. See document G/SG/2 and items F and G in document G/SG/1/Rev.1.

3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/26/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Safeguards, Article 12.6.</td>
<td>Laws, regulations and administrative procedures relating to SG measures (A “nil” notification if there is no such Laws, regulations or administrative procedures.)</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
</tbody>
</table>

² Note that the Committee agreed on a format for certain notifications that are not obligations as such. See document G/SG/2 and items F and G in document G/SG/1/Rev.1.
³ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
⁴ Members that do not have such laws, regulations or administrative procedures should submit a “nil” notification. (See G/SG/N/1 paragraph 2.)
Notification of laws and regulations under Article 12.6 of the Agreement G/SG/N/1.

Formats for notification of certain actions under the Agreement on Safeguards G/SG/1/Rev.1 and G/SG/2.
NOTIFICATIONS UNDER ARTICLE 9.1 AND FOOTNOTE 2
Search documents with the symbol G/SG/N/11/**.

NOTIFICATIONS UNDER ARTICLE 12.1 (a), (b), (c)
Initiation: Search documents with the symbol G/SG/N/6/**.
Finding of serious injury: Search documents with the symbol G/SG/N/8/**.
Imposition of a final measure: Search documents with the symbol G/SG/N/10/**.

NOTIFICATIONS UNDER ARTICLE 12.4
Search documents with the symbol G/SG/N/7/**.

NOTIFICATIONS UNDER ARTICLE 12.5
Search documents with the symbol G/L/**.

NOTIFICATIONS UNDER ARTICLE 12.6
Search documents with the symbol G/SG/N/1/**.
Agreement on Safeguards LT/UR/A-1A/8.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the **AGREEMENT ON THE APPLICATION OF SANITARY AND PHYTOSANITARY MEASURES**. It consists of the following five parts:

**PART 1**
OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
LIST OF NOTIFICATIONS SINCE 1995

**PART 5**
TEXT OF THE AGREEMENT

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
The Sanitary and Phytosanitary (SPS) Agreement applies to all SPS measures which may affect international trade. Sanitary and phytosanitary measures are defined in Annex A as any measure applied:

<table>
<thead>
<tr>
<th>TO PROTECT</th>
<th>FROM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human or animal life</td>
<td>Risks arising from additives, contaminants, toxins or disease-causing organisms in their food</td>
</tr>
<tr>
<td>Human life</td>
<td>Plant- or animal-carried diseases (zoonoses)</td>
</tr>
<tr>
<td>Animal or plant life</td>
<td>Pests, diseases, or disease-causing organisms</td>
</tr>
<tr>
<td>A country</td>
<td>Damage caused by the entry, establishment or spread of pests</td>
</tr>
</tbody>
</table>

WHAT MUST BE NOTIFIED?

Under the SPS Agreement, the foundation of transparency rests on notifications. Members shall notify proposed SPS regulations (such as laws, decrees or ordinances which are applicable generally), or changes to regulations, which are not the same as an international standard and have a significant effect on trade. However, the SPS Committee encourages Members to notify draft regulations based on the relevant international standard as well.

1 Note that SPS measures in force before 1 January 1995 do not have to be notified (but subsequent changes to these measures do have to be notified). However, Members should be able to answer questions about such measures should they be requested to do so by other Members through their Enquiry Points.

2 Transparency obligations are contained in Article 7 and Annex B of the SPS Agreement. Annex B of the SPS Agreement requires that Members notify measures whose content is not substantially the same as that of an international standard, guideline or recommendation, and when the measure may have a significant effect on trade. However, the Recommended Procedures for Implementing the Transparency Provisions of the SPS Agreement, adopted by the SPS Committee in 2008, and updated in 2018 (G/SPS/7/Rev.4), recommend that Members also notify measures which are based on the relevant international standards, and provide a broad interpretation of effects on trade.

Transparency under the SPS Agreement also involves the publication of regulations, the establishment of a National Enquiry Point (NEP) able to answer reasonable questions from other Members, and the identification of a single central government authority, the National Notification Authority (NNA), to be responsible for the notification requirements of the SPS Agreement. The SPS Committee encourages Members to publish SPS regulations on the Internet where possible.

Regular notifications

Except in urgent circumstances, WTO Members have the obligation to notify other Members of proposed changes in SPS regulations if these regulations might have an effect on the trade of other Members. Members must notify such new or changed regulations at an early stage, allow other Members to comment on the proposed text, discuss such comments on request, and take the comments and discussions into account in finalizing the regulation. The SPS Committee encourages Members to make such notifications, when a draft with the complete text of a proposed regulation is available.

For proposed SPS measures which facilitate trade and those which are substantially the same as an international standard, guideline or recommendation, WTO Members may reduce or eliminate the period for receiving comments. While there is no WTO definition of "trade facilitating measures", the Committee’s recommended procedures provide examples of trade facilitating measures, such as the raising of the level of maximum residue limits of certain pesticides in certain products, the lifting of a ban on imports, or the simplification or elimination of certain certification/approval procedures. It is important to note that what might be trade facilitating for one WTO Member might still be of concern to, and warrant comment from, other Members.

Emergency notifications

The routine consultation process can be restricted or eliminated in genuine emergencies, which the SPS Agreement (Annex B, paragraph 6) defines as cases "where urgent problems of health protection arise or threaten to arise" for the WTO Member implementing the measure.

3 See footnote 5 in G/SPS/7/Rev.4.
Addenda, revisions, and corrigenda

In addition to their original notifications, Members can also provide supplementary information in three different forms:

- An addendum is used to provide additional information or changes to an original notification. A Member may wish to indicate if the comment period has been extended or when a proposed regulation is either adopted, published or comes into force, if the relevant dates were not provided in the original notification or did change;

- A corrigendum is used to correct an error in an original notification such as an incorrect address detail; or

- A revision is used to replace an existing notification.

Any addendum or corrigendum should be read in conjunction with the original notification.

Information on the completion of the above notification formats, as well as other recommended notification formats can be found in the Practical Manual for SPS National Notification Authorities and SPS National Enquiry Points – 2018 Edition and in the Recommended Procedures for Implementing the Transparency Obligations of the SPS Agreement, G/SPS/7/Rev.4.

WHICH MEMBERS MUST NOTIFY?

Under the SPS Agreement, each WTO Member has obligations relating to “transparency”.

WHEN TO NOTIFY?

Regular notifications

The WTO SPS notification procedures require that measures be notified “well before the entry into force of the relevant measure”. The procedures recommend that a normal time period of at least 60 days for comments on notifications be allowed before a measure is finalized for adoption. Any Member which is able to provide a time limit beyond 60 days is encouraged to do so.

Emergency notifications

Emergency measures may be notified either before or immediately after they come into effect, with an explanation of the reasons for resorting to emergency action.

Timeline for SPS notifications (60-day notification)

- Drafting of the regulation
- Publication of the regulation
- Adoption of the regulation
- Entry into force of the regulation
- Notification to other Members
- End of comment period
- Draft text upon request (or website)
- Receive and discuss comments

Minimum 60 days

Minimum 6 months
HOW TO NOTIFY?¹

Regular notifications formats can be found here.
Emergency notifications formats can be found here.
All other notification formats can be downloaded from the SPS Members’ transparency toolkit webpage.

The SPS Notification Submission System (SPS NSS) is an online platform where WTO Members can directly complete and submit notifications. Submission through the SPS NSS allows for notifications to be processed more accurately and efficiently by both Members and the WTO Secretariat, making notifications accessible to Members more quickly.

The WTO Secretariat has developed a Practical Manual for SPS National Notification Authorities and SPS National Enquiry Points – 2018 Edition. The manual is meant as a practical guide for Members to facilitate the implementation of the transparency provisions of the SPS Agreement. In particular, it focuses on navigating the SPS NSS interface to complete and submit SPS notifications. It is complementary to the guidance contained in this manual related to notifications.

Any questions regarding the SPS NSS can be sent to the WTO Secretariat at spscommittee@wto.org.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. SPS notifications may be submitted through online submission systems or as electronic attachments to emails. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

### WHAT MUST BE NOTIFIED?
- Notification requirements
- Type of measure

### WHICH MEMBERS MUST NOTIFY?
- Members notifying

### WHEN TO NOTIFY?
- Periodicity
- Comments on Periodicity

### HOW TO NOTIFY?
- Format
- To whom
- Notification Symbol

### 1. Publication of Sanitary and Phytosanitary regulations Annex B, paragraphs 1 and 2.
- Sanitary/Phytosanitary regulations.
- All WTO Members
- Ad hoc
- Promptly.
- National publication requirements
- –
- No specific symbol

- Sanitary/Phytosanitary regular draft SPS regulation (whenever an international standard, guideline or recommendation does not exist, or the content of a proposed SPS regulation is different from international standards, and if the regulation may have a significant effect on trade of other Members).
- All WTO Members
- Ad hoc
- At an early stage, well before the entry into force of the relevant measure, when amendments can still be introduced, and comments be taken into account.
- Yes [SPS Regular Notification template](#)
- WTO Secretariat
- G/SPS/N/*

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5 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/256/Rev.2. SPS notifications may be submitted through online submission systems or as electronic attachments to emails. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Listing of the Notification Obligations

#### Part 2

**What must be notified?**

**Notification requirements** | **Type of measure** | **Members notifying** | **Periodicity** | **Comments on Periodicity** | **Format** | **To whom** | **Notification Symbol**
--- | --- | --- | --- | --- | --- | --- | ---
3. Notification of emergency Sanitary and Phytosanitary regulations
   - Emergency actions sanitary/phytosanitary regulations.
   - All WTO Members
   - Ad hoc
   - Immediately.
   - Yes
   - (SPS Emergency Notification template)
   - WTO Secretariat
   - G/SPS/N/*

   - When a Member’s National Enquiry Point has been designated, or changed, the WTO Secretariat should be informed of the contact details. Each Member shall ensure that one National Enquiry Point exist, which is responsible for the provision of answers to all reasonable questions as well as the provision of relevant documents.
   - All WTO Members
   - One time
   - As appropriate, (subject to up-dates).
   - No
   - (No specific format - could be done via e-mail to spscommittee@wto.org)
   - WTO Secretariat
   - No specific symbol

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5 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document <WT/INF25/Rev.2>, SPS notifications may be submitted through online submission systems or as electronic attachments to emails. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### PART 2
### LISTING OF THE NOTIFICATION OBLIGATIONS

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Notification of National Notification Authority, Annex B, paragraph 10.</td>
<td>When a Member’s National Notification Authority has been designated, or changed, the WTO Secretariat should be informed of the contact details. Each Member shall designate a single central government authority as responsible for the national implementation of the provisions concerning notification procedures.</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
</tbody>
</table>

5. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/255/Rev.2. SPS notifications may be submitted through online submission systems or as electronic attachments to emails. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### ADDENDUM: LISTING OF NOTIFICATION RECOMMENDATIONS

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<th>RECOMMENDED NOTIFICATIONS</th>
<th>OBJECTIVE</th>
<th>PERIODICITY</th>
<th>FORMAT</th>
<th>GUIDANCE</th>
<th>NOTIFICATION SYMBOL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification of determination of equivalence of SPS measures G/SPS/19/Rev.2.</td>
<td>Recommendation to notify other Members, through the WTO Secretariat, of the measure(s) recognized to be equivalent and of the products affected by the recognition, in case a Member has made a determination recognizing the equivalence of sanitary or phytosanitary measures of another Member.</td>
<td>Ad-hoc</td>
<td>Determination of the Recognition of Equivalence notification template.</td>
<td>G/SPS/19/Rev.2, G/SPS/7/Rev.4</td>
<td>G/SPS/N/EQV/*</td>
</tr>
<tr>
<td>Information on requests for determination on the recognition of pest- or disease-free areas or areas of low pest or disease prevalence G/SPS/48.</td>
<td>Recommendation to inform the SPS Committee when (a) a request for recognition of pest- or disease-free area or area of low pest or disease prevalence is made, and/or when (b) a determination on whether to recognize a pest- or disease-free area or area of low pest or disease prevalence is made.</td>
<td>Ad-hoc</td>
<td>No specific format - could be done at the appropriate agenda item at SPS Committee meetings.</td>
<td>G/SPS/48</td>
<td>No specific symbol</td>
</tr>
<tr>
<td>Information on provision of special and differential treatment G/SPS/33/Rev.1.</td>
<td>Recommendation to inform the SPS Committee when an importing Member decides on whether and how special and differential treatment may be provided in response to a specific request. Should be done as addendum to the original notification concerning the measure, indicating (a) the names of the Members that requested special and differential treatment; (b) if special and differential treatment was provided and the form of such treatment; and (c) if not provided, indicate why not.</td>
<td>Ad-hoc</td>
<td>Addendum to the original notification concerning the measure Addendum to Regular Notification.</td>
<td>G/SPS/33/Rev.1, G/SPS/7/Rev.4</td>
<td>G/SPS/N/*</td>
</tr>
<tr>
<td>Submission of unofficial translations of a document relating to a notification G/SPS/7/Rev.4.</td>
<td>Recommendation to inform the notifying Member of the existence of an unofficial translation of a document relating to a notification and to submit to the WTO Secretariat a supplement to the original notification submitted by a Member in case another Member possesses an unofficial translation.</td>
<td>Ad-hoc</td>
<td>Availability of Translations notification supplement template.</td>
<td>G/SPS/7/Rev.4</td>
<td>G/SPS/N/*</td>
</tr>
</tbody>
</table>

6 These recommended notifications are adopted recommendations by the SPS Committee and are without prejudice to the position of Members or to their rights and obligations under the WTO.
TRANSPARENCY RESOURCES

Committee on Sanitary and Phytosanitary Measures -Recommended Procedures for Implementing the Transparency Obligations of the SPS Agreement, G/SPS/7/Rev.4.


SPS Members' transparency toolkit: This webpage accessible from the SPS Gateway contains information on notification obligations, formats to be used, the decisions and recommendations adopted by the SPS Committee since 1 January 1995, handbooks, step-by-step manuals, links to Members' SPS websites and other aids for Members' transparency work in SPS.

SPS Information Management System (SPS IMS): The SPS IMS is a specialized and detailed information source on SPS notifications, Specific Trade Concerns (STCs), Member’s National Notification Authorities and Enquiry Points contact information, and other SPS documents.

SPS Notification Submission System (SPS NSS): The SPS NSS is a password protected online platform, where Members can directly complete and submit notifications. For further details and to request access credentials, send an email to spscommittee@wto.org.
LIST OF NOTIFICATIONS UNDER ARTICLE 7 AND ANNEX B OF THE SPS AGREEMENT

All SPS notifications can be found in the SPS Information Management System (SPS IMS).
Agreement on the Application of Sanitary and Phytosanitary Measures LT/UR/A-1A/12.
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.

TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS


REVISED 1 NOVEMBER 2021
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

Members are to notify all state trading enterprises in accordance with the definition provided in paragraph 1 of the WTO Understanding on Article XVII. Enterprises of the kind described in paragraph 1 cover governmental and non-governmental enterprises, including marketing boards, which have been granted exclusive or special rights or privileges, in the exercise of which they influence through their purchases or sales the level or direction of imports or exports.

WHICH MEMBERS MUST NOTIFY?

The notification requirement under Article XVII applies to all Members, whether or not a Member maintains state trading enterprises in accordance with the definition provided in paragraph 1 of the WTO Understanding on Article XVII, and whether or not any state trading enterprises have engaged in trade during the period under review.

WHEN TO NOTIFY?

A call for notifications is issued every two years by a proposed deadline (normally 30 June of that year). For acceding countries, the deadlines for the submission of their notifications will be governed by their respective Protocols of Accession.

HOW TO NOTIFY?\(^1\)

Notifications should be made to the Working Party on State Trading Enterprises in accordance with the decision adopted by that Working Party (G/STR/3/Rev.1). Notifications should enable a clear understanding of the manner of operation of the enterprises notified and the effect of their operations on international trade.

Members may find it useful to consult the Illustrative List of relationships between governments and state trading enterprises and the kinds of activities engaged in by these enterprises (G/STR/4) in preparing their notifications. The Illustrative List does not represent a definition of what constitutes a state trading enterprise but reflects the past practice of individual Members.

\(^1\) All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

- State Trading activities.

### WHICH MEMBERS MUST NOTIFY?

- All WTO Members

### WHEN TO NOTIFY?

- Regular – Biennial

### HOW TO NOTIFY?

- Format: Yes (G/STR/3/Rev.1)
- To whom: Council for Trade in Goods

### Notification Symbol

- G/STR/N/*

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**Table:**

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Trading GATT 1994, Article XVII:4(a) and Understanding on the Interpretation of Article XVII of GATT 1994 paragraph 1 (Biennial).</td>
<td>State Trading activities.</td>
<td>All WTO Members</td>
<td>Regular – Biennial</td>
<td>The deadline for notifications is normally 30 June of the year in which the notification is due.</td>
<td>Yes (G/STR/3/Rev.1)</td>
<td>Council for Trade in Goods</td>
<td>G/STR/N/*</td>
</tr>
</tbody>
</table>
LIST OF NOTIFICATIONS UNDER ARTICLE XVII: 4(a) OF GATT 1994

Notifications under Article XVII: 4 (a).

Further information on the status of state trading notifications since 1995 is set out in document G/STR/20.

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The WTO Agreement on Technical Barriers to Trade seeks to ensure that technical regulations, standards and conformity assessment procedures do not create unnecessary obstacles to trade. Transparency through specific notifications obligations is one of the principles under the Agreement to minimize trade barriers. WTO Members are subject to different kinds of notifications requirements:

Technical Regulations (Article 2.9.2) and Urgent Technical Regulations (Article 2.10.1); Conformity Assessment Procedures (Article 5.6.2) and Urgent Conformity Assessment Procedures (Article 5.7.1)

The notification process ordinarily begins by identifying those measures that should be notified to the WTO. Figure 1 illustrates whether to notify technical regulations and conformity assessment procedures in line with Articles 2.9 and 5.6 of the TBT Agreement.

Over the years, the TBT Committee has adopted a series of recommendations related to the implementation of notification obligations contained in the TBT Agreement. These can be found under the transparency chapter of G/TBT/1 (see latest Revision) and are also explained in the TBT Enquiry Point Guide.

Statement of Implementation

Article 15.2 of the TBT Agreement commits Members to submit a Statement of Implementation on the measures in existence or taken to ensure the implementation and administration of the Agreement, including the provisions on transparency. This one-time notification requirement should include information covering legislative, regulatory and administrative action taken so as to ensure that the provisions of the Agreement are applied. If the Agreement itself has been incorporated into domestic law, the statement should indicate how this has been done. The statement should also indicate the entities designated as the Enquiry Point(s) (Article 10.1-3) and the Notification Authority (Article 10.10) for that Member.

Agreements with other Members

Article 10.7 Members may reach agreement with other countries on issues related to technical regulations, standards or conformity assessment procedures. These can include mutual recognition agreements, equivalence agreements and other types of regulatory co-operation mechanisms. These agreements, if they may have a significant effect on trade, should be notified, through the Secretariat, by one of the Members party to the agreement, indicating the products to be covered and a brief description of the agreement.

Notifications under Paragraph C and Paragraph J of the Code of Good Practice on the Preparation, Adoption and Application of Standards (Annex 3 to the Agreement)

The TBT Agreement’s “Code”, provides, among others (and through Article 4 of the Agreement), that Members shall ensure that their central government standardizing bodies accept and comply with the Code. Also, Members need to take such reasonable measures as may be available to them to ensure that local government and non-governmental standardizing bodies within their territories, as well as regional standardizing bodies, of which they or one or more bodies within their territories are Members, accept and comply with the Code.

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1 The WTO TBT Enquiry Point Guide provides a consolidated and comprehensive list of transparency obligations and recommendations related to the implementation of the TBT Agreement.
Standardizing bodies that have accepted or withdrawn from the Code (Annex 3) must notify this fact to the ISO via email tbtcode@iso.org. Those bodies that have accepted the Code are required to publish a work programme every six months, and its existence must also be notified through the same email address.

**WHICH MEMBERS MUST NOTIFY?**

All WTO Members.

**WHEN TO NOTIFY?**

Technical Regulations and Conformity Assessment Procedures
At an early appropriate stage when amendments can still be introduced, and comments taken into account. Figure 2 below indicates the lifecycle of a measure.

*Figure 2: The lifecycle of a measure*

<table>
<thead>
<tr>
<th>Min. 60 days</th>
<th>Min. 60 months</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Measure is proposed (Art. 2.9, 5.6)</td>
<td>8. Publication of the measure (Art. 2.11, 5.8)</td>
</tr>
<tr>
<td>2. Notice in publication (Art. 2.9, 5.6.1)</td>
<td>9. Entry into force of the measure (Art. 2.12, 5.9)</td>
</tr>
<tr>
<td>3. Notification to other Members (Art. 2.9.2, 5.6.2)</td>
<td>Exceptions for urgent reasons… (Art. 2.10, 5.7)</td>
</tr>
<tr>
<td>4. Provision of copies (Art.2.9.3, 5.6.3)</td>
<td></td>
</tr>
<tr>
<td>5. Discussion of the comments (Art. 2.9.4, 5.6.4)</td>
<td>Reasonable interval</td>
</tr>
<tr>
<td>6. End of comment period</td>
<td>Reasonable time</td>
</tr>
<tr>
<td>7. Adoption of the measure</td>
<td></td>
</tr>
</tbody>
</table>

** Exceptions for urgent reasons…(Art. 2.10, 5.7)**

**Statement of Implementation**

**Article 15.2** Upon accession to the WTO. Revisions submitted as necessary when there are relevant changes in the regulatory process.

**Agreements with other Members**

**Article 10.7** When a Member has reached agreement with another Member on issues related to technical regulations, standards or conformity assessment procedures.

**Acceptance of the Code of Good Practice**

Upon acceptance of the code.

**Notification of work programmes**

Every six months. Alternatively, the website address where work programmes are regularly made available should be provided.

**HOW TO NOTIFY?**

Technical Regulations and Conformity Assessment Procedures
The TBT Committee has adopted Guidelines for Notification Procedures for Draft Technical Regulations and Conformity Assessment Procedures as well as notification formats G/TBT/1/Rev.14, page 65.

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. TBT notifications may be submitted through online submission systems or as electronic attachments to emails. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
These notifications should be sent through the WTO TBT Notification Submission System (NSS), a facility that has been developed by the WTO Secretariat for Members. The system enables the authority responsible for notifications (in most instances the enquiry point) to create an online draft notification which can be shared among and edited by all those involved prior to the submission of the notification to the WTO. The system allows those directly involved in drafting the measure to prepare the notification efficiently. While the enquiry point (for example) can edit and submit notifications, the secondary account (on the NSS) can be used by other ministries or agencies to review and edit the notification prior to its submission to the WTO. Once ready, the NSS delivers the notification to the WTO Central Registry of Notifications (CRN) which, within two days (on average), circulates the notification to all WTO Members. Enquiry points can contact the WTO Secretariat to receive their own account details (tbtnss@wto.org). Alternatively, notifications can be sent by e-mail to the WTO CRN (crn@wto.org). However, the processing time for notifications submitted by email is significantly longer. The formats for the notifications can be found on the TBT Transparency Toolkit. Existing notifications can be consulted on the TBT IMS under ‘Search / notifications’.

Statements on Implementation

**Article 15.2** All Article 15.2 statements (new and updates) should be submitted to the WTO Central Registry of Notifications (crn@wto.org). There is no specific format. Existing statements can be consulted on the TBT Information Management System (TBT IMS) under the heading search / statements of implementation.

**Agreements with other Members**

**Article 10.7** All notifications under Article 10.7 should be submitted to the WTO Central Registry of Notifications (crn@wto.org). The formats for the notifications can be found on the TBT Transparency Toolkit. These notifications can be consulted on the TBT Information Management System (TBT IMS) under the heading ‘Agreements between Members’.

Notifications under Paragraph C and Paragraph J of the Code of Good Practice on the Preparation, Adoption and Application of Standards (Annex 3 to the Agreement)

Standards-related notifications need to be submitted to the ISO via email tbtcode@iso.org. The WTO ISO Standards Information Gateway contains the full list of standardizing bodies that have accepted the Code as well as information on their work programmes. The notification formats for acceptance (Form A), withdrawal (Form B) and work programmes (Form C) can also be downloaded through the Gateway. Acceptance and withdrawal notifications are subsequently circulated by the WTO Secretariat. These notifications can be consulted on the TBT IMS under the heading ‘Standards related notifications’.

Tracking notifications of technical regulations and conformity assessment procedures

Given the high volume of notification circulated, it can be a challenge for Members and other interested parties to track and react to incoming notifications in a timely manner. To address this issue, the WTO Secretariat joined forces with the United Nations Department of Economic and Social Affairs (UNDESA) and the International Trade Centre (ITC) and launched ePing, the publicly available SPS/TBT notification alert system, in November 2016. By registering on ePing, users can receive daily or weekly email alerts containing SPS/TBT notifications covering products/markets of interest to them. To receive alerts and access all functionalities, users can register here. In addition, interested SPS and TBT enquiry points/notification authorities can request administrator rights to access the enhanced features of the Enquiry Point Management tool by sending an email to sptbtaalerts@wto.org.
## WHAT MUST BE NOTIFIED?
- Technical regulations
- Conformity assessment procedures

## WHICH MEMBERS MUST NOTIFY?
- All WTO Members

## WHEN TO NOTIFY?
- Ad hoc

## HOW TO NOTIFY?
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 1. Agreement on Technical Barriers to Trade, Article 2.9.
- Technical regulations.
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 2. Agreement on Technical Barriers to Trade, Article 2.10.
- Technical regulations (urgent).
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 3. Agreement on Technical Barriers to Trade, Article 3.2.
- Technical regulations - local government (urgent or non-urgent).
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 4. Agreement on Technical Barriers to Trade, Article 5.6.
- Conformity assessment procedures.
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 5. Agreement on Technical Barriers to Trade, Article 5.7.
- Conformity assessment procedures (urgent).
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

### 6. Agreement on Technical Barriers to Trade, Article 7.2.
- Conformity assessment Procedures -local Government (urgent or non-urgent).
- Yes (Submissions of notifications)
- WTO Secretariat
- G/TBT/N/*

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## WHAT MUST BE NOTIFIED?

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<th>Notification requirements</th>
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<th>Members notifying</th>
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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Technical Barriers to Trade, Article 10.7.</td>
<td>Bilateral agreements; technical regulations; conformity assessment procedures; standards.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td></td>
<td>Yes (<a href="#">Submissions of notifications</a>)</td>
<td>WTO Secretariat</td>
<td>G/TBT/10.7/N/*</td>
</tr>
<tr>
<td>Agreement on Technical Barriers to Trade, Article 15.2.</td>
<td>Administrative arrangements; laws/regulations measure in existence or taken to ensure the implementation and administration of the TBT Agreement.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Upon entry into force of the WTO Agreement. Subsequent revisions as necessary.</td>
<td>No (There is no specific format. Examples are available on <a href="#">TBT IMS</a>)</td>
<td>Committee on Technical Barriers to Trade</td>
<td>G/TBT/2/*</td>
</tr>
<tr>
<td>Agreement on Technical Barriers to Trade, Annex 3, paragraph C.</td>
<td>Acceptance of/ withdrawal from a code (Code of Good Practice for the Preparation, Adoption and Application of Standards).</td>
<td>Standardizing Bodies accepting the Code/ withdrawing from the code.</td>
<td>One time</td>
<td></td>
<td>Yes (Acceptance <a href="#">Form A</a>) Withdrawal (<a href="#">Form B</a>)</td>
<td>WTO ISO Standards Information Gateway</td>
<td>G/TBT/CS/N/*</td>
</tr>
</tbody>
</table>

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](#). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
# Listing of the Notification Obligations

## Part 2

### Technical Barriers to Trade

#### Technical Cooperation Handbook on Notification Requirements

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### Table: Notification Requirements

<table>
<thead>
<tr>
<th>Notification requirements</th>
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<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Technical Barriers to Trade, Annex 3 paragraph J.</td>
<td>Work programmes on standardization activities.</td>
<td>Standardizing Bodies accepting the Code.</td>
<td>Regular – Semi-annual</td>
<td>Every 6 months. Alternatively, a direct link to a website address where work programmes are published regularly can be provided.</td>
<td>Yes (Form C WTO ISO Standards Information Gateway)</td>
<td>WTO ISO Standards Information Gateway</td>
<td></td>
</tr>
</tbody>
</table>

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Recommendation of the TBT Committee on Coherent Use of Notification Formats G/TBT/35/Rev.1.

Decisions and recommendations adopted by the Committee since 1 January 1995 G/TBT/1/Rev.14 (or latest Revision), Chapter 6.3.

TRANSPARENCY RESOURCES

**WTO TBT Enquiry Point Guide - Making transparency work:** Guide designed for training and capacity-building purposes and developed in response to a request by the Committee on Technical Barriers to Trade (the “TBT Committee”), at the end of 2015, that the WTO Secretariat prepare a guide on best practices for enquiry points.

**WTO Members’ transparency toolkit:** The TBT webpage containing information on notification obligations, formats to be used, decisions and recommendations adopted by the TBT Committee since 1 January 1995, handbooks, step-by-step manuals, links to Members’ TBT Enquiry Points websites, and other aids for Members’ transparency work in TBT.

**WTO Agreement Series – The TBT Agreement:** The 2021 updated and revised edition includes an overview of the TBT Agreement, work of the TBT Committee, disputes invoking provisions of the Agreement, frequently asked questions, the full legal text of the Agreement, as well as the decisions and recommendations adopted by the TBT Committee since 1 January 1995.

**TBT Information Management System:** The database containing all TBT notifications from Members, standards-related information, all specific trade concerns raised in the TBT Committee, contact details of Members Enquiry Points, and other TBT related documents.

**TBT Notification Submission System:** The TBT NSS is a password-protected online notification system allowing Members to complete and submit notifications using a simple to use platform. For further details and to request access send an email to tbt@wto.org.

**ISO WTO Standards Information Gateway:** The WTO-ISO Standards Information Gateway contains the full list of standardizing bodies that have accepted the Code as well as information on their work programmes.

**ePing:** The SPS/TBT export alert system allows stakeholders to keep track of product requirements in foreign markets. This includes a specific feature which enables enquiry points to manage national subscribers, send emails and activate a discussion forum on notifications within their country.
TBT INFORMATION MANAGEMENT SYSTEM

To find a list of notifications on TBT go to the TBT IMS. This is a comprehensive database allowing users to search all TBT notifications and Specific Trade Concerns raised in the TBT Committee (STCs). Users can also browse information on TBT Enquiry Points, Statements on Implementation, Agreements between Members and other TBT-related documents.
Agreement on Technical Barriers to Trade LT/UR/A-1A/10.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The TFA provides for three main types of notifications (with only one of them applying to all Members):

1. Implementation-related notifications (otherwise known as “ABC notifications”). These notifications are governed by section II of the TFA, especially Articles 15 and 16.
2. Transparency notifications (set out by Articles 1.4, 10.4.3, 10.6.2 and 12.2.2 of the TFA).
3. Notifications related to technical assistance and support for capacity building (Articles 22.1, 22.2 and 22.3 of the TFA).

WHICH MEMBERS MUST NOTIFY?

The first type (implementation) applies to all developing and least-developed Members that chose to use the flexibilities set out in section II of the TFA.

The second type (transparency) applies to all WTO Members.

As far as the third type is concerned, Article 22.1 and 22.2 applies to “Donor Members”. Article 22.3 applies to developing and least-developed countries that chose to use the flexibilities set out in section II of the TFA.

WHEN TO NOTIFY?

For reference on when to notify, please refer to the TFA Database.

HOW TO NOTIFY?¹

For information on how to notify, see TFA Notification Requirements.

¹ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

<table>
<thead>
<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trade Facilitation Agreement, Article 1.4: Import, export and transit procedures.</td>
<td>Notify the official place(s) for items listed in Art. 1.1.1, URLs for websites in Art. 1.2.1, contact information for enquiry points in 1.3.1.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Plus, subsequent updates in case of changes.</td>
<td>No (There is no formal template, but informal model and guidance).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 10.4.3: Single window.</td>
<td>Notify details of the operation of the single window.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Plus, subsequent updates in case of changes.</td>
<td>No (There is no formal template, but informal model and guidance).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 10.6.2: Customs brokers.</td>
<td>Notify measures on the use of customs brokers.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Plus, subsequent updates in case of changes.</td>
<td>No (There is no formal template, but informal model and guidance).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 12.2.2: Contact points.</td>
<td>Notify contact point for the exchange of information, where there are doubts about the accuracy of the information provided in an import/export declaration.</td>
<td>All WTO Members</td>
<td>One time</td>
<td>Plus, subsequent updates in case of changes.</td>
<td>No (There is no formal template, but informal model and guidance).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
</tr>
</tbody>
</table>

All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

---

**Note:**

- All WTO Members refers to all members of the World Trade Organization.
- One time notifications mean the notification is submitted only once.
- Plus, subsequent updates in case of changes refer to any changes made to the initial notification.
- No (template) indicates that there is no formal template, but informal model and guidance are provided.
- Committee on Trade Facilitation is the body responsible for handling trade facilitation agreements.
- G/TFA/N/* is the symbol used to identify the notifications in the WTO database.
### Listing of the Notification Obligations

#### Trade Facilitation Agreement

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 15 and Article 16: Category designation.</td>
<td>Designation of provisions in Section I of the TFA to be implemented according to the categories set out in Article 13.</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category B: Indicative dates.</td>
<td>Indicative dates for implementation of provisions of Section I designated in Category B.</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category C: Indicative dates.</td>
<td>Indicative dates for implementation of provisions of Section I designated in category C.</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
</tr>
</tbody>
</table>

---

2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev. 2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?
- Notification requirements

### WHICH MEMBERS MUST NOTIFY?
- Type of measure
- Members notifying

### WHEN TO NOTIFY?
- Periodicity
- Comments on Periodicity

### HOW TO NOTIFY?
- Format
- To whom?
- Notification Symbol

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</tr>
</thead>
<tbody>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category B:</td>
<td>Definitive dates for implementation of provisions of Section I designated in Category B.</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
<td>Unless improvement or category shifting. DCs: 22/02/18 LDCs: 22/02/20. No (There is no formal template, but informal model).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
<td></td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category C:</td>
<td>Definitive dates for implementation of provisions of Section I designated in Category C.</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
<td>Unless improvement or category shifting. DCs: 22/08/19 LDCs: 22/08/22. No (There is no formal template, but informal model).</td>
<td>Committee on Trade Facilitation</td>
<td>G/TFA/N/*</td>
<td></td>
</tr>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category C: TACB requirements.</td>
<td>Information on the assistance and support for capacity building that the Member requires to implement (Art. 16).</td>
<td>DCs and LDCs that choose to implement according to section II.</td>
<td>One time</td>
<td>Unless improvement or category shifting. DCs: EIF (22/02/17) LDCs: 22/02/19. No (There is no formal template, but informal model).</td>
<td>Committee on Trade Facilitation</td>
<td>WT/PCTF/N/* G/TFA/N/*</td>
<td></td>
</tr>
</tbody>
</table>

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev. 2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
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</thead>
<tbody>
<tr>
<td>Trade Facilitation Agreement, Article 16, Category C: TACB arrangements.</td>
<td>Arrangements maintained or entered into that are necessary to provide assistance and support for capacity building to enable implementation of provisions in Category C. (Art. 16).</td>
<td>DCs and LDCs that choose to implement according to section II, plus relevant Donor Members.</td>
<td>Donors: 22/02/18 (DCs) – 22/02/21 (LDCs) DCs: 22/02/18 LDCs: 22/02/21.</td>
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<tr>
<td>Trade Facilitation Agreement, Article 16, Category C: TACB progress.</td>
<td>Information on the progress in the provision of assistance and support for capacity building.</td>
<td>DCs and LDCs that choose to implement according to section II, plus relevant Donor Members.</td>
<td>Donors: 22/08/19 (DCs) – 22/08/22 (LDCs) DCs: 22/08/19 LDCs: 22/08/22.</td>
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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

**Notification requirements**  
Type of measure  
Members notifying  
Periodicity  
Comments on Periodicity  
Format  
To whom  
Notification Symbol

| 13. | Trade Facilitation Agreement, Article 22.1: Capacity building. | Donor Members: information on assistance and support for capacity building disbursed in the preceding 12 months and, where available, that is committed in the next 12 months. | Donor Members | Regular – Annual | Starting with EIF. | Yes (Annex I of the TFA) | Committee on Trade Facilitation | G/TFA/N/* |
| 14. | Trade Facilitation Agreement, Article 22.2: Assistance processes and mechanisms. | Donor Members: contact points and information on the process and mechanism for requesting assistance. | Donor Members | One time | Once, plus in case of subsequent updates or changes should also be notified. | No | Committee on Trade Facilitation | G/TFA/N/* |
| 15. | Trade Facilitation Agreement, Article 22.3: Contact points. | Members seeking assistance and support for capacity building: contact points of TACB-coordinating agency. | DCs and LDCs that choose to implement according to section II. | One time | Once, plus in case of subsequent updates or changes should also be notified. | No | Committee on Trade Facilitation | G/TFA/N/* |

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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/29/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Not applicable at this stage.
The Trade Facilitation Agreement Database provides a list of all notifications available since 2014.
Protocol amending the Marrakesh Agreement establishing the World Trade Organization WT/L/940.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the TRADE POLICY REVIEW MECHANISM. It consists of the following five parts:

**PART 1**
OVERVIEW OF NOTIFICATION REQUIREMENTS

**PART 2**
LISTING OF THE NOTIFICATION OBLIGATIONS

**PART 3**
RELEVANT DOCUMENT(S) CONCERNING GUIDELINES AND FORMATS

**PART 4**
LIST OF NOTIFICATIONS SINCE 1995

**PART 5**
TEXT OF THE LEGAL PROVISIONS

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The Trade Policy Review Mechanism (TPRM) itself can be considered as a comprehensive "notification" and transparency exercise, as it periodically provides information on the entire range of trade and trade-related measures and practices in use by Members.

Annex 3 of the Marrakech Agreement (Trade Policy Review Mechanism), and in particular its Part D (Reporting) states that "each Member shall report regularly to the Trade Policy Review Body (TPRB)". This "reporting" takes different forms:

- Full Reports shall describe the trade policies and practices pursued by the Member or Members concerned;
- Brief Reports shall be provided by Members between reviews, when there are any significant changes in their trade policies; and
- Annual Update of Statistical Information shall also be provided.

While no formal notification has ever been made to date, Members provide data and information required for the preparation of the TPR reports by the WTO Secretariat. The Members under review also prepare the so-called Government report which, in practice, is viewed as a trade policy statement. Both reports (by the Secretariat and the country under review) form the basis for the periodic reviews of Members’ trade policies and practices under the TPRM.

The Secretariat makes also its contribution through the Annual Overview of Developments in the International Trading Environment which are having an impact on the multilateral trading system. In this context, a Trade Monitoring process was launched in 2009 by the Director-General and has been endorsed by the Members on several occasions. Though Trade Monitoring does not create notification obligations for the Members, it calls on their active cooperation with the Secretariat, including through the provision of brief reports on significant changes in their trade policies, as well as in the context of collection and verification of information.

WHICH MEMBERS MUST NOTIFY?

Each WTO Member is subject to periodic reviews, in conformity with the periodicity established under the TPRM; and is also to provide brief reports on significant changes in its trade policies, as well as an annual update of statistical information (see below: "When to notify?").

WHEN TO NOTIFY?

The review cycle is set as follows: the first 4 trading entities shall be subject to review every 3 years, the next 16 shall be reviewed every 5 years, other Members shall be reviewed every 7 years, except that a longer period may be fixed for LDC Members.

Significant changes in trade policies of Members are to be provided as they occur.

Statistical information is to be provided by Members on an annual basis.

The Trade Monitoring exercise is conducted on a semi-annual basis.

HOW TO NOTIFY?

Annex 3 (on the TPRM) of the Marrakech Agreement and the results of the periodical appraisals of the Mechanism provide guidelines for collection of the information contained in the report by the Secretariat. Such information may be collected by means of questionnaires sent by the Secretariat to the Member under review; from notifications submitted by the Member under a relevant WTO Agreement; or through research undertaken by the Secretariat. The information contained in the report is checked with the Member under review; the draft report is submitted to the Member for comments prior to a visit by a team of the Secretariat to the capital of the Member and also reviewed with the national experts during such a visit. Drawn up by the Secretariat on its own responsibility, the report presents the analysis of the trade policy and practices of the Member under review.
The report by the Secretariat is complemented by the report by the Member under review (the Government report). With the view to avoiding duplication, the report by the country under review is rather considered as a policy statement, i.e. expected to be forward looking.¹

Between reviews, Members shall provide brief reports on significant changes in their trade policies. The format of such reports has not yet been set.

Annual updates of statistical information shall also be provided. It was anticipated that such updates would be provided according to an agreed format and it was also foreseen that the TPRB would elaborate rules for this notification requirement. To date, no agreed format has been decided upon, and no specific requirements have been approved. In practice, statistical information is provided in the context of the Members’ submissions to the Integrated Data Base (IDB) (See the section of the Handbook on Notification related to Integrated Data Base).

More details and references are contained in the next section below (Part 2).

¹ It had been anticipated that the Outline Format for Country Reports established by the (GATT) Council Decision of 19 July 1989 (BISD 36S/406-409) would initially constitute the basis for such a notification format.
### PART 2

#### LISTING OF THE NOTIFICATION OBLIGATIONS

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<tr>
<td>Notification requirements&lt;sup&gt;2&lt;/sup&gt;</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
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</table>
| Annex 3 to the Marrakech Agreement; [Section D](#) of Annex 3 on the Trade Policy Review Mechanism. | All trade policy measures and practices implemented or contemplated by the Member under review (or Members in the case of a joint review). | Member(s) under review | Regular | The review cycle (every three, five or seven years) is based on the Member’s share of global trade. The first 4 trading entities are subject to review every 3 years, the next 16 are reviewed every 5 years, other Members are reviewed every 7 years, except that a longer period may be fixed for LDC Members. | No (No format has been set. However, in practice, the Secretariat report follows a four-chapter format and each Member under review follows its own format for its Government report.) | Trade Policy Review Body | Reports by Governments are circulated under symbol WT/TPR/G/*, and Reports by the Secretariat are circulated under symbol WT/TPR/S/*.

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<sup>2</sup> The amendment adopted by the General Council Decision of 26 July 2017 does not impact provisions on notification.
## Listing of the Notification Obligations

### What Must Be Notified?

<table>
<thead>
<tr>
<th>Notification requirements</th>
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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
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<tbody>
<tr>
<td>Annex 3 to the Marrakech Agreement; Sections D and G of Annex 3 on the Trade Policy Review Mechanism.</td>
<td>Significant changes in trade policies.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>As they occur.</td>
<td>No (No format has been set)</td>
<td>Trade Policy Review Body</td>
<td>Trade Monitoring Reports by the Director-General are circulated under symbols WT/TPR/OV/W/* (mid-year reports); and WT/TPR/OV/* (annual reports).</td>
</tr>
</tbody>
</table>

### Part 2: Listing of the Notification Obligations

2. Significant changes in trade policies. All WTO Members. Ad hoc. As they occur. No (No format has been set). Trade Policy Review Body. Trade Monitoring Reports by the Director-General are circulated under symbols WT/TPR/OV/W/* (mid-year reports); and WT/TPR/OV/* (annual reports).

3. Up-date of statistical information. All WTO Members. Regular – Annual. No (No format has been set). Trade Policy Review Body. –

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2 The amendment adopted by the General Council Decision of 26 July 2017 does not impact provisions on notification.

3 In the context of the implementation of Part G of Annex 3 (on TPRM) to the Marrakech Agreement, which refers to the Overview of Developments in the International Trading Environment, the Secretariat draws on the input from Members (on significant changes to trade policies) to prepare the annual overview by the Director-General, which provides the WTO Membership with selected developments in the international trading environment. The Trade Monitoring Reports by the Director-General have been endorsed by the Members as part of the transparency process.
While there is no set format of notification under the TPRM, some guidelines are given as to how information shall be provided. Indeed, the Government report and the report by the Secretariat are expected to cover all aspects of the trade policies and practices of the Member(s) under review. The TPRB is mandated to decide upon an agreed format for the Government report but has not yet to date reached an agreement on such a format. The format shall initially have been based on the Outline Format for Country Reports established by the (GATT) Council Decision of 19 July 1989 (BISD 36S/406-409). In practice, the reporting requirement is mainly achieved through the report, prepared by the Secretariat, on its own responsibility, but on which clarification is sought from the Member(s) under review; and through the Government Report prepared by the Member(s) under review. To this end and with the view to avoiding duplication, a policy statement by the Member(s) under review is considered enough.

Between reviews, notification of "significant" changes in trade policies is intended to complement the regular reviews by the TPRB. The annual updates of statistical information shall also be provided according to an agreed format and it is also foreseen that the TPRD also elaborates rules for this notification requirement.

To date, no agreed format has been decided upon, nor, with a few exceptions, have changes in policies or updates of data been provided to the Secretariat (exception through the submission to the IDB). Moreover, there are no formal procedures for such notifications though it was foreseen that the TPRB would initially elaborate rules for this notification requirement.

More details and references are contained in the above section (Part 2).
Through the Web page of the WTO Website dedicated to Trade Policy Reviews, a "Search Documents Online" feature offers direct access to TPR-related document, including TPR Reports by the Governments (WT/TPR/G/*) and by the Secretariat (WT/TPR/S/*). The Chronological list of TPRs displaces all documents related to Trade Policy Reviews that have taken place since 1995. Trade Monitoring Reports that have taken place since 2009 are available under the documents series WT/TPR/OV/W/* and additional information related to Trade monitoring is available through the Trade Monitoring Database.
ON TRADE POLICY REVIEWS


ON TRADE MONITORING

Decision of 17 December 2011 of the Ministerial Conference WT/L/848.
DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
The main notification obligation under the Agreement on Trade-Related Investment Measures (the TRIMs Agreement) relates to a one-off notification of any TRIMs which were not in conformity with the provisions of the TRIMs Agreement. These notifications were associated with transitional arrangements for the elimination of non-conforming TRIMs. Both the deadlines for notification and the transitional arrangements have expired.

Notwithstanding the above, Annex F to the Hong Kong Ministerial Declaration provides certain flexibilities for least-developed country (LDC) Members regarding existing or new TRIMs, and sets out corresponding notification requirements in the event that an LDC Member relies on those flexibilities. According to Annex F to the Hong Kong Ministerial Declaration, any LDC Member wishing to benefit from those flexibilities shall phase out the non-conforming TRIMs by year 2020.

WHAT MUST BE NOTIFIED?

The only notifications currently in force in the area of trade-related investment measures are those under Article 6.2 of the TRIMs Agreement and under Annex F to the Hong Kong Ministerial Declaration, section 84.

Article 6.2 provides for an obligation for Members to notify the WTO Secretariat of the publications in which TRIMs can be found. Part IV below lists all Members that have made such notifications as at the time of the 2018 TRIMs Committee Annual Report. The TRIMs Committee has adopted procedures for the implementation of this provision.¹

As noted above, Annex F to the Hong Kong Ministerial Declaration provides certain flexibilities for least-developed country (LDC) Members regarding existing or new TRIMs, and sets out corresponding notification requirements in the event that an LDC Member relies on those flexibilities, as follows:

"84) Agreement on Trade-Related Investment Measures
LDCs shall be allowed to maintain on a temporary basis existing measures that deviate

¹ See document G/TRIMS/5, 30 October 1996.

from their obligations under the TRIMs Agreement. For this purpose, LDCs shall notify the Council for Trade in Goods (CTG) of such measures within two years, starting 30 days after the date of this declaration. LDCs will be allowed to maintain these existing measures until the end of a new transition period, lasting seven years. This transition period may be extended by the CTG under the existing procedures set out in the TRIMs Agreement, taking into account the individual financial, trade, and development needs of the Member in question.

LDCs shall also be allowed to introduce new measures that deviate from their obligations under the TRIMs Agreement. These new TRIMs shall be notified to the CTG no later than six months after their adoption. The CTG shall give positive consideration to such notifications, taking into account the individual financial, trade, and development needs of the Member in question. The duration of these measures will not exceed five years, renewable subject to review and decision by the CTG.

Any measures incompatible with the TRIMs Agreement and adopted under this decision shall be phased out by year 2020.*

Article 5.1 and Article 5.5 of the TRIMs Agreement no longer require a notification. Pursuant to Article 5.1 Members were required to notify any Trade-Related Investment Measure ("TRIM") inconsistent with the Agreement within 90 days after the entry into force of the WTO Agreement.² Article 5.2 allowed for transition periods for the elimination of non-conforming measures notified under Article 5.1 and which were in existence at least 180 days preceding the entry into force of the WTO Agreement.³ Article 5.2 allowed for transition periods for the elimination of non-conforming measures notified under Article 5.1 and which were in existence at least 180 days preceding the entry into force of the WTO Agreement. Part IV lists all notifications of measures under Article 5.1. In the case of some Members, notifications

² For original WTO Members who accepted the WTO Agreement by 1 January 1995, the deadline for notifying any non-conforming TRIMs was 31 March 1995. See document G/41, 26 January 1995. For original WTO Members who accepted the WTO Agreement after its entry into force, the deadline for notifying any non-conforming TRIMs was 90 days after the date of their acceptance of the WTO Agreement. See document WT/L/64, 10 April 1995. The timeframe for the notification of non-conforming TRIMs by new acceding Members may be addressed in the applicable Accession Protocol and Working Party Report.
were submitted later than the 90-day period foreseen. Some Members notified that they did not apply any non-conforming TRIM. This last type of notification is not required by the TRIMs Agreement. Part IV below also lists all Members that had made such notifications as at the time of the 2018 TRIMs Committee Annual Report. A format for notifications under Article 5.1 was circulated in document G/TRIMS/1.

Article 5.5 of the TRIMs Agreement provides for notification of the application to a new investment of a TRIM previously notified under Article 5.1. Article 5.5 applied only during the transition periods specified under Article 5.2 (see above). The TRIMs Committee adopted a standard format for such notifications.

WHICH MEMBERS MUST NOTIFY?

The notification requirement under Article 6.2 applies to all Members, whether or not they apply non-conforming TRIMs.

The notification requirement under Annex F to the Hong Kong Ministerial Declaration pertains only to LDCs that wish to make use of the flexibilities regarding TRIMs in that Declaration.

The notification requirement under Article 5.1 of the TRIMs Agreement related to Members that, at the time of entry into force of the WTO Agreement, were applying TRIMs that were not in conformity with the provisions of the TRIMs Agreement. The notification requirement under Article 5.5 related to Members that were applying TRIMs that had been notified under Article 5.1. Some Members have also notified that they do not apply any TRIM inconsistent with the Agreement.

WHEN TO NOTIFY?

Pursuant to Article 6.2 of the TRIMs Agreement, each Member must notify the WTO Secretariat of the publications in which TRIMs may be found, including those applied by regional and local governments and authorities within their territories. Under a decision by the TRIMs Committee, Members were invited to submit lists of such publications by 1 February 1997 and to update these lists as appropriate. Members that have not yet made such notifications are encouraged to make these without delay. Members whose circumstances have changed in a way that warrants updates to its notification under Article 6.2 are also encouraged to do so.

Pursuant to the Hong Kong Ministerial Declaration, LDCs notifying new measures that deviate from their obligations under the TRIMs Agreement are required to make such notifications no later than six months after their adoption. According to that Declaration, any measures incompatible with the TRIMs Agreement and adopted under that Declaration shall be phased out by year 2020. Additionally, pursuant to the Hong Kong Ministerial Declaration, LDCs notifying existing measures that deviated from their obligations under the TRIMs Agreement were required to make such notifications within two years, starting 30 days after 18 December 2005, the date of the adoption of the Declaration.

Pursuant to Article 5.1 of the TRIMs Agreement, Members were required to notify any TRIM inconsistent with the Agreement within 90 days after the entry into force of the WTO Agreement.

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3 See document G/TRIMS/3, 7 December 1995.
4 See document G/TRIMS/5, 30 October 1996.
5 As noted above, for original WTO Members who accepted the WTO Agreement after its entry into force, the deadline for notifying any non-conforming TRIMs was 90 days after the date of their acceptance of the WTO Agreement.
OVERVIEW OF NOTIFICATION REQUIREMENTS

HOW TO NOTIFY?6

Notifications of publications in which TRIMs may be found pursuant to Article 6.2 of the TRIMs Agreement should be made to the WTO Secretariat in accordance with the decision adopted by the TRIMs Committee.7 Notifications by LDCs of new measures that deviate from their obligations under the TRIMs Agreement pursuant to the Hong Kong Ministerial Declaration should be made to the Council for Trade in Goods.

Please see illustrative mock examples listing different situations and explaining when/how to notify depending on the situation.

6 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

7 See document G/TRIMS/5, 30 October 1996.
# Listing of the Notification Obligations

## Notification Obligations

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<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Trade-Related Investment Measures, Article 6.2</td>
<td>List of publications in which investment measures related to goods (TRIMs) may be found.</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
<tr>
<td>Annex F to the Hong Kong Ministerial Declaration, section 84.</td>
<td>New measures adopted by LDCs that deviate from their obligations under the TRIMs Agreement.</td>
<td>Any LDC wishing to use the applicable flexibility under the Hong Kong Ministerial Declaration.</td>
<td>One time</td>
</tr>
</tbody>
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* All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

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[5] TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS

AGREEMENT ON TRADE-RELATED INVESTMENT MEASURES
## AGREEMENT ON TRADE-RELATED INVESTMENT MEASURES

### TRIMS

### PART 2

## LISTING OF THE NOTIFICATION OBLIGATIONS

### EXPIRED NOTIFICATIONS

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<td>Notification requirements</td>
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<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Trade-Related Investment Measures, Article 5.1</td>
<td>Trade-Related Investment Measures (TRIMs) introduced 180 days or more before the date of entry into force of the WTO Agreement which were inconsistent with the provisions of Article III or Article XI of GATT 1994 and not justified under exceptions to GATT 1994.</td>
<td>All WTO Members who were applying TRIMs that were not in conformity with the Agreement.</td>
<td>One time</td>
</tr>
</tbody>
</table>

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* All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
** AGREEMENT ON TRADE-RELATED INVESTMENT MEASURES**

**PART 2**

**LISTING OF THE NOTIFICATION OBLIGATIONS**

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<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Agreement on Trade-Related Investment Measures, Article 5.5</td>
<td>The application during the transition periods provided for in Article 5.2 of a trade-related investment measure notified under Article 5.1 to new investments, subject to the requirements that (i) the products of such new investments are like products of established enterprises to which the notified TRIM applies and (ii) the application of the TRIM to new investments is necessary to avoid a distortion of competition between the new investment and such established enterprises.</td>
<td>All WTO Members who wished to avail itself of this provision.</td>
<td>Ad hoc</td>
</tr>
</tbody>
</table>

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8 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
###Expired Notifications

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<tr>
<th>Notification requirements</th>
<th>Type of measure</th>
<th>Members notifying</th>
<th>Periodicity</th>
<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom²</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annex F to the Hong Kong Ministerial Declaration, section 84.</td>
<td>Existing measures of LDCs by December 2005 that deviated from their obligations under the TRIMs Agreement.</td>
<td>Any LDC using the applicable flexibility under the Hong Kong Ministerial Declaration.</td>
<td>One time</td>
<td>Within 2 years starting 30 days after 18 December 2005.</td>
<td>No (There is no prescribed format. Contact TRIMs Committee Secretary for guidance.)</td>
<td>Council for Trade in Goods</td>
<td></td>
</tr>
</tbody>
</table>

³ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
NOTIFICATION OBLIGATIONS FORMAT

Notifications under Article 6.2 of the TRIMS Agreement G/TRIMS/5.

For notifications under Annex F to the Hong Kong Ministerial Declaration, please contact the TRIMs Committee Secretary for any guidance.

EXPIRED NOTIFICATIONS FORMAT

Notifications under Article 5.1 of the TRIMS Agreement G/TRIMS/1.

Notifications under Article 5.5 of the TRIMS Agreement G/TRIMS/3.

Notifications under Article 5.1 of the Agreement on Trade-Related Investment Measures by States and Separate Customs Territories eligible to become original WTO Members that accept the WTO Agreement after its entry into force WT/L/64.
PART 4  LIST OF NOTIFICATIONS SINCE 1995

NOTIFICATION OBLIGATIONS

LIST OF NOTIFICATIONS UNDER ARTICLE 6.2
As recorded in the TRIMS Committee Annual Report G/TRIMS/8 see Annex 3: Members that have submitted notifications under Article 6.2 of the Agreement on Trade-Related Investment Measures.
Notifications under Article 6.2.

EXPIRED NOTIFICATIONS

LIST OF NOTIFICATIONS UNDER ARTICLE 5.1
As recorded in the TRIMS Committee Annual Report G/TRIMS/8 see Annex 1: Members that have Submitted Notifications under Article 5.1 of the Agreement on Trade-Related Investment Measures.
G/TRIMS/8 see Annex 2: Notifications indicating that No TRIMs inconsistent with the Agreement on Trade-Related Investment Measures are Maintained.
Notifications under Article 5.1.
Agreement on Trade-Related Investment Measures LT/UR/A-1A/13.
TECHNICAL COOPERATION HANDBOOK ON NOTIFICATION REQUIREMENTS

DISCLAIMER

The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.

AGREEMENT ON TRADE-RELATED ASPECTS OF INTELLECTUAL PROPERTY RIGHTS

REVISED 1 NOVEMBER 2021
This section of the Handbook on Notification Requirements covers the notification obligations under the **AGREEMENT ON TRADE-RELATED ASPECTS OF INTELLECTUAL PROPERTY RIGHTS**. It consists of the following five parts:

- **PART 1** Overview of Notification Requirements
- **PART 2** Listing of the Notification Obligations
- **PART 3** Relevant Document(s) Concerning Guidelines and Formats
- **PART 4** List of Notifications Since 1995
- **PART 5** Text of the Agreement
- **PART 6** Text of the Agreement between WIPO and the WTO

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

The TRIPS Agreement is an integral part of the WTO Agreement, and is binding on each Member of the WTO from the date the WTO Agreement becomes effective for that Member. The TRIPS Agreement establishes minimum standards of protection and enforcement for each of the main categories of intellectual property rights.

WHICH MEMBERS MUST NOTIFY?

All WTO Members are encouraged to submit TRIPS notifications, review materials and reports. Certain types of TRIPS submissions are mandatory, whereas others are optional in the case of Members using alternatives or flexibilities under the TRIPS Agreement.

WHEN TO NOTIFY?

When to submit a notification depends on the type of notification, review material or report. In general, however, a Member should notify as soon as possible after an obligation under the TRIPS Agreement becomes effective. With respect to updates or amendments to IP law or policy frameworks, a Member should generally submit the relevant notification, review material or report as soon as possible after the update or amendment occurs. Detailed information on the timing requirements of TRIPS notifications, review materials and reports may be found in Part 2 below.

The TRIPS Agreement allowed Members certain transition periods before they were obliged to apply all its provisions. Developed country Members were given one year to ensure that their laws and practices conform to the TRIPS Agreement. Developing country Members and (under certain conditions) transition economies were given five years, until 2000. Least-developed countries initially had 11 years: until 2006. The transition period has since been extended to 1 July 2021, in general. In November 2015, the TRIPS Council agreed to further extend exemptions on pharmaceutical patents and undisclosed information protection for least-developed countries until 1 January 2033 or until such date when they cease to be a least-developed country Member, whichever date is earlier. They are also exempted from the otherwise applicable obligations to accept the filing of patent applications and to grant exclusive marketing rights during the transition period. A Member wishing to avail itself of any of the transitional periods is not required to submit a notification to invoke the transition period.

The date of application of TRIPS Agreement provisions in acceding countries is governed by their respective protocols of accession.

HOW TO NOTIFY? 1

Members can submit most notifications, reports and review materials using the e-TRIPS Submission System. The e-TRIPS Submission System is an optional online tool for the submission of TRIPS notifications, review materials and reports.

On request to the Secretariat, each Member is given log-in credentials (username and password) for the e-TRIPS Submission System. The log-in credentials are not user-specific, and therefore can be shared among colleagues of the same Member.

To use the e-TRIPS Submission System, send an email to e-TRIPS@wto.org to request log-in details.

Traditional methods of submitting TRIPS notifications, review materials and reports to the TRIPS Council remain available. For any questions regarding the submission of TRIPS notifications, review materials and reports and how to submit, please contact the Secretariat at e-TRIPS@wto.org.

1 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Provisions of the TRIPS Agreement related to notification requirements

- **Article 63.2**: Notification of laws and regulations.
- **Articles 1.3 and 3.1**: Notification of certain options in regard to:
  - The definition of beneficiary persons (Art. 1.3);
  - National treatment (Art. 3.1).
- **Article 4(d)**: Notification of international agreements to justify certain MFN exemptions.
- **Article 31bis and the Annex to the Amended TRIPS Agreement**: Notifications relating to additional flexibilities aimed at enhancing access to medicines.\(^2\)
- **Article 69**: Notification of contact points.

Other notification requirements:

- Pursuant to the obligations under **Article 2** of the TRIPS Agreement stemming from the provisions of Article 6ter of the Paris Convention for the Protection of Industrial Property, Stockholm Act (1967) (“Paris Convention”);
- Pursuant to the obligations under notification provisions of intellectual property conventions incorporated by reference into the TRIPS Agreement but not explicitly referred to in it, notably those stemming from the Berne Convention for the Protection of Literary and Artistic Works (“Berne Convention”) or the International Convention for the Protection of Performers, Producers of Phonograms and Broadcasting Organizations (“Rome Convention”):
  - Article 14bis:2(c) of the Berne Convention
  - Article 14bis:3 of the Berne Convention
  - Article 15:4 of the Berne Convention
  - Article I of the Appendix to the Berne Convention
  - Article II:3(b) of the Appendix to the Berne Convention
  - Article IV:2 of the Appendix to the Berne Convention
  - Article IV:4(c)(iv) of the Appendix to the Berne Convention
  - Article V of the Appendix to the Berne Convention
  - Article 17 of the Rome Convention
  - Article 18 of the Rome Convention
- As agreed by the TRIPS Council in relation to **Article 67** of the Agreement on technical cooperation; namely, the specification by developed country Members of contact points in their administrations for TRIPS-related technical cooperation.

Provisions in the TRIPS Agreement under which review or reporting mechanisms involving submissions to the TRIPS Council have been established

- **Article 24.2**: In the context of the review of the application of the provisions of the Section on geographical indications under Article 24.2 of the TRIPS Agreement, the Council, at its meetings in May and July 1998, invited those Members already under an obligation to apply the provisions in question to provide their responses to a Checklist of Questions (contained in document IP/C/13 and Add.1). Other Members could provide their responses on a voluntary basis.
- **Article 27.3(b)**: At its meeting in December 1998, the Council agreed to initiate the review of the provisions of Article 27.3(b) through an information-gathering exercise (contained in documents IP/C/122 and IP/CW/126). The Council invited Members that were already under an obligation to apply Article 27.3(b) to provide information on how the matters addressed in these provisions were presently treated in their national law. Other Members were invited to provide such information on a best-endeavors basis.
- **Article 66.2**: The Decision of the Council for TRIPS of 19 February 2003 (document IP/C/28) established the mechanism for ensuring the monitoring and full implementation of developed country Members’ obligations in Article 66.2.

\(^2\) Since the entry into force of the TRIPS Amendment in January 2017, members that have accepted the amendment operate on the basis of the amended TRIPS Agreement. Other members who have yet to accept the Protocol Amending the TRIPS Agreement continue to operate on the basis of the waiver decision of 2003.
Article 67: The TRIPS Council agreed in 1996 that developed country Members would annually update information on their technical cooperation activities relevant to the implementation of the TRIPS Agreement (documents [IP/C/M/6] and [IP/C/M/7]).

Further details on TRIPS notifications review materials and reports are available in the Appendices of the Guide to the TRIPS Agreement.
## LISTING OF THE NOTIFICATION OBLIGATIONS

<table>
<thead>
<tr>
<th>WHAT MUST BE NOTIFIED?</th>
<th>WHICH MEMBERS MUST NOTIFY?</th>
<th>WHEN TO NOTIFY?</th>
<th>HOW TO NOTIFY?</th>
</tr>
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<tbody>
<tr>
<td>Notification requirements</td>
<td>Type of measure</td>
<td>Members notifying</td>
<td>Periodicity</td>
</tr>
<tr>
<td>TRIPS Agreement, Article 63.2</td>
<td>Laws / regulations made effective by the notifying Member (pertaining to the availability, scope, acquisition, enforcement and prevention of the abuse of intellectual property rights, including new laws and regulations.)</td>
<td>All WTO Members</td>
<td>One time initial notification, and updates as necessary</td>
</tr>
</tbody>
</table>

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procedures in IP/C/2 for notifications under TRIPS Agreement Article 63.2 and the Decision of the Council for TRIPS of 21 November 1995 on the Checklist of Issues on Enforcement.</td>
<td>Information on domestic intellectual property enforcement law and practices.</td>
<td>All WTO Members</td>
<td>One time initial notification, and updates as necessary.</td>
<td>First, a one-time notification (as soon as possible after a Member is obliged to start applying the provisions of the TRIPS Agreement on enforcement), and then an ad hoc notification upon introduction of changes.</td>
<td>Yes (Members may use the e-TRIPS Submission System IP/C/2, IP/C/4, IP/C/5)</td>
<td>TRIPS Council</td>
<td>IP/N/6/*</td>
</tr>
</tbody>
</table>

3. **TRIPS Agreement, Article 69.**

| Specification of contact points (in Members’ administrations for, among other things, exchanging information on trade in goods infringing intellectual property rights), including changes to previously notified contact points. | All WTO Members | One time initial notification, and updates as necessary. | First, a one-time notification (1 January 1996 or, for new Members, promptly upon accession), and then an ad hoc notification upon introduction of changes. | Yes (Members may use the e-TRIPS Submission System WTO/AIR/168) | TRIPS Council | IP/N/3/* |

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
## Listing of the Notification Obligations

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<tr>
<td>TRIPS Agreement, Article 9.1 (Article 14 bis (3) of the Berne Convention (1971)).</td>
<td>Stipulation in the notifying Member’s law that the rule that certain authors are to be presumed to have consented to certain ways in which their film is exploited is not binding on the principal director of the film.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Yes (IP/C/W/15 Guidelines)</td>
<td>TRIPS Council</td>
<td>IP/N/5/*</td>
<td></td>
</tr>
<tr>
<td>TRIPS Agreement, Article 9.1 (Article 15(4) of the Berne Convention (1971)).</td>
<td>Designation of the competent authority to represent unknown authors of folklore.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td>Yes (IP/C/W/15 Guidelines)</td>
<td>TRIPS Council</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRIPS Agreement, Article 9.1 (Art. I of the Appendix to the Berne Convention (1971)).</td>
<td>Declaration by the notifying developing country Member that it avails itself of the faculty of compulsory licensing for translations / reproductions.</td>
<td>Developing country WTO Members</td>
<td>Ad hoc</td>
<td>Every 10 years.</td>
<td>Yes (IP/C/W/15 Guidelines)</td>
<td>TRIPS Council</td>
<td></td>
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## Listing of the Notification Obligations

**What Must Be Notified?**

**Which Members Must Notify?**

**When to Notify?**

**How to Notify?**

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<th>Notification requirements</th>
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<tr>
<td>TRIPS Agreement, Article 9.1 [Art. II(3) (b) of the Appendix to the Berne Convention (1971)].</td>
<td>Agreement secured by the notifying developing country Member with all developed country Members, in which the same language is in general use as in that developing country Member, to provide for a shorter period than the usual three years after publication for the application of compulsory licensing to substitute for the exclusive right of translation.</td>
<td>Developing country WTO Members</td>
<td>Ad hoc</td>
<td></td>
<td>Yes (<a href="#">IP/C/W/15 Guidelines</a>)</td>
<td>TRIPS Council</td>
<td>IP/N/5/*</td>
</tr>
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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2]. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### WHAT MUST BE NOTIFIED?

**TRIPS Agreement, Article 9.1 [Art. IV (2) of the Appendix to the Berne Convention (1971)].** Designation of an information center for the purposes of compulsory licensing.

- **Type of measure:** Designation of an information center for the purposes of compulsory licensing.
- **Members notifying:** Developing country WTO Members.
- **Periodicity:** Ad hoc.
- **Comments on Periodicity:**
- **Format:** Yes (IP/C/W/15 Guidelines).
- **To whom:** TRIPS Council.
- **Symbol:** IP/N/15/*

### WHICH MEMBERS MUST NOTIFY?

Developing country WTO Members.

### WHEN TO NOTIFY?

Application of the 10-year régime instead of compulsory licensing.

### HOW TO NOTIFY?

At the time of ratification, acceptance or accession.

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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/26/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### Listing of the Notification Obligations

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<td><strong>11.</strong> TRIPS Agreement, Article 14.6 [Art. 17 of the Rome Convention].</td>
<td>Protection of producers of phonograms solely on the basis of the criterion of fixation.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
<tr>
<td><strong>12.</strong> TRIPS Agreement, Article 14.6 [Art. 18 of the Rome Convention].</td>
<td>Reduction of scope or withdrawal of earlier notification of an exception under Article 5(3), 6(2), 16(1) or 17 of the Rome Convention as incorporated into the TRIPS Agreement.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
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3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](#). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<td>Article 31bis and paragraph 1(b) of the Annex to the amended TRIPS Agreement.</td>
<td>Notification requirements for Members making use of the additional flexibilities relating to the TRIPS Agreement and public health: Importing Member’s one-off general notification of intention to use the special compulsory license system.</td>
<td>Developing country WTO Members</td>
<td>Ad hoc</td>
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3. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
**WHAT MUST BE NOTIFIED?**

14. Article 31bis and paragraph 2(a) of the Annex to the amended TRIPS Agreement.

(Members who have yet to accept the Protocol Amending the TRIPS Agreement continue to operate on the basis of the waiver decision of 2003.)

Notification requirements for Members making use of the additional flexibilities relating to the TRIPS Agreement and public health: Importing Member’s specific notification.

**WHICH MEMBERS MUST NOTIFY?**

Developing country and least-developed country WTO Members

**WHEN TO NOTIFY?**

Ad hoc

**COMMENTS ON PERIODICITY**

A notification must be made by or on behalf of an importing Member each time it uses the special compulsory license system to import pharmaceutical products. No notification is needed when pharmaceutical products are imported from another Member party to a regional trade agreement under the regional mechanism.

**HOW TO NOTIFY?**

Yes (Members may use the e-TRIPS Submission System)

**Format**

TRIPS Council

**To whom**

IP/N/9/*

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<tr>
<td>Article 31bis and paragraph 2(c) of the Annex to the amended TRIPS Agreement.</td>
<td>Notification requirements for Members making use of the additional flexibilities relating to the TRIPS Agreement and public health: Exporting Member’s notification.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>TRIPS Agreement Article 66.2.</td>
<td>Report on the implementation of Art. 66.2 of the TRIPS Agreement.</td>
<td>Developed country WTO Members</td>
<td>Regular – Annual</td>
</tr>
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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
**Listing of the Notification Obligations**

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<td>---</td>
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<td>---</td>
</tr>
<tr>
<td>17. As agreed by the TRIPS Council in the context of Article 67 of the TRIPS Agreement (IP/C/M/8, paragraphs 37 and 38).</td>
<td>Specification by the notifying developed country Member of contact points for technical cooperation on TRIPS.</td>
<td>Developed country WTO Members</td>
<td>One-time initial notification, and updates as necessary.</td>
</tr>
<tr>
<td>18. As agreed by the TRIPS Council in the context of Article 67 of the TRIPS Agreement.</td>
<td>Report on technical and financial cooperation programmes.</td>
<td>Developed country WTO Members</td>
<td>Regular – Annual</td>
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3 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### REVIEW MATERIALS

#### WHAT MUST BE NOTIFIED?
- Notification requirements

#### WHICH MEMBERS MUST NOTIFY?
- Members notifying

#### WHEN TO NOTIFY?
- Periodicity
- Comments on Periodicity

#### HOW TO NOTIFY?
- Format
- To whom²
- Notification Symbol

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<th>To whom²</th>
<th>Notification Symbol</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> TRIPS Agreement, Article 24.2.</td>
<td>Responses provided in the context of the review of the provisions of the Section on geographical indications under Article 24.2.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td></td>
<td>Yes (Members may use the e-TRIPS Submission System)</td>
<td>TRIPS Council</td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong> TRIPS Agreement, Article 27.3(b).</td>
<td>Responses provided in the context of the review of the provisions of Article 27.3(b).</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
<td></td>
<td>Yes (Members may use the e-TRIPS Submission System)</td>
<td>TRIPS Council</td>
<td></td>
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³ All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
Instructions on how to use the e-TRIPS Submission System are available here. The instructions include guidance on how to use the system in addition to the types of information to provide for each type of submission.

Procedures for notification of, and possible establishment of a common register of, national laws and regulations under Article 63.2 IP/C/2.

Format for listing of “other laws and regulations” to be notified under Article 63.2 IP/C/4.

Draft format for listing of “other laws and regulations” to be notified under Article 63.2 IP/C/W/8.


Distribution of notifications of laws and regulations under Article 63.2 (IP/N/1/- series of documents) IP/C/W/20.

Checklist of issues on enforcement IP/C/5.

Implementation of the obligations under the TRIPS Agreement stemming from the incorporation of the provisions of Article 6ter of the Paris Convention (1967) IP/C/7.

Notifications already made under the provisions of the Berne Convention and the Rome Convention referred to in Articles 1.3 and 3.1 of the TRIPS Agreement IP/C/W/3.

Notification possibilities provided in Articles 1.3 and 3.1 of the TRIPS Agreement IP/C/W/5.

Notifications under Articles 1.3 and 3.1 of the TRIPS Agreement WTO/AIR/70.

Notification provisions of intellectual property conventions incorporated by reference into the TRIPS Agreement but not explicitly referred to in it IP/C/W/15.

Notification of contact points under Article 69 of the TRIPS Agreement WTO/AIR/168.

Notification of contact points for technical co-operation on TRIPS WTO/AIR/388.

Submission of reply to a checklist of questions as part of the Review under Article 24.2 of the Application of the Provisions of the Section of the TRIPS Agreement on Geographical Indications IP/C/13 and Add.1.

Submission of reply to a checklist of questions as part of the Review of the Provisions of Article 273(b) IP/C/W/122 and IP/C/W/126.

Submission of Report under Article 66.2 of the TRIPS Agreement: Incentives to Transfer Technology to LDCs IP/C/28.
The following notifications may be retrieved from the TRIPS Transparency Toolkit:

- Notifications of laws and regulations under Article 63.2
- Responses to the Checklist of Issues on enforcement under Article 63.2
- Notifications of laws and regulations relating to Articles 3, 4 and 5
- Notifications of contact points under Article 69
- Notifications on beneficiaries and national treatment (non-discrimination between foreign and local nationals) under Articles 1.3 and 3.1
- Notifications on Most-favoured-nation treatment (non-discrimination between trading partners) under Article 4(d)
- Notifications under provisions of the Berne and Rome conventions that are incorporated by reference into the TRIPS Agreement

- Replies to the Checklist of Questions as part of the Review under Article 24.2 of the Application of the Provisions of the Section of the TRIPS Agreement on Geographical Indications.
- Replies to the Checklist of Questions as part of the Review of the Provisions of Article 27.3(b)
- Notifications of Members making use of the special compulsory licensing system.
- Reports under Article 66.2.
- Reports under Article 67.
- Notification of contact points for technical and financial cooperation.

Agreement on Trade-Related Aspects of Intellectual Property Rights (unamended version).
Agreement between WIPO and the WTO.
The Handbook on Notification Requirements does not constitute a legal interpretation of the notification obligations under the respective Agreement(s) or relevant legal provision(s). It has been prepared by the Secretariat to assist Members in complying with their notification obligations.
This section of the Handbook on Notification Requirements covers the notification obligations under the Agreement on the Implementation of Article VII of the GATT. It consists of the following five parts:

- **PART 1**: Overview of notification requirements
- **PART 2**: Listing of the notification obligations
- **PART 3**: Relevant document(s) concerning guidelines and formats
- **PART 4**: List of notifications since 1995
- **PART 5**: Text of the agreement

For Members which acceded pursuant to Article XII of the Marrakesh Agreement, their respective Protocols of Accession may contain notification obligations in addition to those set out in the WTO Agreements, and may govern the deadlines for the submission of their initial notifications.
WHAT MUST BE NOTIFIED?

- National legislation
- Changes to legislation, regulations and their administration
- Checklist of issues
- Implementation of the Decision on Interest Charges
- Implementation of the Decision on the Valuation of Carrier Media Bearing Software

WHICH MEMBERS MUST NOTIFY?

All WTO Members.

WHEN TO NOTIFY?

Ad hoc.

HOW TO NOTIFY? 1

National Legislation (G/VAL/5 paragraphs B.2(i) and (ii))

Members must notify their national legislation to the Central Registry for Notifications with a cover note indicating the date of implementation of the legislation. The legislation should be notified in Word document format in any of the three WTO official languages. The notification of full and complete legislation is covered by a decision taken by the WTO Committee on Customs Valuation at its first meeting on 12 May 1995 "Notification and Circulation of National Legislation" (G/VAL/5 para.B.2(i) and (ii)):

"Members will submit the complete texts of their national legislation (laws, regulations, etc.) on customs valuation in one of the three official WTO languages as soon as possible to the Secretariat which will circulate them as Committee documents to the other Members in the language submitted. If a general interest is expressed in the Committee that the text of a particular Member be available also in other official WTO languages, this text will be translated and circulated as a Committee document. In those cases where the national legislation is not in an official WTO language, the original texts shall also be submitted to the Secretariat where they will be open for inspection."

Changes in its laws and regulations relevant to the Agreement and in the administration of such laws and regulations checklist of issues (Article 22.2 of the Customs Valuation Agreement).

Members are required to inform the Committee of any changes in its laws and regulations relevant to the Agreement and in the administration of such laws and regulations, in accordance with Article 22.2 of the Customs Valuation Agreement.

Checklist of Issues (G/VAL/5 paragraphs B.2(i) and (ii)).

Members must submit responses to the checklist of issues, which serves as a basis of an initial examination of national legislation, at the time of or as soon as possible after, the Member concerned had started applying the Customs Valuation Agreement.

Decision on Interest Charges (G/VAL/5 paragraphs B.2(i) and (ii)).

Members must notify the date from when the Member has implemented the Decision on Interest Charges.

Decision on the Valuation of Carrier Media Bearing Software (G/VAL/5 paragraphs B.2(i) and (ii)).

Members must notify the date from which the Member has implemented the Decision on the Valuation of Carrier Media Bearing Software.

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1 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/79/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
# PART 2

## LISTING OF THE NOTIFICATION OBLIGATIONS

### NOTIFICATION OBLIGATIONS

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<tr>
<td>Agreement on Implementation of Article VII of the GATT 1994 (Agreement on Customs Valuation) Article 22.</td>
<td>Notification of complete text of national legislation implementing the Agreement on CV or for Tokyo Round signatories, communication notifying the validity of legislation under the Tokyo Round Agreement.</td>
<td>All WTO Members</td>
<td>One time</td>
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<tr>
<td>Agreement on Implementation of Article VII of the GATT 1994 Article 22.2</td>
<td>Notification of changes to laws, regulations and their administration, relevant to the CV Agreement.</td>
<td>All WTO Members</td>
<td>Ad hoc</td>
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<sup>2</sup> All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<tr>
<td>3. Check list of issues (<a href="#">G/VAL/5</a>, paragraph B.3).</td>
<td>Responses to the checklist of issues or for Tokyo Round signatories, a communication indicating that responses of the checklist of issues submitted under the Tokyo Round Agreement remain valid.</td>
<td>All WTO Members</td>
<td>One time</td>
</tr>
<tr>
<td>4. Decision on the treatment of interest charges in the customs value of imported goods (<a href="#">G/VAL/5</a>, paragraph A.3).</td>
<td>Notification of the date from which the Member will apply the Decision on interest charges.</td>
<td>Members choosing to apply the Decision</td>
<td>Ad hoc</td>
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² All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document [WT/INF/25/Rev.2](#). Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
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<th>Comments on Periodicity</th>
<th>Format</th>
<th>To whom</th>
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<tr>
<td>Decision on the valuation of carrier media bearing software for data processing equipment (G/VAL/5, A.4).</td>
<td>Notification of the date of application of the practice referred to in paragraph 2 of the Decision on carrier media.</td>
<td>Members choosing to apply the Decision</td>
<td>Ad hoc</td>
<td>No</td>
<td>Committee on Customs Valuation</td>
<td>G/VAL/N/3/</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Agreement on Implementation of Article VII of the GATT 1994 Annex III, paragraph 4.</td>
<td>Reservations in respect of Art. 5.2 (price of imported goods after further processing).</td>
<td>Developing country Members</td>
<td>Ad hoc</td>
<td>Once upon entry into force of the WTO Agreement for the Member concerned.</td>
<td>No</td>
<td>Committee on Customs Valuation</td>
<td>WT/LET/</td>
<td></td>
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2 All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.
### EXPIRED NOTIFICATIONS

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<tr>
<td>Agreement on Implementation of Article VII of the GATT 1994 Article 20.1</td>
<td>Deferred application of Art. 1.2(b)(iii) and Art. 6 (computed value method) of the CV Agreement for a period not exceeding three years following the application of all other provisions of the Agreement.</td>
<td>Developing country Members not parties to the Tokyo Round Code</td>
<td>Ad hoc</td>
</tr>
<tr>
<td>Agreement on Implementation of Article VII of the GATT 1994 Article 20.2</td>
<td>Extension of deferred application of CV Agreement in Art.20.1</td>
<td>Developing country Members not parties to the Tokyo Round Code</td>
<td>Ad hoc</td>
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2. All notifications, regardless of their subject content or the requirement under which they are being submitted, must be directed to the administrator of the Central Registry of Notifications (CRN), as indicated in document WT/INF/25/Rev.2. Notifications may be submitted through online submission systems, as electronic attachments to emails, by fax or on paper. As it may be practice, a copy of the notification may be sent to the Secretariat unit substantially handling the notification.

3. Expired notifications are related to the special and differential treatment available to developing countries under the provisions of the Customs Valuation Agreement. Following the entry into force of the Agreement in 1995, developing and least-developed countries had transition periods for implementation of the Agreement which have since lapsed.
## Expired Notifications

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<tr>
<th>Notification requirements</th>
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<th>Members notifying</th>
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<th>Comments on Periodicity</th>
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<tbody>
<tr>
<td>3. Agreement on Implementation of Article VII of the GATT 1994 Annex III, Paragraph 1.</td>
<td>Extend the five-year delay in the application of the provisions of the Agreement by developing country Members.</td>
<td>Developing country Members who have invoked Art. 20.1</td>
<td>Ad hoc</td>
<td>Before the end of the five-year delay period granted under Art. 20.1 of CV Agreement. Invocation of special provisions.</td>
<td>Committee on Customs Valuation</td>
<td>WT/LET/*</td>
<td></td>
</tr>
<tr>
<td>4. Agreement on Implementation of Article VII of the GATT 1994 Annex III, paragraph 2.</td>
<td>Reservation in respect to Art. 7 to maintain a system of minimum values for a limited time.</td>
<td>Developing country Members</td>
<td>Ad hoc</td>
<td>Once upon entry into force of the WTO Agreement for the Member concerned. Invocation of special provisions.</td>
<td>Committee on Customs Valuation</td>
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Decisions concerning the interpretation and administration of the Agreement on implementation of Article VII of the GATT 1994 (Customs Valuation) G/VAL/5.
List of notifications under Article 22 and G/VAL/5, paragraphs B.2 and B.3 G/VAL/N/1/*.

List of notifications of the Decisions on the Treatment of Interest Charges in The Customs Value of Imported Goods and on the Valuation of Carrier Media Bearing Software for Data Processing Equipment from 1995 G/VAL/N/3/*.

List of notifications of the Decisions on the Treatment of Interest Charges in the Customs Value of Imported Goods and on the Valuation of Carrier Media Bearing Software for Data Processing Equipment from 1995 G/VAL/W/5/*.