



BASEL CONVENTION

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**Open-ended Working Group of the Basel Convention
on the Control of Transboundary Movements of
Hazardous Wastes and Their Disposal
Eleventh meeting**

Geneva, 3–6 September 2018

Item 3 (b) (iii) of the provisional agenda*

**Matters related to the work programme of the
Open-ended Working Group for 2018–2019:
scientific and technical matters: electronic
approaches to the notification and movement documents**

**Summary of the responses to the questionnaire on electronic
approaches to the notification and movement documents**

Note by the Secretariat

As referred to in the note by the Secretariat on electronic approaches to the notification and movement documents (UNEP/CHW/OEWG.11/6), a summary of the responses to the questionnaire on electronic approaches to the notification and movement documents, received from Parties and stakeholders, is set out in annexes I and II to the present note, respectively. The present note, including its annexes, has not been formally edited.

* UNEP/CHW/OEWG.11/1/Rev.1.

Annex I

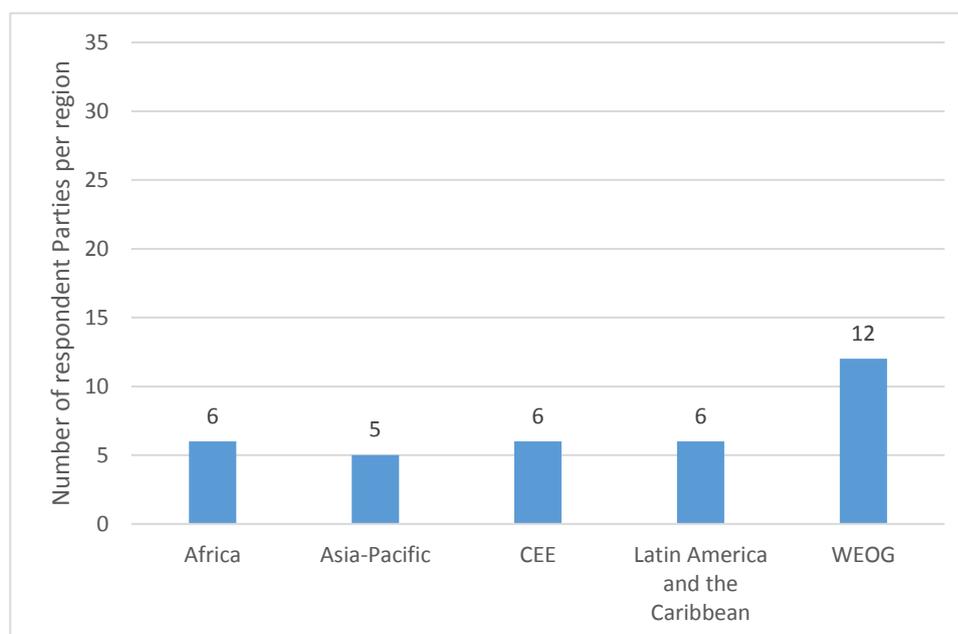
Information gathered from Parties through the questionnaire on electronic approaches to the notification and movement documents

I. Introduction

1. On 12 April 2018, the Secretariat invited Parties to provide by 22 June 2018 recent information on their experiences with electronic approaches to the notification and movement documents by completing a questionnaire on this topic. Responses received to the questionnaire are available on the website of the Convention¹. Section II below contains a summary and compilation of responses received from Parties.
2. Thirty-five (19%) Parties to the Basel Convention, out of a total of 186 Parties, responded to the questionnaire by 22 June 2018. These were Afghanistan, Australia, Azerbaijan, Belgium, Cambodia, Canada, Colombia, Costa Rica, Croatia, Democratic Republic of the Congo, Denmark, Ecuador, Estonia, Eswatini, European Union, Finland, Germany, Honduras, Hungary, India, Israel, Madagascar, Mexico, Morocco, Paraguay, Portugal, Russian Federation, Rwanda, Sao Tome and Principe, Saudi Arabia, Slovakia, Sweden, Switzerland, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland. The regional distribution of respondents to the questionnaire is shown in figure 1 below.
3. For the following questions of the questionnaire, a coordinated response was provided by the European Union (EU) and its Member States: questions 9 and 10 of Section I, question 8 of Section II and all of the questions included in Section IV. For statistical purposes, the number of respondents to these questions was considered to be 24. For the remaining questions of the questionnaire, responses were provided individually by the 11 EU Member States that participated in the survey. For statistical purposes, the number of respondents to these questions was considered to be 34.
4. The response rate to a similar survey conducted by the Secretariat in 2016² was 25% percent (47 Parties). The total number of Parties having participated in either of the surveys or both is 65 (35% as per the total number of Parties in June 2018).
5. The questionnaire conducted in 2018 was intended to gather more recent information on existing electronic approaches to the notification and movement documents. The questionnaire included additional questions in Section III that sought information about electronic information systems that were in place to support waste movement processes.

¹ <http://www.basel.int/?tabid=7375>.

² UNEP/CHW/CC.12/11/Add.2.

Figure 1: Regional distribution of respondents to the questionnaire

II. Summary of responses received from Parties

SECTION I - Notification document: notification and consent

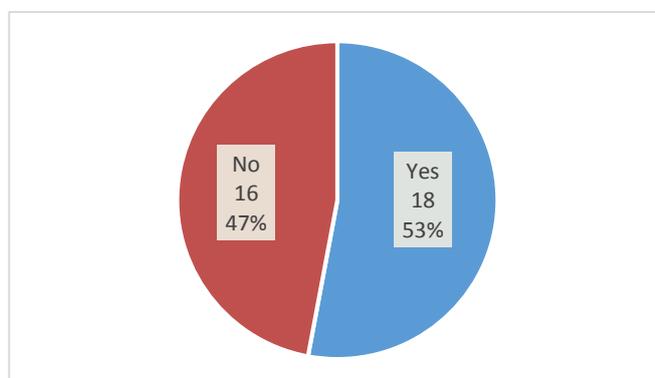
6. Section I of the questionnaire relates to the first stage of the Convention's prior informed consent procedure, which begins when the exporter/generator of the wastes informs the Competent Authority of the State of export of a proposed shipment of hazardous or other wastes and ends when the Competent Authority of the State of export issues a movement document and authorizes the shipment to start.

Availability of form in electronic format

Question I.1: *Is the notification document available in electronic form in your country?*

7. Of the 34 Parties that responded to the questionnaire, 18 (53 %) reported that the notification document was electronically available in their country. Sixteen respondents (47 %) reported that the notification document was not electronically available (see figure 2).

Figure 2: Distribution of the responses on the availability of the notification document in electronic form

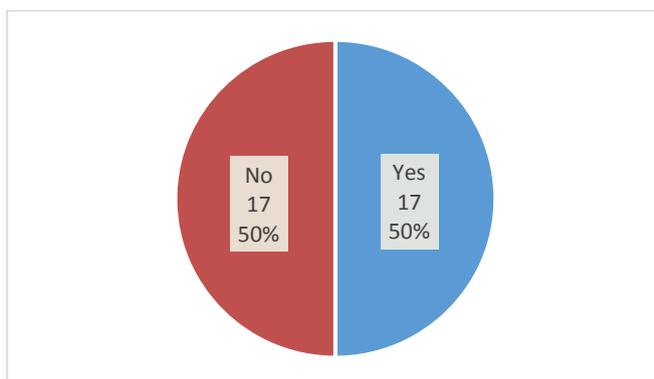


Possibility of electronically completion

Question I.2: *Can the notification document be completed electronically in your country?*

8. Seventeen (50%) of respondents reported that the notification document could be completed electronically in their country. The other 50% of the respondents reported that the document could not be completed electronically (see figure 3).

Figure 3: Distribution of the responses on the possibility of electronic completion of the notification document



Occurrence of electronic completion

Question I.3: *Are notification documents usually completed electronically in your country?*

9. Fourteen (41%) respondents reported that the notification documents were usually completed electronically in their country. Fifteen (44%) respondents reported that the documents were not usually completed electronically. Five (15%) respondents indicated other possibilities (see figure 4 and table 1).

Figure 4: Distribution of the responses on the occurrence of electronic completion

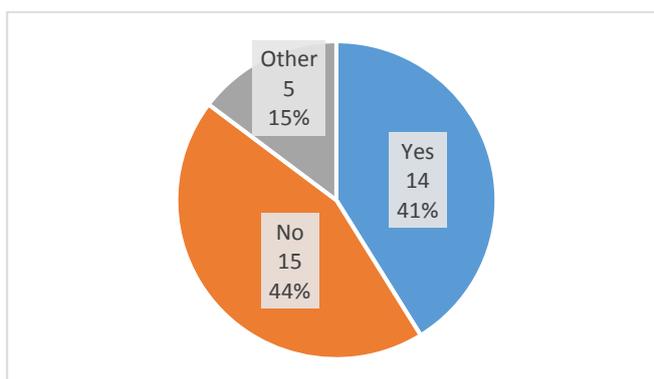


Table 1: Compilation of the details provided by respondents that indicated other possibilities on the occurrence of the electronic completion in their countries and those respondents who wished to provide further information

| | |
|-----------|---|
| Australia | Australia has only recently commenced its electronic application system, so only a very small number of applications (which include notifications) have been submitted electronically. The online system has a number of known issues, which are currently being addressed. |
| Canada | The Canadian notice form is available in electronic format in our country in two ways: 1- A notifier can download, from our web site, a PDF form which can be filled onscreen, and then either saved as PDF to be sent by email (on their own) or printed and be sent by other means such as fax or mail. Either a scan of a signed Basel notification document, or the paper notification document, would be attached. 2- A notifier can login into a secure online system, where they have to fill an online single notification form, attach contract(s) and any supporting documentation (like the Basel notification document) in PDF format, agree to statements and sign the notification online before submitting electronically the notification package to us. For shipments between Canada and other Parties to the Convention, Canada uses the Basel Convention notification form. Notifications are not completed electronically. |

| | |
|-----------------------|--|
| Colombia | Los exportadores diligencian la versión editable de los documentos de notificación y los presentan en medio digital y en papel. |
| Estonia | Notifications can be filled in electronically but they have to be signed by manual signature. In Estonia, national documents are signed digitally but since there is no harmonized system with other Parties the notification documents are signed manually. |
| European Union | The default replies under I.1 and I.2 shown above do not apply to this submission. Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Germany | There are some notifiers in Germany that complete the notification document electronically. |
| India | Generally, the notification documents received are scanned copies of paper forms sent via email. |
| Madagascar | Téléchargement du modèle du document de notification dans le site de la convention. |
| Sao Tome and Principe | Se llenan en papel. |
| Switzerland | For the export of waste there is, according to the ordinance on the movement of waste art. 16, an obligation to fill in the notification form electronically (using our online tool veva-online.admin.ch). |

State of export: Signature modality

Question I.4: *How are the notification documents signed by the State of export, exporter or generator in your country?*

10. Twenty-nine (85%) respondents reported that the notification documents were signed by manual signature. Three (9%) respondents reported that the documents were signed by digital signature. Two (6%) respondents indicated that the signature was done in another way (see figure 5 and table 2).

Figure 5: Distribution of the responses on the signature modality of notification documents by the State of export, exporter or generator

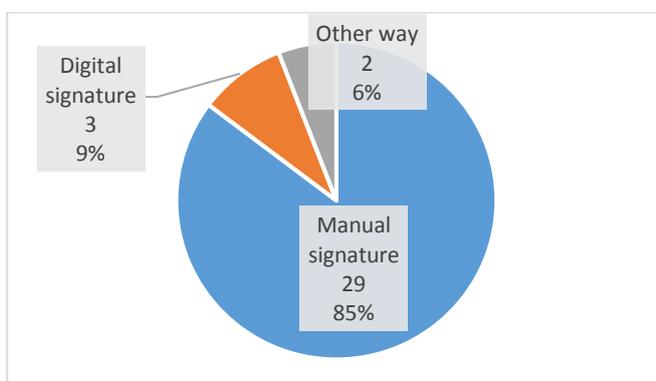


Table 2: Compilation of the details provided by respondents that indicated other ways for signature modality and those respondents who wished to provide further information

| | |
|--------|---|
| Canada | <p>For shipments between Canada and the USA, an electronic signature is accepted. To be able to submit an electronic notification, the exporter must agree to liability and legal statements (including a reference that an authorized representative of the exporting company is about to submit the notification documents) and indicate the name and contact info of the person who submits the notification before actually submitting the notification; otherwise the online notification document and all its attachments cannot be submitted electronically by the online system.</p> <p>For shipments with other parties to the Convention, the Basel notification document is always signed manually by the exporter, even when provided as an attachment with the Canadian notification documents. The Basel notification document is always signed and stamped manually by us when we provide a decision to another competent authority.</p> |
|--------|---|

| | |
|----------------------------------|--|
| Democratic Republic of the Congo | La signature est manuelle mais le sceau est sec. |
| Denmark | Digital signature is available. Currently, most use pen signature. |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Germany | In Germany, the notifier has to sign the notification document (block 17); this is usually done manually; in some instances, this is done by qualified digital signature. Also the signatures in blocks 19 and 20 by the competent authority are usually provided manually; in some instances, this is done by qualified digital signature by some competent authorities. |
| Madagascar | <p>Selon l'Article 4 du DECRET N° 2012-754 du 07/08/12, Fixant Procédure de Gestion des Produits en fin de vie, sources de déchets et des déchets dangereux nuisible à l'environnement dans le cadre de la mise en œuvre de la convention de Bâle.</p> <p>Signé manuellement le document de notification avec les conditions obligatoires suivantes :</p> <ol style="list-style-type: none"> 1- La lettre d'acceptation préalable du centre d'élimination des déchets en question du pays d'importation, 2-Permis environnemental du centre d'élimination, 3-Verification de la législation nationale du pays d'importation, du transit (Cf le site de la convention de Bâle), 4-Signature du document de notification et de la lettre d'expédition. |

Storage of notification documents

Question I.5: *How are the notification documents by the State of export, generator or exporter stored in your country?*

11. Twenty-two (65%) respondents reported that the notification documents were stored in paper form. Seven (20%) respondents reported that the documents were stored in electronic form. Five (15%) respondents indicated that the documents were stored in another form (see figure 6 and table 3).

Figure 6: Distribution of the responses on the storage of notification documents by the State of export, generator or exporter

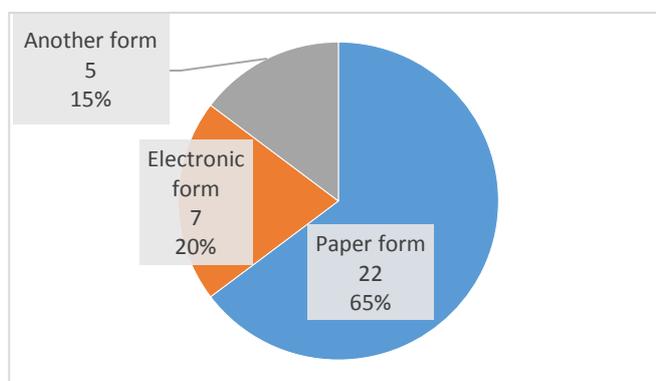


Table 3: Compilation of the details provided by respondents that indicated another form of storage of notification documents and those respondents who wished to provide further information on the storage modalities in their countries.

| | |
|------------|--|
| Azerbaijan | Stored and in paper form. |
| Belgium | Paper + scan. |
| Canada | In June 2018, a new internal management system for Canadian Notices was launched. Since June, all notification documents, including their attachment are stored electronically. Overseas notices that are not submitted through the electronic system will be manually entered into our database and the physical copy process and stored in paper form. |
| Colombia | Los exportadores presentan los documentos de notificación y sus anexos en papel, usb |

| | |
|--|--|
| | o cd; los cuales se archivan en el expediente físico y adicionalmente se digitalizan y cargan en el Sistema de Información de la entidad - SILA (Sistema de Información de Licencias Ambientales). |
| Denmark | Both paper and electronic |
| Estonia | All paper documents are also digitalized and stored also in a database. |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Finland | Also as paper documents. |
| Germany | In Germany, there are different approaches in the about 30 competent authorities. Currently, many documents are stored in paper form, some in electronic form or in both forms. |
| India | Generally, the notification documents received are scanned copies of paper forms sent via email by the State of export/exporter/ generator to the competent authority. India does not have an electronic shared database to receive and send notification and movement documents. The documents received/sent are printed out and stored in files. |
| Israel | The notification documents usually sent by e-mail. The documents are stored in computer folders. |
| Madagascar | Ils sont classées par ses numéros et par les pays d'origine. |
| Russian Federation | In scanned form. |
| Switzerland | Both. in paper and electronic form (notification form, accompanying letter). |
| United Kingdom of Great Britain and Northern Ireland | Both formats are utilised in the UK: The Competent authority for Wales, Natural Resources Wales (NRW), utilises both formats. The Competent Authority for England and Transit, the Environment Agency stores notification documents as a paper record up until transmission. The records are then stored electronically and no paper copy is held. |

State of export: Transmission modality to the State of import/transit

Question I.6: *How are notification documents by the State of export, generator or exporter transmitted to the State of import/transit? Please review the two options below and tick all boxes that apply.*

12. In question I.6, respondents were invited to provide information, through multiple-choice selection, about transmission modality of the notification documents to the State of import/transit when these were transmitted by the Competent Authority and when these were transmitted by the generator or exporter.

13. For the case when the notification documents were transmitted by the Competent Authority, the main forms of transmission indicated by respondents were by post, reported by twenty-eight (82%) respondents, and by email, reported by twenty-five (74%) respondents. Six (18%) respondents indicated that the documents were transmitted by fax, five (15%) respondents indicated transmission by electronic form and two indicated another form of transmission (see figure 7 and table 4).

Figure 7: Distribution of the responses on the transmission modalities of notification documents by the Competent Authority of the State of export to the State of import/transit.

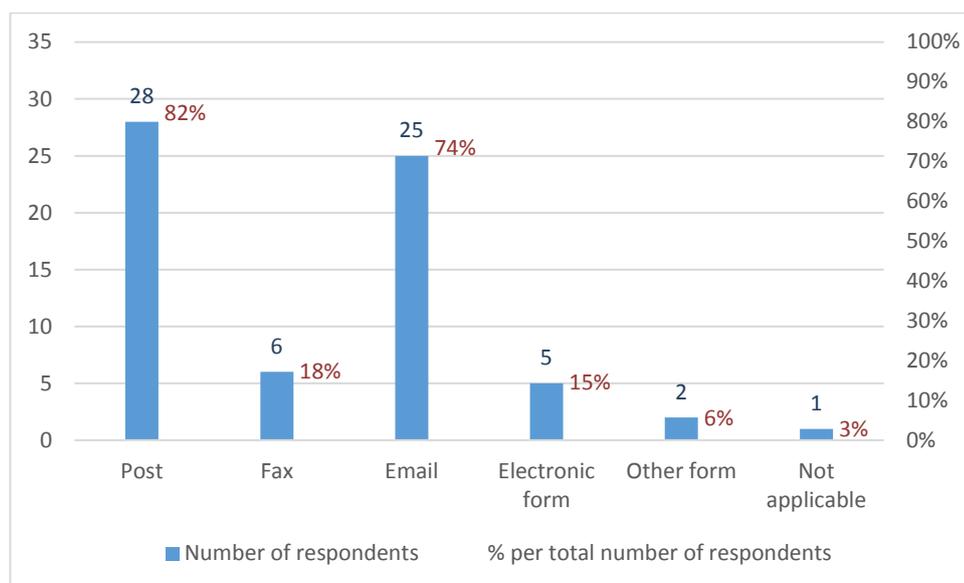


Table 4: Compilation of the details provided by respondents that indicated other forms of transmission of notification documents by the Competent Authority of the State of export and those respondents who wished to provide further details on the transmission modalities in their countries.

| | |
|--|---|
| Canada | For shipments between Canada and the USA, notices are transmitted via data exchange using an electronic data exchange system developed under the Commission for Environmental Cooperation between Canada, USA and Mexico. This secure system allows each competent authority to keep its own internal system and enables a competent authority to communicate with the other competent authority using standardized messages. For shipments to other Parties to the Basel Convention, we use a mix of paper, fax and email. When using email, the documents are sent in PDF format. This ensures that the original state of the document is kept. |
| Democratic Republic of the Congo | Toutes correspondances échangées par courrier électronique sont confirmées par un envoi postal, le cachet de la poste faisant foi. |
| Estonia | Via Email and followed by post. The original document is always sent by post. |
| Eswatini | 1. Courier 2. Registered Mail |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Germany | If the competent authority of dispatch (export) considers that the notification is complete, it sends the notification to the other competent authorities concerned. This is usually done by post; in some instances, this is done electronically. |
| Madagascar | Selon notre Logigramme National des mouvements transfrontières 1- Les dossiers complets sont envoyés obligatoirement par version physique et par courrier postale du pays exportateur. 2- Les résumés (Document de notification et mouvement) par courriel. |
| United Kingdom of Great Britain and Northern Ireland | NRW transmit notifications by post and email. For the Environment Agency, most notifications are sent to the State of import by post. For transit authorities, Environment Agency will, where possible, send a hyperlink via email through which the authority can access the notification located in a shared file. If that is not suitable, the notification package is sent as an attachment to an email. |

14. For the case when the notification documents were transmitted by the generator or exporter, the main forms of transmission indicated by respondents were also by post, reported by 17 (50%) respondents, and by email, reported by 14 (41%) respondents. Four (12%) respondents reported that the documents were transmitted by fax, 2 (6%) respondents reported transmission by electronic form and one reported another form of transmission. Twelve (35%) respondents reported that the question was not applicable for their country (see figure 8 and table 5).

Figure 8: Distribution of the responses on the transmission modalities of notification documents by the generator or exporter to the State of import/transit

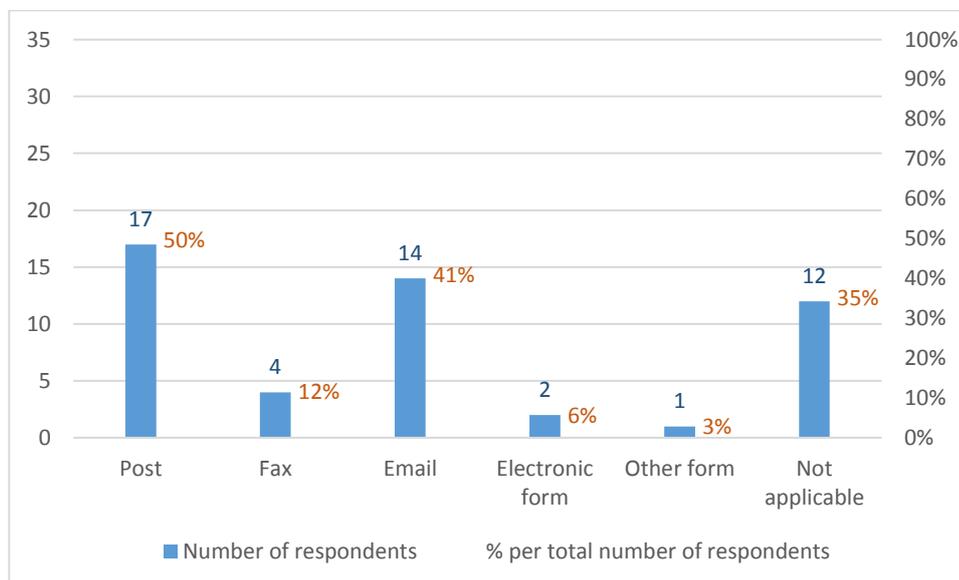


Table 5: Compilation of the details provided by respondents that indicated other form of transmission of notification documents by the generator or exporter and those respondents who wished to provide further information on the transmission modalities in their countries.

| | |
|----------------------------------|---|
| Canada | In Canada, the notification document is always transmitted from competent authority to competent authority. Our procedure currently does not allow the generator or exporter to transmit the notification document. |
| Democratic Republic of the Congo | Non encore appliqué dans notre pays. |
| Eswatini | Road - Hand delivered. |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Germany | The transmission of the notification by the notifier to the competent authority of dispatch (export) is usually done by post; in some instances, this is done electronically. |
| Madagascar | Selon notre Logigramme National des mouvements transfrontières 1- Les dossiers complets sont envoyés obligatoirement par version physique et par courrier postale du pays exportateur. 2- Les résumés (Document de notification et mouvement) par courriel. |
| Mexico | El intercambio de notificaciones es a través de Autoridades Competentes. |
| Sweden | Most of the notifications is transmitted by the generator or exporter to us, the CA of dispatch, through an electronic system but the Notification Document has to be manually signed and sent by post. Also, the financial guarantee is sent to us by post in original. But the rest of annexes and so on we can receive through our Electronic system Nordic TFS. |

State of export: Signature modality by the Competent Authority

Question I.7: As State of export, how does the Competent Authority in your country sign notification documents to be transmitted to the State of import/transit?

15. Twenty-eight (82%) respondents reported that the Competent Authority signed the notification documents manually. Two (6%) respondents reported that the documents were signed digitally and 4 (12%) respondents indicated another way for signature modality by the Competent Authority (see figure 9 and table 6).

Figure 9: Distribution of the responses on the signature modalities of notification documents by the Competent Authority of the State of export.

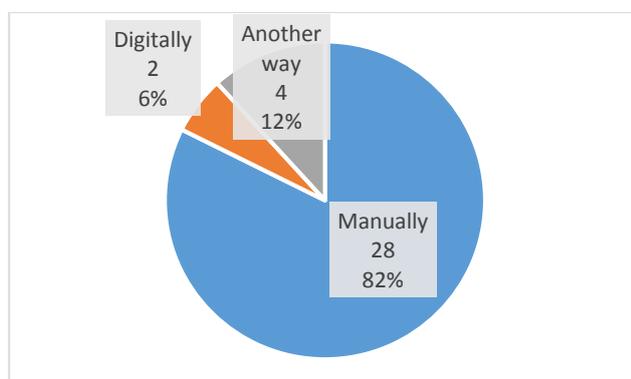


Table 6: Compilation of the details provided by respondents that indicated another way for signature modality of notification documents by the Competent Authority of the State of export and those respondents who wished to provide further information

| | |
|----------------------|--|
| Belgium | Mostly manually, some digitally (depends on existing systems with respective other involved states). |
| Canada | Both manually and digitally. For shipments between Canada and the USA, the system recognizes the author of the message and shows it to the recipient. The system also knows to which competent authority(ies) to send the message based on the notification information. For shipments between Canada and other parties to the Basel Convention, we do not sign the Basel notification document on the form when we transmit it to the state(s) of import/transit. Instead, the Basel notification document is accompanied by a standard letter generated electronically and on which we apply a digital handwritten signature of the authorized contact for the competent authority of Canada. |
| Colombia | Es importante aclarar que la ANLA en calidad de autoridad competente para la autorización de los movimientos transfronterizos, no firma de manera directa los documentos de notificación, lo que firma es la Resolución a través de la cual aprueba o niega el movimiento transfronterizo. |
| Denmark | We have an agreement with Norway of using digital signatures both ways: Between CA's and companies, and between CA and CA. |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |
| Germany | See reply to question I.4 above. |
| Madagascar | Selon l'Article 4 du DECRET N° 2012-754 du 07/08/12, Fixant Procédure de Gestion des Produits en fin de vie, sources de déchets et des déchets dangereux nuisible à l'environnement dans le cadre de la mise en œuvre de la convention de Bâle. Signé manuellement le document de notification avec les conditions obligatoires suivantes : 1- La lettre d'acceptation préalable du centre d'élimination des déchets en question du pays d'importation, 2-Permis environnemental du centre d'élimination, 3-Verification de la législation nationale du pays d'importation, du transit (Cf le site de la convention de Bâle), 4-Signature du document de notification et de la lettre d'expédition. |
| Sweden | Both manually and digitally. |
| United Arab Emirates | The Notification letter is signed digitally while the notification document is stamped manually. |

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| United Kingdom of Great Britain and Northern Ireland | NRW sign notification documents manually. EA do not sign notification documents but do manually sign a covering letter that accompanies the transmission. |
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State of import/transit: Processing of notification documents by Competent Authority

Question I.8: *As State of import/transit, how does the Competent Authority in your country process (receive, store, respond to) notification documents received through the Competent Authority of the State of export?*

16. Twenty-three (68%) respondents reported that the Competent Authority processed the notification documents manually. Seven (20%) respondents reported that the documents were processed digitally and 4 (12%) respondents indicated that the documents were processed in another way (see figure 10 and table 7).

Figure 10: Distribution of the responses on the processing of notification documents by the Competent Authority of the State of import/transit

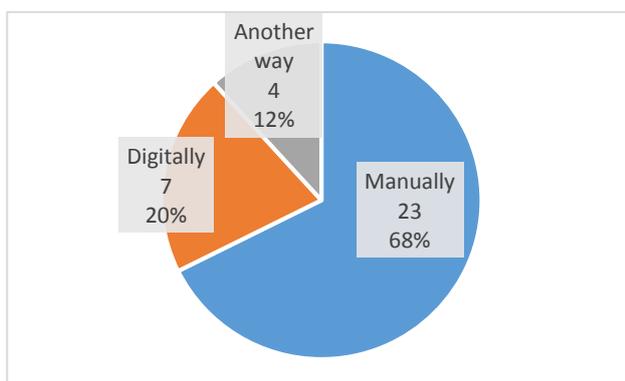


Table 7: Compilation of the details provided by respondents that indicated another way of processing of notification documents by the Competent Authority of the State of import/transit and those respondents who wished to provide further information on the processing of notification documents in their countries.

| | |
|----------------------------------|---|
| Canada | Both manually and digitally. For shipments between Canada and the USA, we respond via the electronic system using a form letter that contains an electronic signature. All approvals are done electronically within the electronic management system. For shipments between Canada and other parties to the Basel Convention, we respond to a Basel notification request in paper form with a wet signature and stamp. Then the form is either sent by mail (if a country required the original form) or in the form of a PDF scan by email (if the country accepts this format). |
| Colombia | Las consultas para la importación o tránsito de residuos peligrosos en el territorio nacional pueden ser enviadas a través del correo electrónico licencias@anla.gov.co o entregadas en papel en la Calle 37 N°8-40, en la ciudad de Bogotá; las respuestas se procesan manualmente y se envían a través de correo electrónico. Al respecto se aclara que de acuerdo con lo establecido en el Artículo cuarto de la Ley 1252 de 2008 "Por la cual se dictan normas prohibitivas en materia ambiental, referentes a los residuos y desechos peligrosos y se dictan otras disposiciones" en Colombia no está permitida la importación o tránsito de residuos peligrosos. |
| Democratic Republic of the Congo | Aussi manuellement par le biais des délégués des pays d'exportation se trouvant au pays. |
| Estonia | Quite often a copy via email is send in advance and the original follows by post. This allows CA to work faster. |
| European Union | Please note that except for Sections I.9 and I.10, Sections I.1 to I.8 are completed and submitted by each EU Member State separately. |

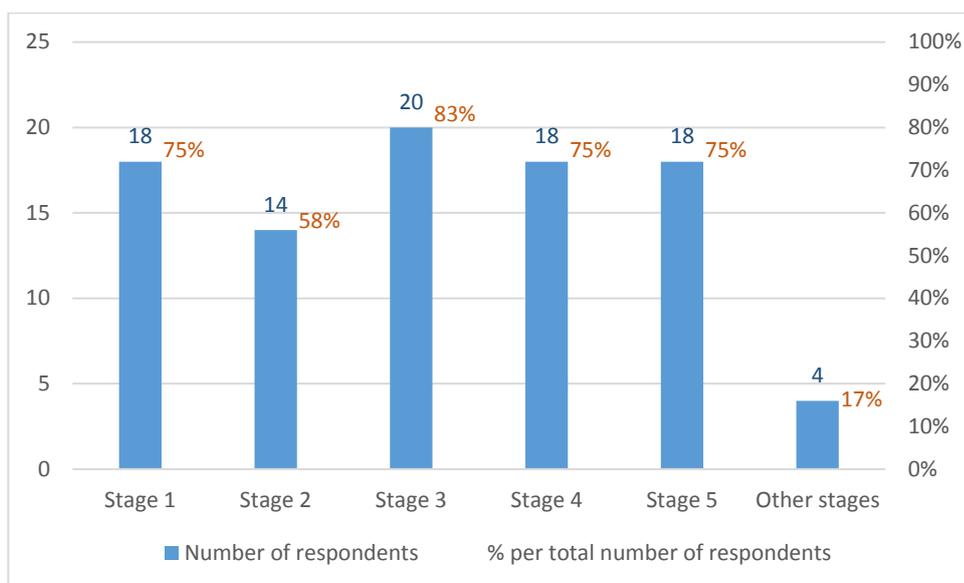
| | |
|--|---|
| Finland | Mostly the documents are received as paper documents. From Sweden and Norway digitally, but the Annex IA as paper document. |
| Germany | In Germany, the competent authorities of dispatch (export) and destination (import) receive, store and respond to notification documents manually; in some instances, this is done electronically. The German competent authority of transit does receive, store and respond to notifications (consent/objection) manually; in some cases, this is done electronically. Other correspondence concerning notifications is usually done electronically (by e-mail). |
| India | As stated earlier, the documents are scanned copies of paper forms sent through email. |
| Israel | By e-mail. |
| Madagascar | 1-En cas d'importation : Les déchets sont interdits d'importer à Madagascar, Selon le DECRET N°2012-753 du 07/08/12, Portant Interdiction de l'Importation des Déchets dans le cadre de la Convention de Bâle à Madagascar jusqu'à l'installation des centres de traitement adéquat. 2- En cas de Transit : Nous répondons avec des conditions obligatoires à suivre : Pas de déchargement, pas de transbordement, les déchets restes dans le bateaux. |
| Sao Tome and Principe | Ainda no se aplica. |
| Sweden | Both manually and digitally |
| United Kingdom of Great Britain and Northern Ireland | NRW process notification documents manually. For import notifications, Environment Agency receive paper documents as they require an original signature. They are stored on paper up until providing a decision, after which they are stored electronically. Where possible they correspond and send out acknowledgements via email. But as they require original documentation, the originals are returned to the notifier at the point of a decision. For transit notifications, Environment Agency receive the vast majority via email (a very small amount come in via fax or post). They store a copy of the documentation electronically and send out our decision via email. |

Procedural stages engaging a Competent Authority that should involve an electronic approach

Question I.9: *The notification procedure includes a number of procedural stages that engage a Competent Authority. Which, if any, of these stages should involve an electronic approach? Please tick each box that you think is relevant.*

17. In this question, respondents were invited to indicate, through a multiple-choice selection, the procedural stages engaging a Competent Authority that should involve an electronic approach. All five procedural stages listed in the question were selected by more than 50% of the respondents. Most of the respondents (83%) considered that procedural stage 3 should involve an electronic approach. 75% of the respondents considered that stages 1, 4 and 5 should involve an electronic approach, and 58% of the respondents indicated that stage 2 should also involve an electronic approach (see figure 11 and table 8).

Figure 11: Distribution of the responses on the procedural stages engaging a Competent Authority that should involve an electronic approach



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| <p><u>Stage 1:</u> The exporter/generator/State of export of the wastes informs the Competent Authority of the State of export of a proposed transboundary movement of hazardous or other wastes and submits all supporting documents, including the notification document.</p> |
| <p><u>Stage 2:</u> The Competent Authority of the State of export has no objection to the export and informs the exporter/generator/State of export thereof (in some Parties, this does not take place at this time).</p> |
| <p><u>Stage 3:</u> The notification document is transmitted to the Competent Authority of the States concerned (State of import/transit).</p> |
| <p><u>Stage 4:</u> On receipt of the notification document, the Competent Authority of the State of import/transit provide its written consent (with or without conditions) or denial (after asking for further clarification, if necessary).</p> |
| <p><u>Stage 5:</u> Once the relevant Competent Authorities have established that all the requirements of the Convention have been met and have agreed to the movement, the Competent Authority of the State of export can proceed with the issuance of the movement document and authorize the shipment to start.</p> |

Table 8: Compilation of the details provided by respondents that indicated other procedural stages engaging a Competent Authority that should involve an electronic approach and those respondents who wished to provide further information relative to procedural stages

| | |
|----------------|---|
| Canada | <p>We consider that for all five stages, it would be adequate to use an electronic approach. Note that for the stage 4, it should be reworded to better reflect the provisions of Article 6.2.</p> <p>The consent of the Competent Authority of the importing state is not provided on the receipt of the notification document but rather after a fulsome analysis is performed to validate its exactness.</p> <p>Only after will the consent be provided.</p> |
| Ecuador | <p>Tal vez no es una etapa, pero se cree importante, que las observaciones o pedidos de información adicional realizadas por las autoridades a quien se solicita el consentimiento, también puedan visualizarse a través del sistema.</p> <p>Previa a la etapa 1, se debería incluir de manera electrónica el contrato de exportador - eliminador, de ser posible el tema de la póliza.</p> |
| European Union | Please refer to answer IV.2 in Section IV. |
| Germany | See response provided by the European Union and its Member States under a separate submission. |

| | |
|-------------|---|
| Portugal | A joint response is provided by the EU and its Member States under a separate submission. |
| Switzerland | Movement documents in all its stages. |

Reasons why an electronic approach would be helpful

Question I.10: *If you have ticked any of the above boxes, please explain why you consider an electronic approach would be helpful*

Table 9: Compilation of the reasons provided by respondents on why an electronic approach would be helpful for procedural stages engaging a Competent Authority

| | |
|----------------------------------|---|
| Afghanistan | Because electric methods can prevent any kind of fraud, and moreover, it is acceptable for us to perform better and faster. |
| Australia | An electronic approach would streamline the notification process, both for applicants and the relevant states. The current manual system is unwieldy because some states cannot/do not respond to emailed documents/requests. |
| Azerbaijan | The electronic transmission of notification documents greatly reduces the time of examining documents, the communication between the competent authorities of the states expands, and the use of paper money is reduced. |
| Canada | We see much value in an electronic approach system for the notification procedure. It would harmonize the process with all other Basel Parties and reduce the administrative burden. In particular, key benefits would also be to: 1. Increase time efficiency at all of the notification stage procedure 2. Reduce paper burden and facilitate the records keeping of files 3. Facilitate the completion of the notification and increase the completeness of the information 4. Simplify the consent procedure from transit countries 5. Increase the implementation of tacit consent when applicable. |
| Colombia | La notificación por medios electrónicos permitirá la sistematización de la información, la reducción de los tiempos de envío y respuesta de las autoridades competentes y el ahorro de recursos y costos de envío. |
| Costa Rica | Facilidad y mejora en los tiempos de respuesta, se evita el uso de papel. El Ministerio de Salud se encuentra desarrollando un sistema de información que permitirá realizar los trámites en forme digital, de allí la necesidad que los trámites que se realizan a través del Convenio de Basilea sean digitales. |
| Democratic Republic of the Congo | Cette approche est bénéfique car facilitant la traçabilité et le gain en temps. |
| Denmark | In general, ALL stages of the notification is helpful to have digitally. However, when implementing an Electronic system, Projects must always be ready to develop at a gradual pace. The basic notification information is both the most important and the easiest to implement electronically. To implement messages and administrative procedure is a much harder task and need much testing. |
| Ecuador | 1. Se realiza un verdadero control de cada movimiento transfronterizo cerrando el ciclo de cada uno, que estaría en conocimiento de todas las autoridades involucradas. De esta manera se evita posibles desvíos de cargamentos. 2. Elimina tiempo de reporte adicional en el reporte electrónico anual, porque ya se contarían con los datos. |
| Estonia | A joint response is provided by the EU and its Member States under a separate submission. |
| Eswatini | 1. Improves efficiency- response time will improve 2. Will save energy (power in printing, fuel in transportation) and natural resources and paper (cumulative environmental impact of office predominantly paper work). |
| European Union | Please refer to answer IV.4 in Section IV. |
| Finland | Paper documents and manual signatures are out of date. |
| Honduras | Considero que sería más rápida y efectiva la comunicación entre los países (exportador, transito, importador), hemos tenido experiencias donde se requiere que un movimiento |

| | |
|-----------------------|---|
| | transfronterizo sea autorizado hasta por 8 Estados y el tiempo que demoran tanto en recibir como en responder, genera costos y a veces más riesgos al tener desechos peligrosos almacenados temporalmente. |
| Hungary | Actually, the practice of the competent authorities is different regarding to the transmission of the notification document (by post, e-mail, in electronic form etc.). An electronic approach probably will improve the transmission of the documentation between the competent authorities and the notifier, the administrative time could also decrease. |
| India | An electronic approach would be beneficial as it would enable to improve ease and efficiency of the process of transboundary movement of hazardous wastes as set out by the Convention. It is commonly observed that sending and receiving documents such as notification documents via email or fax is not fool-proof. Sometimes the documents do not deliver successfully or are incomplete in which case transmission of documents gets delayed. In order to address this, a centralized system of electronic notification, wherein all competent authorities of Parties are provided with an account through which transmission of information can be done effectively via electronic forms and competent authorities can communicate and seek clarification regarding the documents/transboundary movement would help immensely. |
| Israel | Any action that can be performed electronically may make the process more efficient. |
| Madagascar | L'approche électronique est bénéfique pour les pays parties développées qui ont des équipements et des infrastructures adéquates pour la mise en œuvre. Mais pour les pays parties en voie de développement, l'approche sera difficile à faire par la manque d'infrastructure électronique et technique. Fragilisation et non harmonisation des législations nationales pour les secteurs impliqués dans les mouvements des déchets. Ici, on parle du mouvement des déchets mais non pas des marchandises ou produit commercial. |
| Mexico | Se agilizarían las autorizaciones de exportación e importación. El sistema permitiría generar reportes. Se facilitaría el intercambio de información. Sería más fácil el combate al tráfico ilícito. Se facilitaría la aplicación de la enmienda de prohibición. |
| Morocco | Une approche électronique va permettre de gagner du temps pour traiter les dossiers. |
| Paraguay | Por su rapidez en la comunicación y la exportación/importación será realizada en menor tiempo. |
| Rwanda | Improving service delivery by curbing down the time used for the whole process It saves money (transport to submit manually the documents) for both sides Improved archiving. |
| Sao Tome and Principe | Puede ser más rápido la respuesta. |
| Saudi Arabia | because it will facilitate the process of the document. |
| Sweden | We refer to joint EU+MS submission (See also answer IV.4 in Section IV). |
| Switzerland | More effective and efficient handling. modernisation of processes. reduction of paper. For third countries, it is much easier to make online submissions for notifications instead of sending documents per post that is not always very well working. |
| United Arab Emirates | It facilitates the information exchange between competent authorities, exporters and importers of waste in terms of time-saving and validation. |

SECTION II - Movement document: transboundary movement and confirmation of disposal

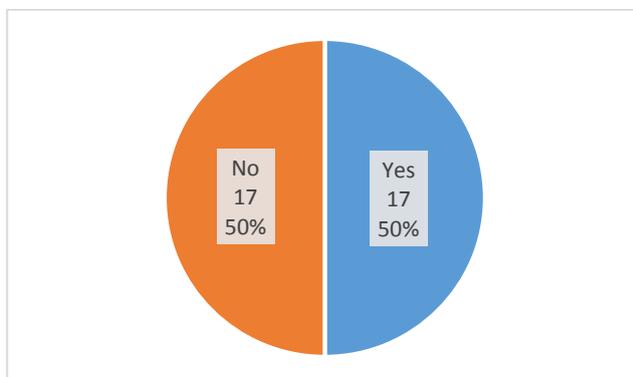
18. Section II of the questionnaire relates to the second stage of the Convention's prior informed consent procedure, which begins following the issuance of the movement document and when the transboundary movement has been initiated and lasts until the wastes have been received by the disposer and the exporter and the State of export receive confirmation that the wastes have been disposed of as planned and in an environmentally sound manner.

Availability of the movement document in electronic form

Question II.1: *Is the movement document available in electronic form in your country?*

19. Of the 34 Parties that responded to the questionnaire, 17 (50 %) reported that the movement document was available electronically in their country. The other 17 respondents (50 %) reported that the movement document was not available electronically (see figure 12).

Figure 12: Distribution of the responses on the availability of the movement document in electronic form

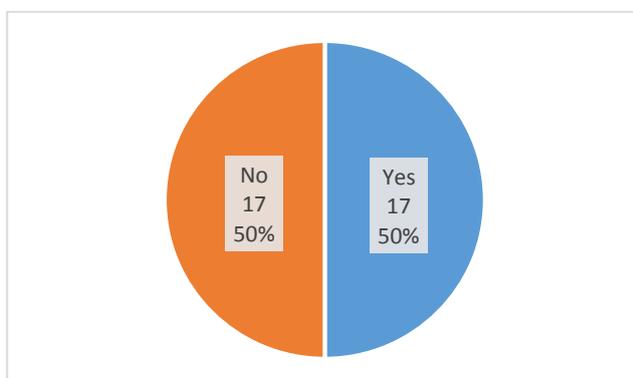


Possibility of electronically completion

Question II.2: *Can the movement document be completed electronically in your country?*

20. Seventeen (50%) respondents reported that the movement document could be completed electronically in their country. The other 50% of the respondents reported that the document could not be completed electronically (see figure 13).

Figure 13: Distribution of the responses on the possibility of electronic completion of the movement document

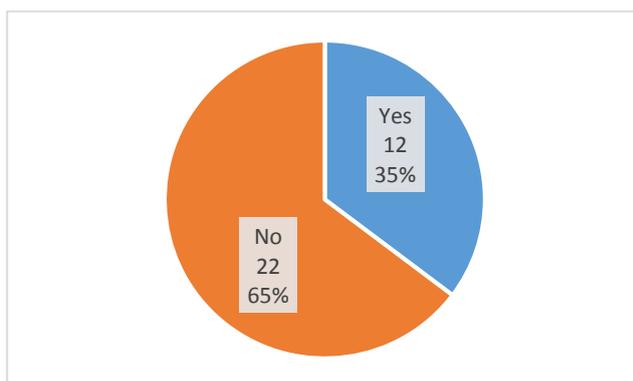


Occurrence of electronic completion

Question II.3: *Is the movement document usually completed electronically in your country?*

21. Twelve (35%) respondents reported that the movement document was usually completed electronically in their country. Twenty-two (65%) respondents reported that the document was not usually completed electronically (see figure 14).

Figure 14: Distribution of the responses on the occurrence of electronic completion



Form in which movement documents become available to person in charge of transboundary movement

Question II.4: *In your country, how do the movement documents become available to each person who takes charge of a transboundary movement of hazardous wastes or other wastes? Please, tick all that apply.*

22. In question II.4, respondents were invited to provide information, through multiple-choice selection, about the form in which the movement documents became available to each person in charge of a transboundary movement of hazardous wastes or other wastes. The main forms in which the movement documents become available were by original and by copy, each form reported by 19 (56%) respondents. Fourteen (41%) respondents reported that movement documents become available by email and 8 (24%) respondents indicated by electronic form. Three (9%) respondents indicated by fax and three (9%) indicated another form (see figure 15 and table 10).

Figure 15: Distribution of the responses on form in which movement documents become available to each person in charge of a transboundary movement of hazardous wastes or other wastes

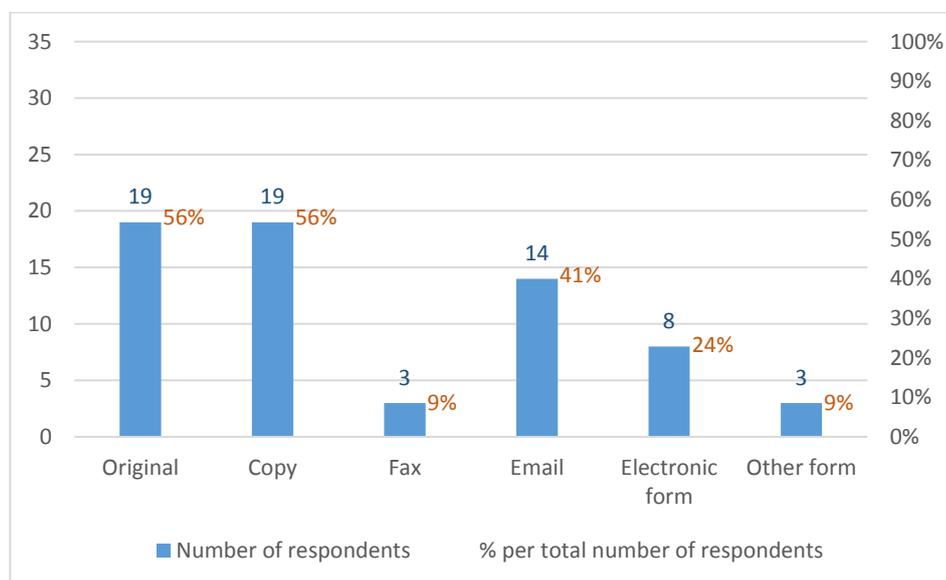


Table 10: Compilation of the details provided by respondents that indicated another form in which movement documents become available to each person in charge of a transboundary movement of hazardous wastes or other wastes

| | |
|---------|--|
| Germany | The movement documents are usually made available as originals; in some cases, this is done electronically. |
| India | The format of the movement document is specified as Form 6 in the Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016 notified by the Ministry of Environment, Forest and Climate Change, Government of India. The person |

| | |
|------------|--|
| | in-charge of the transboundary movement has to submit the form to the Ministry in the given format. |
| Madagascar | Selon l'Article 4 du DECRET N° 2012-754 du 07/08/12, Fixant Procédure de Gestion des Produits en fin de vie, sources de déchets et des déchets dangereux nuisible à l'environnement dans le cadre de la mise en œuvre de la convention de Bâle. Ce document est disponible au BNCB (Bureau National de la Convention de Bâle). |

Signature modality

Question II.5: *In your country, how are the movement documents signed and stamped?*

23. In question II.5, respondents were invited to provide information, through multiple-choice selection, about the signature and stamping modality for movement documents. Thirty-two (94%) respondents reported that the notification documents were signed and stamped manually. Three (9%) respondents reported that the documents were signed and stamped digitally. Three (9%) respondents indicated other way (figure 16 and table 11).

Figure 16: Distribution of the responses on the signature and stamping modality of movement documents

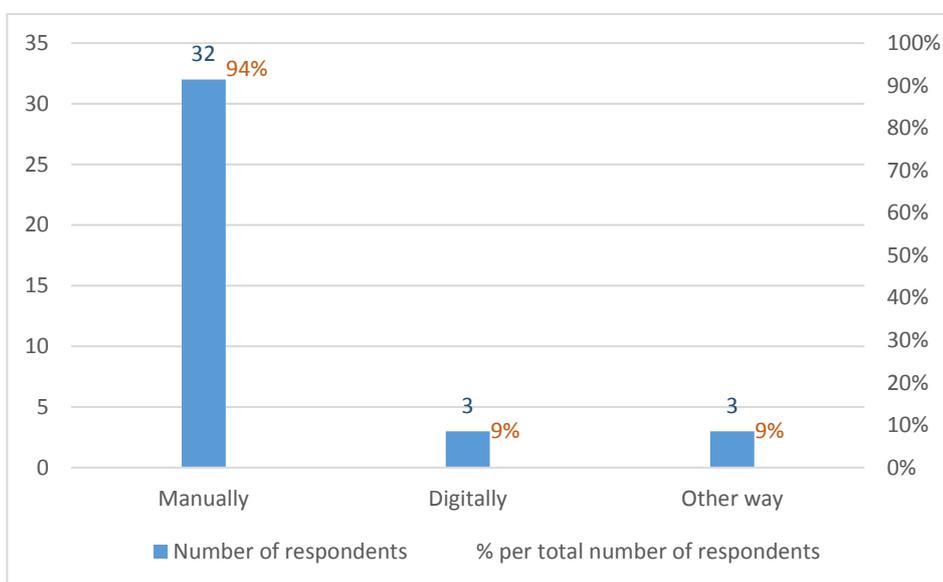


Table 11: Compilation of the details provided by respondents that indicated other way of signature and stamping modality of movement documents

| | |
|----------|--|
| Belgium | Mostly manually, some digitally (depends on existing systems with respective other involved states). |
| Colombia | Los documentos de movimiento no son firmados en nuestro país, dado que no autorizamos la importación o tránsito de residuos. |
| Germany | The movement documents are usually signed and stamped manually; in some cases, this is done electronically. |

State of export: Transmission modality of confirmation of disposal by disposer

Question II.6: *As State of export, how do you receive confirmation from the disposer that waste has been received and disposed of as planned and in an environmentally sound manner? Please, tick all that apply.*

24. In question II.6, respondents were invited to provide information, through multiple-choice selection, about the transmission of confirmation of disposal by the disposer. Twenty-four (71%) respondents reported that the confirmation of disposal by the disposer was transmitted by email and seventeen (50%) respondents reported that it was by post. Eleven (32%) respondents reported that it was by fax, 7 (21%) respondents reported that it was in electronic form, and 3 respondents indicated in another form (see figure 17 and table 12).

Figure 17: Distribution of the responses on the transmission modality of confirmation of disposal by disposer

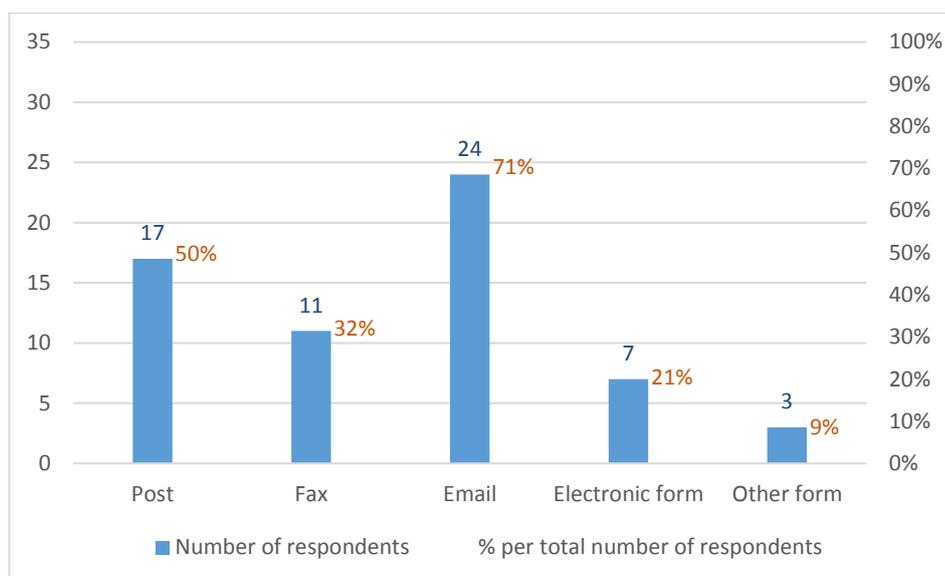


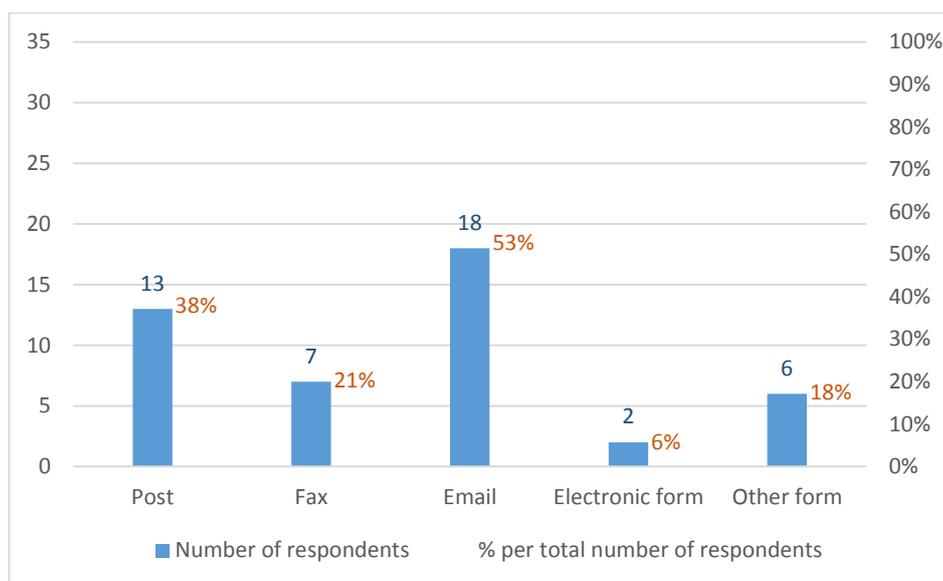
Table 12: Compilation of the details provided by respondents that indicated another form of transmission of confirmation of disposal by disposer

| | |
|------------|---|
| Eswatini | We do not receive any feedback after receipt of consent from Competent Authority. |
| Germany | The movement documents are usually sent by fax or e-mail and sometimes by post; in some cases, this is done electronically. |
| Madagascar | Le responsable du centre d'élimination nous envoyé par courriel. |

State of import: Transmission modality by the State of export about confirmation of reception and disposal

Question II.7: *As State of import, how are you informed by the State of export that confirmation of reception and disposal has not been received from the disposer? Please, tick all that apply.*

25. In question II.7, respondents were invited to provide information, through multiple-choice selection, on the transmission by the State of export about the confirmation of reception and disposal from the disposer. Eighteen (53%) respondents reported that information about confirmation of reception and disposal was transmitted by email and 13 (38%) respondents reported that it was by post. Seven (21%) respondents reported that it was by fax, two (6%) respondents reported that it was by electronic form, and 6 (18%) respondents indicated in another form (see figure 18 and table 13).

Figure 18: Distribution of the responses on the transmission by the State of export about confirmation of reception and disposal**Table 13:** Compilation of the details provided by respondents that indicated in another form regarding the transmission by the State of export about confirmation of reception and disposal and those who wished to provide further information

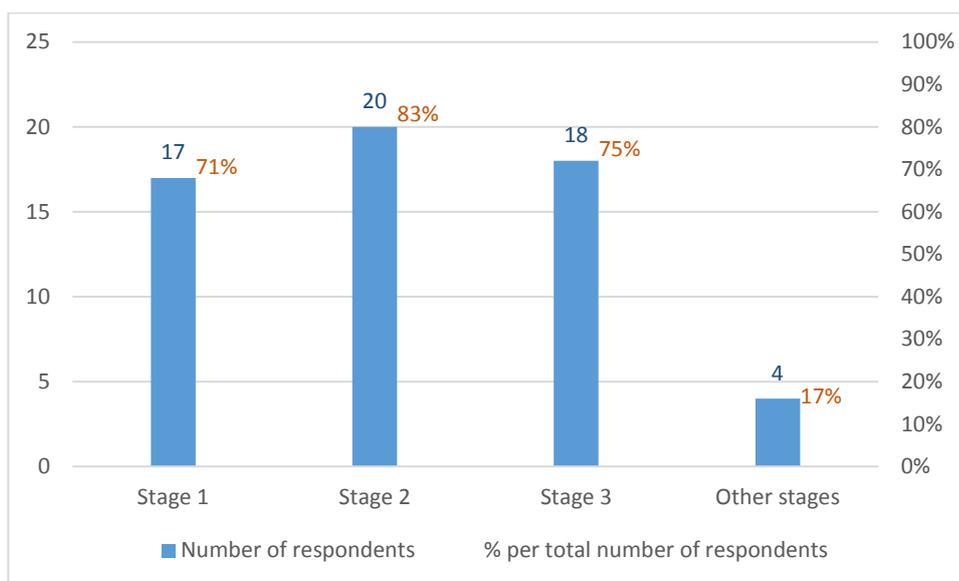
| | |
|------------|--|
| Eswatini | We do not receive any feedback after receipt of consent from Competent Authority. |
| Germany | The confirmation of the receipt of the waste and the certification disposal (recovery or final disposal) are usually sent by fax or e-mail and sometimes by post; in some cases, this is done electronically. |
| Honduras | Honduras no recibe información de ningún Estado exportador, porque está prohibida la importación de desechos peligrosos. |
| Madagascar | Presque tous les pays parties en voie de développement comme Madagascar ont refusé catégoriquement l'importation des déchets pour élimination par l'absence des centre de traitement adéquate, absence des infrastructure d'élimination à la norme ISO 14001. |
| Mexico | Nota: En México está prohibida la importación de residuos peligrosos y otros residuos para su eliminación, de conformidad con el art. 86 fracción I y II de la Ley General para la Prevención y Gestión Integral de Residuos, solo se permitirá para su reciclaje o reutilización. no está permitida la importación de residuos organohalogenados. |

Stages that should involve electronic approach

Question II.8: *The movement and disposal procedures include a number of stages. Which, if any, of these stages should involve an electronic approach? Please tick each box that is relevant.*

26. Respondents were invited to indicate, through a multiple-choice selection, the stages included in the movement and disposal procedures that should involve an electronic approach. All three stages listed in the question were selected by more than 70% of the respondents. Most of the respondents (83%) considered that stage 2 should involve an electronic approach. 75% of the respondents considered that stage 3 should involve an electronic approach, and 71% of the respondents indicated that stage 1 should also involve an electronic approach. 17% of respondents also indicated other stages (see figure 19 and table 14).

Figure 19: Distribution of the responses on the stages included in the movement and disposal procedures that should involve an electronic approach



| |
|---|
| <u>Stage 1:</u> The movement document, which contains important information, accompanies the wastes and is signed by each person taking charge of it. |
| <u>Stage 2:</u> The exporter and Competent Authority of the State of export receive confirmation that the wastes moved across borders have been received and disposed of by the disposer as planned and in an environmentally sound manner. |
| <u>Stage 3:</u> The Competent Authority of the State of export that has not received the confirmation that disposal has been completed informs the Competent Authority of the State of import accordingly. |
| Other stages |

Table 14: Compilation of the details provided by respondents that indicated other stages of the movement and disposal procedures that should involve an electronic approach and those respondents who wished to provide further information

| | |
|----------------|--|
| Australia | An electronic approach would greatly streamline the dissemination, tracking and receipt of movement documents. |
| Belgium | Please refer to EU+MS answer IV.2 in Section IV. |
| Denmark | In general, basic information is most important to have electronically and is most readily made available. Special messages are harder to implement and should wait till later versions. |
| European Union | Please refer to answer IV.2 in Section IV. (Please note that except for Section II.8, Sections II.1 to II.7 are completed and submitted by each EU Member State separately.) |
| Germany | See response provided by the European Union and its Member States under a separate submission. |
| Hungary | Prior information regarding actual start of the shipment (WSR article 16, point (b)). |
| India | Stage 4: In case a transboundary movement of hazardous wastes or other wastes to which the consent of the States concerned has been given is not completed in accordance with the terms of the contract, the State of export ensures that the wastes in question are taken back into the State of export by the exporter, if alternative arrangements for environmentally sound manner of disposal cannot be made, within 90 days from the time that the importing State informed the State of export and the Secretariat. |
| Madagascar | Comme notre cas, Madagascar ne reçoit pas des déchets importés à éliminer. De ce fait, il n'existe de confirmation de l'élimination finale. |

| | |
|--|---|
| | Mais l'étape 2 pour les pays parties des îles de l'océan Indien (La réunion, l'île Maurice, les Comores,...), ils reçoivent des confirmations que l'élimination a été faite d'une manière écologiquement rationnelle. |
|--|---|

SECTION III - Current experience of electronic approaches

Waste movement processes having electronic approaches

Question III.1: *In your country, are there electronic approaches to any of the following waste movement processes? Please tick the ones that apply.*

27. In question III.1, respondents were invited to indicate, through a multiple-choice selection of ten listed waste movement processes, including one for inputs on processes other than the options presented, those processes to which electronic approaches were applied. The distribution of the responses on the waste movement processes having electronic approaches is provided in figure 20. Table 15 presents a compilation of the details provided by respondents that indicated other processes having electronic approaches in their countries and those respondents who wished to provide further information.

Figure 20: Distribution of the responses on the waste movement processes having electronic approaches

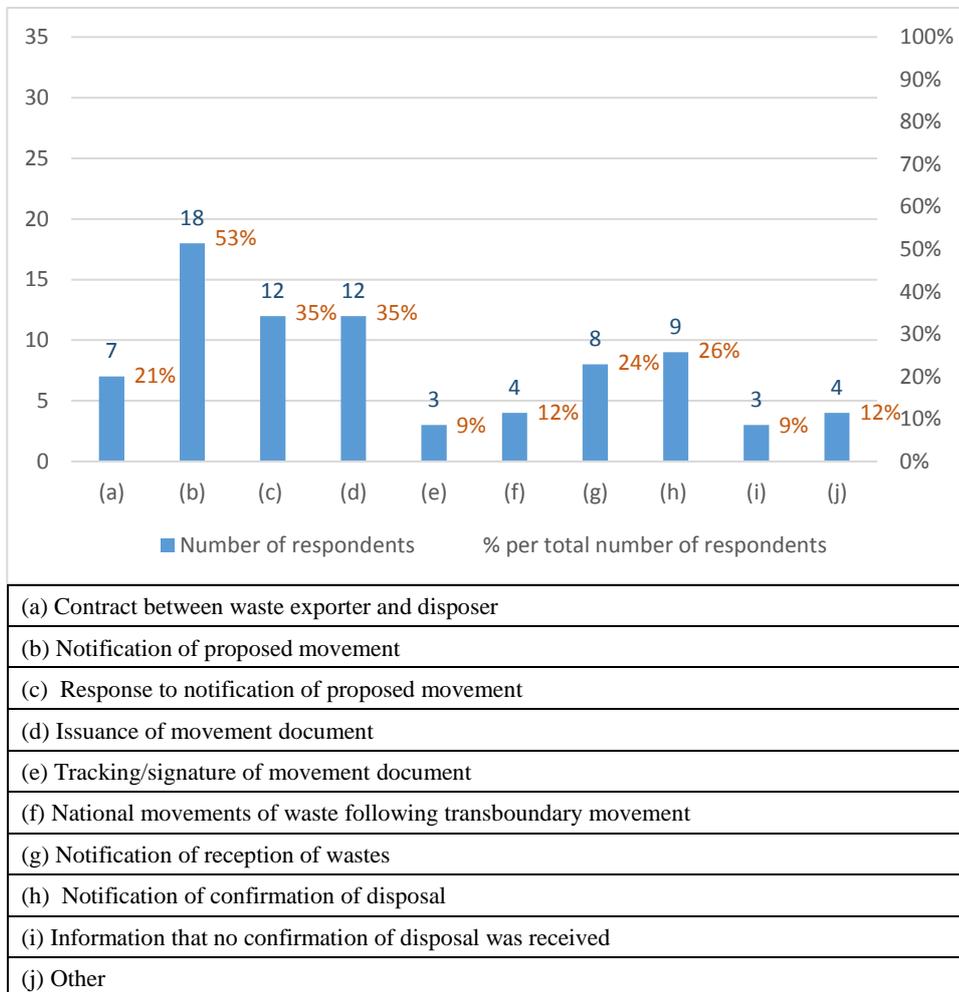


Table 15: Compilation of the details provided by respondents that indicated other waste movement processes having electronic approaches in their countries and those respondents who wished to provide further information

| | |
|--------|---|
| Canada | For notification with any country other than the USA, and for all movements themselves, |
|--------|---|

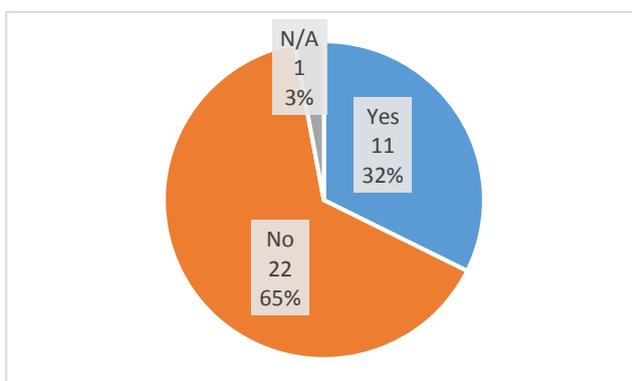
| | |
|------------|---|
| | <p>Canada’s administrative process uses a paper based approach.</p> <p>Canada administers approximately 20 requests of transboundary movement with Basel Parties annually. Canada administers approximately 1800 requests of transboundary movement with the United States annually.</p> <p>Our Canadian Notices and Movement Tracking System (CNMTS) tracks the content of the Canadian notification documents as well as PIC decisions, and the Canadian movement document and certification of disposal. Notices are either entered automatically or manually (paper submissions). For movement documents, information is received through various means (paper, fax, email), printed and manually entered into the system's database. We use the database to extract information, to produce reports and pull out potential regulatory non-compliances.</p> <p>The future Canadian electronic system will enable permit holders to generate and submit parts of the movement document/ COP to federal competent authority. At a future stage, we would like the system to eventually allow all handlers to fill in data in system to allow for a paperless process but also to be more “real time.”</p> |
| Germany | <p>In Germany, electronic approaches for the issues referred to above are used by some economic operators and some competent authorities in some instances.</p> <p>National movements of waste following transboundary movement are covered in accordance with the European Waste Shipment Regulation.</p> |
| Madagascar | <p>Notre pays n'a pas encore au niveau national un système d'approche électronique pour les processus de mouvements des déchets</p> |
| Slovakia | <p>We have not electronic system. In the near future, we expect the introduction of new information system for waste management including transboundary movement of waste (expected in 2020).</p> |

Availability of electronic information systems to support selected processes

Question III.1.a: *For the processes selected, is there an electronic information system to support these processes?*

28. Of the 34 Parties that responded to the questionnaire, 11 (32 %) reported that an electronic information system to support waste movement processes was available in their country. Twenty-two (65%) respondents reported that an electronic information system was not available and one (3%) respondent did not provide any response (see figure 21).

Figure 21: Distribution of the responses on the availability of electronic information systems to support selected waste movement processes



Electronic Information Systems (EIS)

[“Yes” answer] Please provide details on:

29. Those respondents that reported that an electronic information system to support waste movement processes was available in their country were invited to provide details on the electronic

information system, specifically, on its features and functionalities (see table 16), its implementation status, categories of participants, the possibility of transboundary exchange of messages between competent authorities and the possibility of use of electronic signature with the electronic information system.

(i) Features and functionalities

Table 16: Compilation of the details on features and functionalities provided by respondents that reported having an electronic information system in their countries

| | |
|--|--|
| Australia | Applicants can complete an online form, which automatically populates a notification form. The notification form must then be printed and signed. Forms submitted electronically are stored in the Department's data storage management system. |
| Canada | Our Canadian Notices and Movement Tracking System (CNMTS) tracks the content of the Canadian notification documents as well as PIC decisions electronically. For Canadian movement document and certification of disposal, information is received through various means (paper, fax, email), printed and manually entered into the system's database. We use the database to extract information, to produce reports and pull out potential regulatory non-compliances. |
| Denmark | In-house database in Danish EPA. No Means of forwarding data from outside as yet. |
| Finland | "Nordic TFS" allows to complete, store and submit notification documents online. The companies see all their notifications and the status of each. Preannouncements, certificates of receiving and treating may be done online. https://www.wasteshipment.eu |
| Germany | Movement documents can be completed, stored and submitted as XML-files. Notification documents are completed, stored and submitted to a small extent between certain authorities. |
| Hungary | According to the act no. CCXXII of 2015 on the General Rules for Trust Services and Electronic Transactions starting from the year 2018. we use the electronic system (KAÜ - Primary Identification Agency) to receive the notification documents from the exporter notifier and also for the communication between the notifier and the Competent Authority. |
| Portugal | The Portuguese electronic information system allows to: - Communicate the movement at least three working days before the shipment starts; - Confirmation of receipt of the waste by the facility; - Certificate for non-interim recovery or disposal by the facility. |
| Sweden | The system allows to complete, store and submit notification documents online. |
| Switzerland | Allows to complete, store and clone notification forms, movement documents. confirmation of receipt and disposal. allows to make statistical analysis of own company. |
| United Arab Emirates | The system allows the exporter to apply for hazardous export permit online, and attach the required documents. |
| United Kingdom of Great Britain and Northern Ireland | IWS Online service is owned, developed and managed by the Environment Agency but is used and developed/improved in conjunction with all other UK competent authorities. The service allows an applicant to complete, store and submit export notification applications online. The applicant must then submit a paper version of the notification documentation with original signatures in Block 17. An applicant can track the status of their notification with the system. They can create repeat notifications quickly via copy functionality to the review/edit to submit. Once all consents are received (including financial guarantee approval), the applicant can generate prenotifications, download a copy of the movement document to originally sign and upload back into the system to complete the prenotification journey. The applicant can record the receipt and recovery/disposal of waste movements as well as upload a copy of the completed movement document. Internally in the system - the IWS Team at the Environment Agency (EA) can input and record data against both export and import notifications. EA record dates to track when |

| | |
|--|--|
| | <p>an internal activity is performed for each notification i.e. transmission or acknowledgement. EA can record payment of charges and financial guarantee decisions against notifications. EA can record prenotifications, receipt and recovery of both export and import notification waste movements. EA are required by legislation and UK Government to provide both a manual and electronic approach for those export notification applicants whom either cannot or don't wish to use the IWS Online system. EA can run standard reports to fulfil statutory/business reporting requirements and data/freedom of information request.</p> |
|--|--|

(ii) Status

30. All 11 (100%) respondents that reported having an electronic information system in their countries indicated that the system is in use. None of respondents reported that the system was under development or in test phase.

(iii) Participants

31. Of the 11 respondents that reported having an electronic information system in their country, 10 (91%) respondents reported that national competent authorities participated in the system. Nine (82%) respondents reported that stakeholders in their jurisdiction (waste generators, exporters, importers, disposers, etc.) also participated in the system, and 4 (35%) respondents reported that Competent Authorities from other countries participated in the system. Three respondents also indicated other categories of participants (see figure 22 and table 17).

Figure 22: Distribution of the responses on the categories of participants in the electronic information system

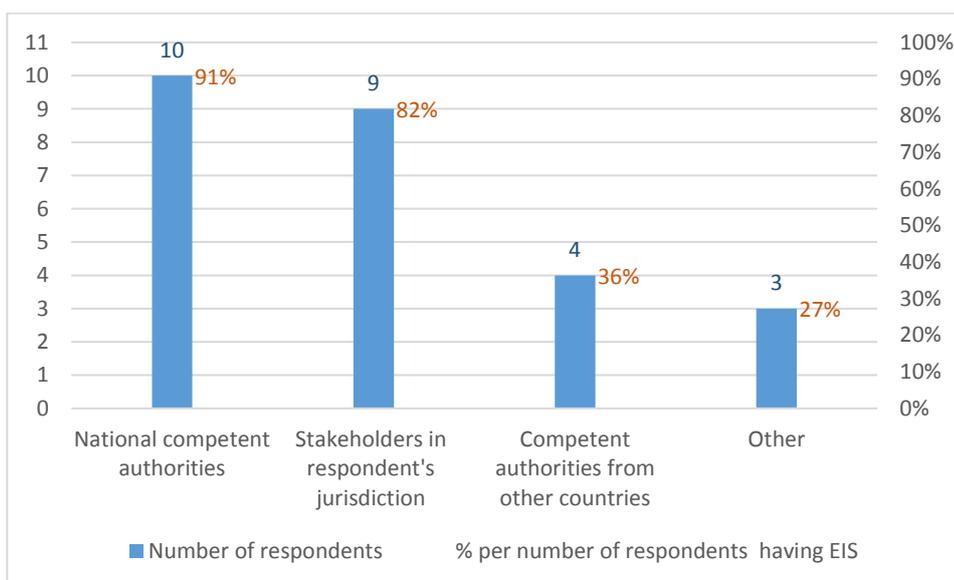


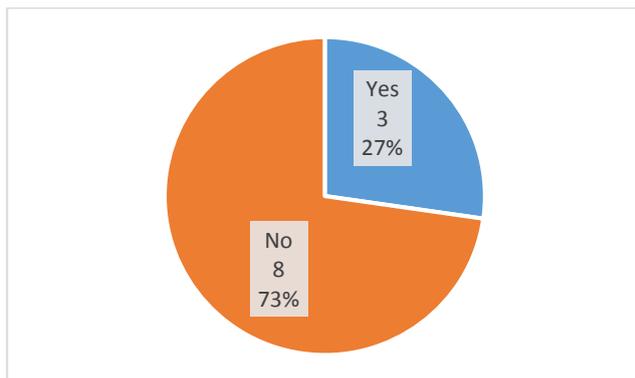
Table 17: Compilation of the details on other participants to the electronic information system provided by respondents that reported having an EIS in their countries

| | |
|-----------|---|
| Australia | This data is available to permit assessors and administrators, |
| Portugal | Stakeholders in other countries (consignees, notifiers and disposal/recovery facilities) |
| Sweden | Also, exporters, importers and so on not under our jurisdiction can use the system if we give the access to log in. You reach the system through the web. Both competent authorities in Sweden and Finland use the same digital system. |

(iv) Possibility of transboundary exchange of messages between competent authorities

32. Of the 11 respondents that reported having an electronic information system in their countries, 3 (27%) respondents reported that the electronic approach allowed transboundary exchange of messages between competent authorities. Eight (73%) respondents reported that the transboundary exchange of messages was not possible (see figure 23).

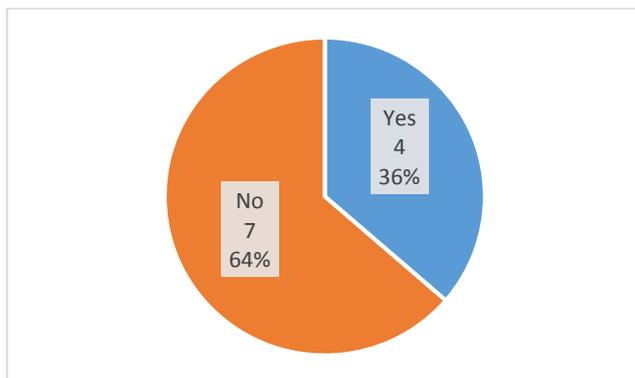
Figure 23: Distribution of the responses on the possibility of transboundary exchange of messages between competent authorities through the electronic approach



(v) Possibility of the use of electronic signatures

33. Of the 11 respondents that having an electronic information system in their countries, 4 (36%) respondents reported that the electronic approach allowed the use of electronic signatures. Seven (64%) respondents reported that the use of electronic signature was not possible (see figure 24).

Figure 24: Distribution of the responses on the possibility on the possibility of the use of electronic signatures in the electronic approach



Challenges in the implementation of the electronic approach

Question III.2: *If you already have an electronic approach, name the most significant challenges you face when implementing that approach.*

Table 18: Compilation of the challenges faced when implementing an electronic approach, considered most significant by respondents having that approach, and responses from respondents wishing to provide some information.

| | |
|-----------|---|
| Australia | <p>Australia recently established an electronic application system, as part of its hazardous waste movement permitting process.</p> <p>Although notification forms by applicants can be completed electronically, these need to be printed and signed, with a scanned copy of the form submitted electronically. The electronic submission of notification forms has created some challenges for Departmental permitting officers.</p> <p>The biggest challenge to a completely online system is other Basel states' lack of a similar approach, i.e., we are not aware of any other states having an online system and some states only accept notification and movement documents in hard copy.</p> |
| Canada | <p>The key challenges we face are threefold.</p> <p>1. The development of the electronic system itself is onerous and lengthy. However, part of the system was released in June 2018 which is a significant step forward. The next big step forward will be the release of the movement tracking module scheduled for 2019.</p> |

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| | <p>2. Incorporating overseas shipments into an integrated system. With most of our hazardous waste exchanges being with the USA, most of our information is automatically captured into our database for notification. We still need to manually enter into our system notices from overseas (from other parties to the Basel Convention).</p> <p>3. The ability to completely eliminate paper throughout the chain of approvals for overseas notices. It is cumbersome to still have to rely on wet signature and physical papers sent through mail. It significantly increases the time required to process notices.</p> |
| Costa Rica | Está en proceso de revisión el sistema. |
| Croatia | As we don't have electronic information system but only a few phases, the main challenge is to build a complete electronic system. |
| Denmark | Information from CA to Company, and information from CA to CA. |
| European Union | Please note that Section III is completed and submitted by each Member State separately. |
| Finland | <ul style="list-style-type: none"> - the connection with the existing back office database - the management of companies (including waste carriers). |
| Germany | Compatibility problems with foreign companies in the electronic transmission of the movement documents. |
| Hungary | <ol style="list-style-type: none"> 1. The connection of all involved legal and private persons to the electronic information system. 2. There are some documentation annexed to the notification which has to be submitted in original paper form (exp. bank guaranty, IA). 3. Technical problems. |
| Portugal | <p>The main challenge, in the first phase of implementation, was the need to involve the stakeholders to use this electronic system.</p> <p>The Portuguese Competent Authority overcame this difficulty by imposing in the notification authorization conditions the use of the electronic system to communicate the movements, the receipt of the waste and the disposal/recovery of the wastes.</p> |
| Russian Federation | None |
| Sweden | <p>It should have been simpler if everybody use the same digital solution, maybe impossible, because if every country will start their own digital system all this systems then needs to be compatible with each other and I because of firewalls and so on that is very difficult to manage. So to get all these digital systems to "talk" with each other will be challenging.</p> <p>In our system you can make the notification but you can also register every transport. The difficult part here is to get registration from everyone in all the waste flow from start in one country to the end in another. For example the exporter in Sweden register the start of the transport but then it is difficult to oblige the importer in the country of dispatch to register the receiving of the transport in our Swedish system as well. So we do not get all the waste chain in the digital system. Some shipments will be outside the system and some inside.</p> |
| Switzerland | <p>Approach of electronic data exchange between AT and CH:</p> <ul style="list-style-type: none"> -Continuous testing and optimisation of the services -Parallel electronic exchange of notifications and messages on the test environment to ensure high data quality -Official pilot phase on production environment with a "limited" number of notifications -GO – LIVE with all notifications after verification of the pilot phase <p>The most important challenges exchanging electronic information on TFS between AT and CH was:</p> <ul style="list-style-type: none"> -The identification of Swiss and Austrian companies is key. The company numbers of both states have to be in the software tool. -It is not allowed to make correction of faulty electronic confirmations of disposal. Only like this identical data of both systems is enjured. -Data on transport companies are not required by Swiss law. These kind of data are anyway transmitted by Austria but are not read by the Swiss veva-online. |
| United Kingdom of Great Britain and Northern | <p>In England, IWS Online is not mandatory, which poses a number of challenges:</p> <ul style="list-style-type: none"> • Larger exporters have already developed their own systems at significant time and cost. They are reluctant to use the IWS Online system until their systems can |

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| Ireland | <p>'talk' to the IWS Online system and electronically transfer over the data needed.</p> <ul style="list-style-type: none"> • As the IWS Online is non-mandatory and prevents non-compliance by enforcing the legislation, digital uptake can be negatively impacted by the non-electronic approach being less effective in ensuring compliance. • National/International legislation and business policy do not currently support the use of digital signatures preventing the full benefits being realised. • Low uptake of the IWS Online system has led to a significant administrative burden as the vast majority of waste movement data has to be manually inputted. <p>No consistent national/international way of working/data standard makes it hard to meet the needs of all stakeholders incl. competent authorities.</p> |
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Benefits of the electronic approach

Question III.3: *If you already have an electronic approach, name the most significant benefits that approach brings.*

Table 19: Compilation of the benefits brought by an electronic approach, considered most significant by respondents having that approach, and responses from respondents wishing to provide related information.

| | |
|--------------------|--|
| Australia | An electronic approach will streamline the permit application process, both for the applicant and for the Australian competent authority, as documents used to administer the permitting process can be submitted online, stored immediately in our electronic file management system and can be readily accessed by permitting officers. |
| Azerbaijan | The electronic approach greatly reduces the time for review and preparation of relevant documents. |
| Canada | The use of the electronic approach system has; <ol style="list-style-type: none"> 1. Increased time efficiency at all stages of the hazardous waste management 2. Reduced paper burden and facilitated the records keeping of files 3. Facilitated the completion of the information on the notification document 4. Better tracking of trends in transboundary movement of wastes |
| Croatia | Less papers, faster procedures. |
| Denmark | Overview of data for administrative procedures. |
| Finland | <p>Notifications:</p> <ul style="list-style-type: none"> - less papers, less manual work as the data is partly moved automatically to the database - the companies benefit for having access to their notifications and data thereof. Less errors when submitting new notifications. <p>Movements:</p> <ul style="list-style-type: none"> - less papers and less manual work as the data in moved automatically to the database |
| Germany | Reduction of administrative burden, reduction of the workload, time savings, avoidance of transmission errors. |
| Hungary | <ol style="list-style-type: none"> 1. Benefits to the environment (less paper, ink, etc) 2. The transmission of the documentation it's more quicker and less postal costs. |
| Madagascar | Non, nous n'avons pas encore. |
| Portugal | <p>One of the key benefits relates to the availability of real-time data. This allows a better implementation of our inspection plans.</p> <p>Also, for reporting purposes, having all the data available in our database and with data registered by the users is easier.</p> <p>For the notifier is easier the control of the maximum allowed movements and quantities.</p> |
| Russian Federation | None. |
| Sweden | <p>When the notification is done in the system we get all the information in the application directly into the system so we do not have to put in them manually by ourselves.</p> <p>We do not need to handle as much paper anymore.</p> <p>The biggest benefit is to have all the registrations of every single shipment directly into the system and not through e-mail, fax or paper. Then we can much more easily and quicker</p> |

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| | follow and trace the shipments. But as written in answer III.2 the challenge is to have all the registrations of the complete waste chain in the system if all the countries have separate digital systems that not "talk" to each other. |
| Switzerland | <ul style="list-style-type: none"> - better data quality - more efficient work - better collaboration - time gain - possible to extend and integrate to customs system for export/import declaration - Good cooperation between both authorities and their implementation partners - "Easy" and fast implementation of the service after necessary adoptions in the local application framework - Reduction of administrative work through the full digitalisation of the process. |
| United Arab Emirates | The electronic system saves time and facilitates the process for both the competent authority and the exporter . |
| United Kingdom of Great Britain and Northern Ireland | <ul style="list-style-type: none"> • Quick and easy Notification of Waste Exports / Imports and shipments • Visibility of the progress of submissions • Ability to copy previous notifications • Quicker turnaround of submissions • Reduced administrative and financial burden |

Findings of studies on possible electronic approaches

Question III.4: *Have you carried out any studies on possible electronic approaches? If possible, please provide us with a brief summary of the findings, or a copy thereof.*

34. Respondents were invited to indicate if they had carried out studies on possible electronic approaches and to provide a summary of the findings. Of the 34 Parties that responded to the questionnaire, 5 (15%) reported having carried out studies on possible electronic approaches. Fifteen (44%) respondents reported not to have carried out any studies and 14 (41%) respondents indicated either that the question was not applicable to their situation, or that the information was not available, or they did not provide any answer. The distribution of the responses is provided in figure 25. A compilation of the responses that included details about relevant studies is presented in table 20

Figure 25: Distribution of the responses on the undertaking of studies on possible electronic approaches

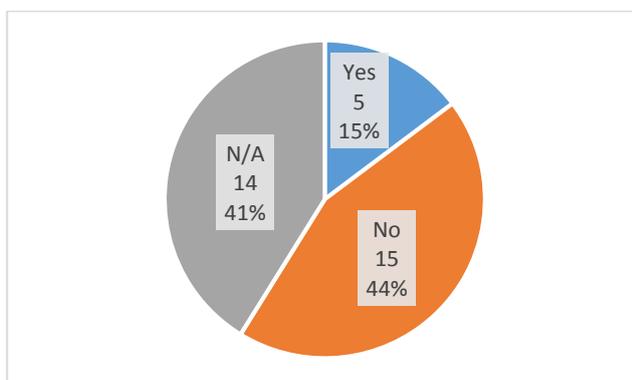


Table 20: Compilation of the responses received on studies on possible electronic approaches and findings of such studies

| | |
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| Canada | No official studies have been done but Canada is constantly monitoring progress on the USA's e-manifesting system that is being launched June 30th 2018 for domestic movements. |
| Colombia | No se ha llevado a cabo ningún estudio sobre métodos electrónicos aplicados a los movimientos transfronterizos de residuos. |
| Denmark | in 2017-2018, we have investigated possibilities of other approaches. Our most important find is that our approach must be multi-levelled and not necessarily depend on a single solution. We now approach the issue in two ways; we are still investigating the possibility |

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| | of joining an existing cross-country TFS system, and we are at the same time investigating smaller ways to extend digitalization. |
| Ecuador | <p>No se ha realizado un estudio, sin embargo, al ser parte de los trámites que gestiona el Ministerio del Ambiente, durante el año 2015 se elaboraron los flujos de proceso para posteriormente automatizar:</p> <p>Evaluación del dossier y documento de notificación Notificación de movimiento propuesto Respuesta a la notificación de movimiento propuesto Emisión del documento de movimiento Notificación de recepción de desechos Notificación de confirmación de la eliminación.</p> <p>La automatización de estas etapas se realizará como uno de los módulos del Sistema Único de Información Ambiental (SUIA). Se planifica esta actividad durante el 2019.</p> |
| Madagascar | <p>Nous avons fait une étude sur les possibles approche électronique. Mais elle nécessite :</p> <ul style="list-style-type: none"> -Une infrastructure électronique et technique très coûteuse, -Un budget spécifique pour la mise en œuvre, <p>Actuellement nous avons utilisé la LOGIGRAMME DE MOUVEMENT TRANSFRONTIERE DES DECHETS, comme l'application de l'Article 9 de la Convention de Bâle.</p> |
| Mexico | <p>Existen antecedentes de un sistema de intercambio electrónico de información sobre la notificación de exportación entre los tres países de América del Norte instrumentado para la Comisión para la Cooperación Ambiental (CCA), que inicio hace algunos años. así, después de una valoración, se determinó por parte del grupo de tarea de residuos peligrosos desarrollar un esquema de comunicación electrónica conocido como nodo-a-nodo, con autenticación propia, sin necesidad de base de datos externa a la de cada uno de los países, con encriptación de datos que garantizará una transmisión segura entre las partes que participan en el intercambio de datos.</p> <p>México se encuentra en la etapa de pruebas, correcciones y actualización de un sistema de intercambio de información sobre notificaciones de exportación y respuesta a través de una plataforma electrónica entre las autoridades.</p> |
| United Arab Emirates | <p>A study was carried out to convert all the services provided by the UAE Ministry of Climate Change and Environment to an e-service including export of hazardous waste as per Basel Convention. The service allows the exporter to upload the required documents as scanned copies to the system. once this process is complete the competent authority receives a notification of a new loaded application and starts the validation process in order to issue the notifications letter and upon receiving the approval from the importing countries (usually by post or email) the final consent is issued electronically. . any correspondence between the exporter and the competent authority is made through the system.</p> |
| United Kingdom of Great Britain and Northern Ireland | <p>During the discovery phase of developing IWS Online and any continuous improvement work, extensive user research is carried out on user needs which has informed how the IWS Online service has been developed thus far. As the service has been live service since April 2016, the current user research is very specific to the onward development of our service, so may not be of use when considering the initial development of a new service.</p> |

Practical challenges in the movement of waste

Question III.5: *What are the most important practical challenges you face with respect to the movement of waste?*

Table 21: Compilation of the practical challenges faced with respect to the movement of waste, considered most important by respondents

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| Afghanistan | Lack of electronic system to create ease and sound management waste |
| Australia | A major challenge is the time taken by other states to respond to notifications and requests for further information. This can extend the processing times considerably. |

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| | <p>Another challenge is checking that all the necessary information has been supplied. Australia is addressing this by including in the system mandatory fields that must be completed before an application can be submitted.</p> <p>A further challenge is eliciting sufficient information from applicants to determine whether an export, import or transit proposal is environmentally sound.</p> <p>Compliance with legislative requirements additional to those under the Basel Convention (e.g. EU regulations) present a challenge, as these are not always anticipated, or consistently applied by EU countries.</p> <p>Tracking movements and acquitting permits (e.g. certificates of disposal) is problematic.</p> |
| Azerbaijan | No challenges. |
| Canada | <p>The roles of the different actors and who should be involved when there is overlap between roles and responsibilities is problematic. Oversea shipping is complex in Canada, involves many players and requires several months to complete. The process of notification through mail does not take into account the pace at which shipping routes may change on the basis of economic considerations. By the time the submission by the competent authority is received in Canada or abroad, a company may have to re-initiate the notification process to reflect these changes.</p> <p>Technological challenges: 1. Transmission of non-editable electronic information from one player to the other, some being along the transportation chain on the field, others being in the reporting chain, 2) compatibility of technology from one player to the other, and 3) availability of the technologies in various countries.</p> |
| Colombia | <p>-Los tiempos de respuesta a las solicitudes de consentimiento por parte de las Autoridades competentes de los estados interesados.</p> <p>- La dificultad para acceder a la normativa de los estados interesados frente a la clasificación de algunos tipos de residuos.</p> <p>- Control de los movimientos transfronterizos en puertos.</p> |
| Costa Rica | Iniciar este 2018 con el sistema de información y determinar el funcionamiento del módulo referente a los movimientos transfronterizos de residuos peligrosos. |
| Croatia | Lots of paperwork, long procedures, possible losing documents in the post. |
| Democratic Republic of the Congo | Non respect et négligences des exigences législatives nationales ainsi que celles de la Convention. |
| Denmark | It is a heavy administrative burden to document the Waste movement, leaving little room for enforcement and practical manoeuvrability. |
| Ecuador | El desafío más importante, es garantizar la confirmación de que los desechos en efecto llegaron al país por parte de una autoridad y no solo con la firma del eliminador. |
| Estonia | When one notification covers several movements it can be difficult to have an overview how much actually has been already shipped |
| Eswatini | <ol style="list-style-type: none"> 1. Feedback on the actual movement of waste 2. Feedback on waste received and disposed 3. Weak controls at the posts of entry/exit 4. Weak enforcement leading to high non-compliances |
| European Union | Please note that Section III is completed and submitted by each Member State separately. |
| Finland | Not all countries accept the use of an electronic system. |
| Germany | The acceptance of authorities for electronic data interchange. |
| Honduras | <p>No se puede exigir al exportador un seguro o fianza que tenga cobertura para los desechos peligrosos objeto de movimiento transfronterizo, ya que no se puede adquirir en el mercado financiero nacional.</p> <p>No disponer de un mecanismo o fórmula para determinar el valor de un seguro o fianza para un movimiento transfronterizo de desechos peligrosos.</p> |

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| | Los exportadores de desechos peligrosos no lo hacen de manera frecuente, lo que dificulta usar el volumen de desechos para establecer un monto. |
| Israel | The possibility of tracking the arrival and treatment of waste in the export country. |
| Madagascar | - La Gestion Ecologiquement Rationnelle des déchets toxique ou non en mouvement transfrontière (GER/ESM). -Prevention en amont du trafic illicite des déchets. |
| Mexico | La inestabilidad del funcionamiento de los sistemas electrónicos de la dependencia. La fragilidad en el enlace entre nodos de los países. Falta de pruebas en subsistemas, lo que hace que fallen en producción. Modificaciones en claves, IP, etc. que hacen fallar las transmisiones. Cambio o rotación de personal técnico asignado a los sistemas. Falta de apoyo de los programadores de sistemas por termino de contrato. |
| Morocco | La réception de certains documents en langues différentes. |
| Russian Federation | None |
| Rwanda | So far, we have not received an important number of cases. So, we did have any challenge. |
| Saudi Arabia | The uncompletion of notification forms. |
| Sweden | Mandatory. |
| Switzerland | The most important challenges exchanging electronic information on TFS between AT and CH was: -The identification of Swiss and Austrian companies is key. The company numbers of both states have to be in the software tool. -It is not allowed to make correction of faulty electronic confirmations of disposal. Only like this identical data of both systems is enjured. -Data on transport companies are not required by Swiss law. These kind of data are anyway transmitted by Austria but are not read by the Swiss veva-online. |
| United Arab Emirates | Not receiving notification of confirmation of disposal for most of the shipments. |
| United Kingdom of Great Britain and Northern Ireland | Please refer to the answer in question III.2 To summarise: There is no one consistent way of working/data standards nationally and internationally. The notification process moves between a paper and an electronic approach, dependent upon the stakeholders and competent authorities and other factors listed in question III.2. This results in a significant administrative burden on the Environment Agency and its customers. |

SECTION IV – A Basel Convention system for electronic approaches to notification and movement

Question IV.1: *Do you think there is a need for an initiative to provide for electronic data approaches to notification and movement, which would be available to all Parties to the Basel Convention (a Basel Convention electronic system for transboundary movements)?*

35. Twenty-two (92%) responses indicated that there is a need for a Basel Convention electronic system for transboundary movements. One (4%) response indicated that there was no need for such system, and 1 (4%) response did not include any answer (see figure 26). A compilation of the reasons provided by respondents on why there would be a need for a Basel Convention electronic system for transboundary movements is presented in table 22. A compilation of the reasons provided by respondents on why there would be no need for a Basel Convention electronic system for transboundary movements is presented in table 23.

Figure 26: Distribution of the responses on the need for a Basel Convention electronic system for transboundary movements

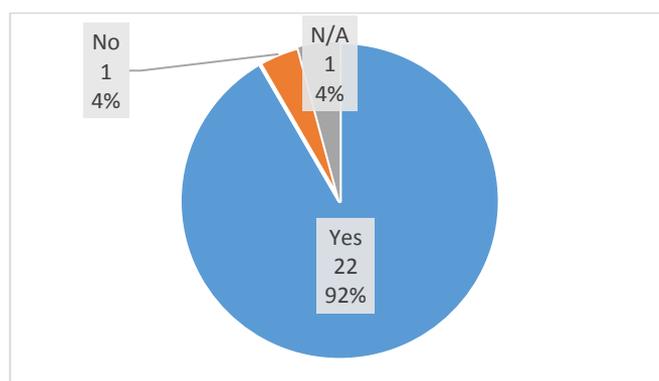


Table 22: Compilation of the reasons provided by respondents on why there is a need for a Basel Convention electronic system for transboundary movements

| | |
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| Afghanistan | Because creating a better design and management of hazardous waste requires the creation of such a method. |
| Australia | It would streamline the notification process for all Parties. It would also ensure that minimum standards are met in terms of information supplied to Parties involved in transboundary movements. It could also assist in tracking movements. |
| Azerbaijan | I believe that providing the approaches to electronic notification and travel data is the most accurate decision. Since transboundary movement of hazardous waste is not only commercial, it is also a political direction. Therefore, any notifications of waste interchange should be available to the States members of the Basel Convention. |
| Cambodia | It would be helpful Parties to get information faster and expedite the process. |
| Canada | <ol style="list-style-type: none"> 1. Increase time efficiency at all stages of the hazardous waste management 2. Reduce paper burden and facilitate the records keeping of files 3. Facilitate the completion of the information on the notification document 4. Better tracking of trends in transboundary movement of wastes. |
| Colombia | La implementación de un sistema electrónico de notificación es útil en la reducción de los tiempos de notificación y respuesta, en la reducción de los costos de envío de documentos, así como en la consolidación de la información de los movimientos transfronterizos y en el análisis estadístico de los mismos. |
| Costa Rica | Existiría uniformidad de criterios y sería más expedito realizar los trámites para los movimientos transfronterizos de los residuos peligrosos. |
| Democratic Republic of the Congo | <ul style="list-style-type: none"> - Corriger certaines erreurs ; - éviter certaines faiblesses et négligences ; - favoriser le dynamisme dans le système. |
| Denmark | Digitalization will lift a heavy administrative burden from the Parties. |
| Ecuador | <p>Se unificarían tiempos de espera y respuesta de las notificaciones.</p> <p>Se garantizaría conocer los cambios en itinerarios eventuales.</p> <p>Se tendría información actualizada de los movimientos transfronterizos que realizan los países.</p> |
| Estonia | A joint response is provided by the EU and its Member States under a separate submission. |
| Eswatini | <ol style="list-style-type: none"> 1. It will foster efficient monitoring of waste movement. 2. It will facilitate efficiency processes of applications 3. It will contribute to efficient and sustainable environmental management by reducing energy use (electricity and fuel usage), efficient use of natural resources (fuel and paper-save the trees etc). |
| European Union | The EU+MS are in favour of an initiative to provide for electronic data approaches to the notification and movement documents and also to the notification procedure in general to replace the current process which is mainly paper-based and requires considerable |

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| | amount of resources. The use of electronic data approaches is expected to contribute significantly to the reduction of administrative burden for competent authorities and economic operators, increase procedural efficiency and yield major savings to governments and economic operators. |
| Finland | However, in Finland the most shipments are within EU. The development of an EU wide system has to be taken into account. |
| Honduras | Agiliza los procesos de gestión y autorización. Permitiría acceder de forma permanente a una base de datos confiable. La información se maneja con mayor grado de confidencialidad. Un sistema de alerta podría generarse a partir de la información que con anomalías que cualquiera de los Estados Parte detecte. |
| Hungary | Because in this case the electronic system will be uniform, easy usable for the all involved competent authorities in the notification and also movement procedure. |
| India | As stated earlier in reply to I.10, an electronic approach would be beneficial as it would enable to improve ease and efficiency of the process of transboundary movement of hazardous wastes as set out by the Convention. It is commonly observed that sending and receiving documents such as notification documents via email or fax is not fool proof. Sometimes the documents do not deliver successfully or are incomplete in which case transmission of documents gets delayed. In order to address this, a centralized system of electronic notification, wherein all competent authorities of Parties are provided with an account through which transmission of information can be done effectively via electronic forms and competent authorities can communicate and seek clarification regarding the documents/transboundary movement would help immensely. |
| Israel | This can help parties to the Basel convention and create uniformity. |
| Madagascar | Il faut renforcer la capacité technique et financière de tous le pays envoie de développement par le SCBRS. |
| Morocco | un traitement électronique des données permettra de diminuer le temps de traitement des dossiers et une transparence pour faire face au trafic illicite. |
| Russian Federation | Preventing and combating illegal traffic. |
| Rwanda | A Basel Convention electronic system for transboundary movements would: Harmonize the notification process for all parties and Allow the Secretariat to monitor and have information "in one place" and hence, elaborate report(s) easily. |
| Sao Tome and Principe | Sería más fácil y rápido para la comunicación. |
| Saudi Arabia | To facilitate the process of the work. |
| Slovakia | A joint response is provided by the EU and its Member States under a separate submission. |
| United Arab Emirates | It facilitates the information exchanges between competent authorities, exporters and importers of waste in terms of time-saving and validation. |

Table 23: Compilation of the reasons provided by respondents on why there is no need for a Basel Convention electronic system for transboundary movements

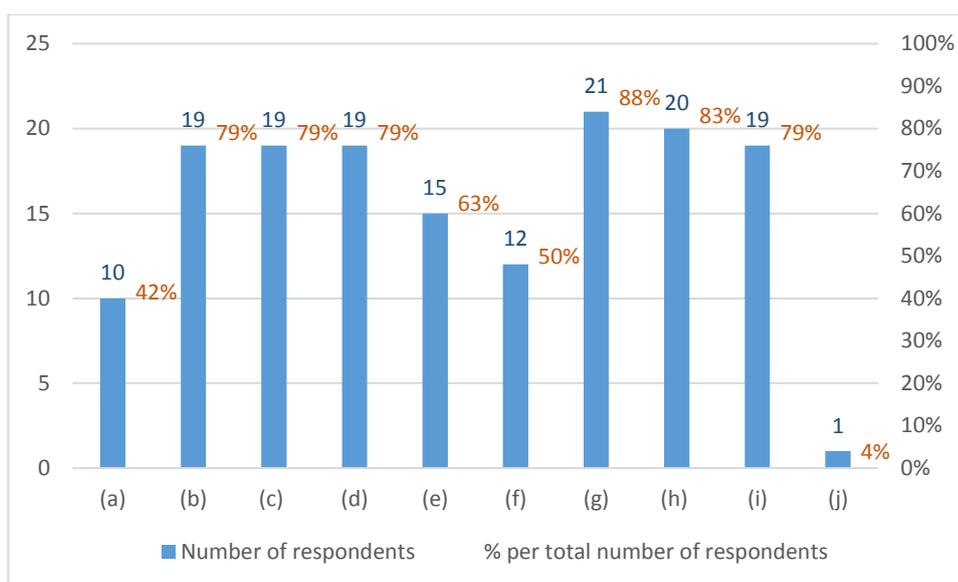
| | |
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| Switzerland | A lot of competent authorities have already their own system. maybe for countries /regions not having a system it would be helpful. on the other hand, it would be helpful to have certain common standards such as format, architecture and authentication. |
|-------------|--|

Processes that should be supported by a Basel Convention electronic system for transboundary movements

Question IV.2: *In your opinion, which of the listed processes should be supported by a Basel Convention electronic system for transboundary movements? Please tick the relevant box.*

36. In question IV.2, respondents were invited to indicate, through a multiple-choice selection of ten listed processes, including one for inputs on processes other than the options listed, those processes that they believed should be supported by Basel Convention electronic system for transboundary movements. The distribution of the responses is presented in figure 27. One respondent (the EU) supported options other than those listed and provided the following details about that option: “It would be beneficial to envision a system that provides the possibility to cover all processes and aspects related to transboundary movements. We note that national movements of waste following transboundary movement should only be covered as far as they are covered by national legislation (the Basel Convention is silent in this regard)”.

Figure 27: Distribution of the responses on the processes that should be supported by a Basel Convention electronic system for transboundary movements



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| (a) Contract between waste exporter and disposer |
| (b) Notification of proposed movement |
| (c) Response to notification of proposed movement |
| (d) Issuance of movement document |
| (e) Tracking/signature of movement document |
| (f) National movements of waste following transboundary movement |
| (g) Notification of reception of wastes |
| (h) Notification of confirmation of disposal |
| (i) Information that no confirmation of disposal was received |
| (j) Other |

Preferred alternatives for a Basel Convention electronic system for transboundary movements

Question IV.3: *Which, if any, of the alternatives listed below for a Basel Convention electronic system for transboundary movements would be your preference? Please, tick the relevant box and explain your answer.*

37. In question IV.3, respondents were invited to indicate, through a multiple-choice selection of a list of three alternatives and an additional one for inputs on alternatives other than the options listed, the alternatives of their preference. 50% of the respondents indicated their preference for a central system while 46% of the respondents indicated preference for a decentralized system and 21% indicated preference for an intermediate system. Two respondents indicated another alternative. The distribution

of the responses is provided in figure 28. A compilation of the reasons provided by respondents why a central system, a decentralized system, and an intermediate system would be preferred are presented in tables 24, 25 and 26, respectively. Table 27 presents a compilation of the details provided by respondents that indicated other preferred alternatives for a Basel Convention electronic system for transboundary movements.

Figure 28: Distribution of the responses on the preferred alternatives for a Basel Convention electronic system for transboundary movements

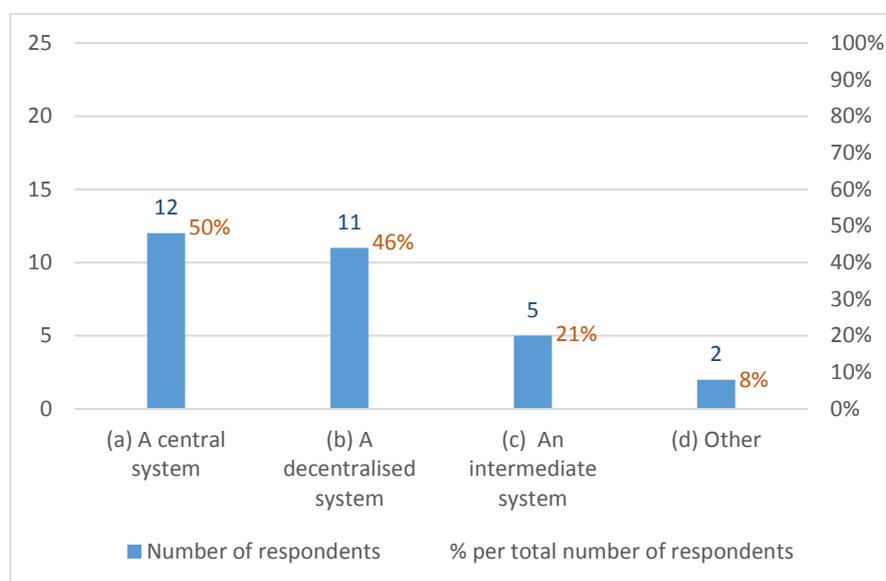


Table 24: Compilation of the reasons provided by respondents on why a central-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|----------------------------------|---|
| Australia | <p>This is our first preference, as long as the Secretariat has the resources to administer such a system.</p> <p>However, such an approach would need to recognise the laws of each member state in relation to the prior informed notification system. Australia, for example, uses a permitting process. Other countries may not.</p> <p>Australia's experience in developing and implementing an online system has shown that it is an extremely complex process that takes considerable time to do properly.</p> |
| Azerbaijan | I believe that the Central System administered by the Secretariat will provide broader information on the transboundary movement of hazardous wastes. |
| Costa Rica | Sería fundamental para uniformizar criterios y lenguajes de funcionamiento. |
| Democratic Republic of the Congo | Accessible à tout le monde, pas de négligences, respects des principes de la Convention. |
| Eswatini | <ol style="list-style-type: none"> 1. Timely/real time management at all levels 2. Will benefit all including countries that do not have the capacity to develop and implement their own system. |
| Honduras | <p>Una base de datos centralizada por la Secretaría sería más confiable para iniciar.</p> <p>Posteriormente con la experiencia adquirida se puede migrar a otro sistema.</p> |
| Hungary | Uniform information system, easy manageable by all the involved parties. Probably it's cost effective compared with the decentralised system. |
| Israel | A central system will enable uniformity, prevent duplication, and enable direct contact between all parties and other stakeholders. |
| Rwanda | The same as IV.1: |

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| | Harmonize the notification process for all parties, and Allow the Secretariat to monitor and have information "in one place" and hence, elaborate report(s) easily. |
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Table 25: Compilation of the reasons provided by respondents on why a decentralised-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|------------|---|
| Australia | This would be a sound approach, also. |
| Azerbaijan | And this option is also available, since each country should have its own system, which could interact with other systems using standardized messages. |
| Canada | A decentralised system using standardized messages would allow every Party to design its own system according to its national regulations, providing more flexibility to nationally address issues, while allowing information on transboundary movement to be exchanged through standardized messages and thus reap the benefits of an international electronic approach. |
| Ecuador | Cada Parte tiene sus necesidades. |
| Eswatini | Build capacity for countries with challenges in developing and managing their own system. |
| Finland | Many countries have already developed their own systems. Or are under way. |
| Madagascar | Pour les pays développés, exemples les UE/ la France et ses Départements d'Outre Mer (DOM) ont leur système ainsi les UK aussi. |
| Paraguay | La notificación del acto reviste importancia, dado que por medio de esta se da a conocer la decisión tomada para que la persona o personas interesadas interpongan los recursos a que haya lugar y así controvertir la decisión, se debe de garantizar el cumplimiento de las reglas nacionales, desarrollándose con las máximas garantías y las formalidades de la ley a nivel nacional. |

Table 26: Compilation of the reasons provided by respondents on why an intermediate-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|-------------|--|
| Australia | This approach could work if the Basel Secretariat was resourced to appropriately store and disseminate key information in a timely manner. |
| Colombia | Consideramos que la mejor opción es un sistema intermedio de notificación electrónica en el cual se incluyan las etapas generales mencionadas en la pregunta IV.2, administrado por la Secretaría del Convenio de Basilea, pero que a su vez permita a las Partes descargar información, desarrollar aplicaciones o interfaces adicionales de acuerdo con sus presupuestos, capacidad técnica, procedimientos y normas nacionales. |
| Denmark | Balances the need for agile approaches in national systems while providing a minimum approach to countries WHO do not have their own system. |
| Madagascar | Pour le cas de l'Afrique, il existe des pays ayant son système mais les autres n'ont rien. C'est sera difficile. Il faut que le secrétariat SCBRS devra aider le secrétariat de la Convention de Bamako pour uniformiser le système. |
| Switzerland | Some countries already have their systems and probably would like to use it in the future. |

Table 27: Compilation of the details provided by respondents that indicated other preferred alternatives for a Basel Convention electronic system for transboundary movements

| | |
|----------------|---|
| Switzerland | Making a system for countries not having one. Voluntary use. |
| European Union | Currently, discussions are ongoing on how to establish an electronic system in the European Union. In this context, architectural considerations are under discussion, including all of the three options outlined above. In this context, it is important to explore the synergies between the work being undertaken at EU level and approaches for an electronic system under the Basel Convention. |

Main benefits expected if a Basel Convention electronic system for transboundary movements was favoured

Question IV.4: *If you would favour a Basel Convention electronic system for transboundary movements, what would you expect the main benefits to be?*

Table 28: Compilation of the main benefits that respondents would expect from a Basel Convention electronic system for transboundary movements

| | |
|----------------------------------|--|
| Afghanistan | 1- Better and sound management of Wastes 2- Easy coordination with stakeholders 3- Facilitate and expedite the wastes movements. |
| Australia | The main benefits would be streamlining the notification process for both applicants and competent authorities, and the facilitation of consistency in decision-making for transboundary movements. |
| Azerbaijan | A wider and more accessible information content. |
| Canada | 1. Increase time efficiency at all stages of the hazardous waste management 2. Reduce paper burden and facilitate the records keeping of files 3. Facilitate the completion of the information on the notification document 4. Better tracking of trends in transboundary movement of wastes. |
| Colombia | - Reducción de tiempos de notificación y respuesta - Reducción de costos de notificación a través de medios impresos - Acceso a información consolidada - Facilidad en el seguimiento de los trámites - Posibilidad de involucrar a diferentes actores en un mismo sistema. |
| Costa Rica | Uniformidad de trámites. Mejora en los tiempos de respuesta. |
| Democratic Republic of the Congo | Traçabilité, économique, accessibilité. |
| Denmark | Efficiency of administrative procedures. |
| Ecuador | Se unificarían tiempos de espera y respuesta de las notificaciones. Se garantizaría conocer los cambios en itinerarios eventuales. Se tendría información actualizada de los movimientos transfronterizos que realizan los países. |
| Eswatini | 1. Transparency 2. Build Capacity for all 3. Timely/real time management at all levels. |
| Honduras | Agilidad en los procesos Acceso a la información de interés Seguridad y confiabilidad en los documentos que se gestionan y la información que en ellos se plasma. |
| Hungary | The decrease of the administration time of the notification, environmental protection, more transparency of the transboundary shipment of the waste, prevention of the illegal shipment. |
| India | • Easy and quick transmission of information between Parties • Greater transparency |
| Madagascar | -La Gestion Ecologiquement Rationnelle des Déchets en mouvement, -Réduction graduelle des mouvements illicites des déchets dangereux, -Réduction graduelle des déversements indirects des déchets dangereux dans les pays sous-développés. |
| Russian Federation | Facilitation of control of transboundary movements |
| Rwanda | -The reporting process is shortened, thus the system would save time for competent authorities -Improved coordination of notification process by the Secretariat. |
| Sao Tome and | Sí, Los países podrían tener acceso a las informaciones de otros países sobre el |

| | |
|----------------------|--|
| Principe | movimiento, y podría ser menos burocrática y más rápida |
| Saudi Arabia | Fast procedure Good failing system Notable tracking system |
| United Arab Emirates | - Time-saving - Easy exchange of information. |

Main challenge expected if a Basel Convention electronic system for transboundary movements was not favoured

Question IV.5: *If you would not favour a Basel Convention electronic system for transboundary movements, what would you expect the main challenge to be?*

Table 29: Compilation of the main challenges expected if a Basel Convention electronic system for transboundary movements was not favoured

| | |
|----------------------------------|---|
| Azerbaijan | I approve of the electronic system of the Basel Convention. |
| Colombia | - Dificultades en la compatibilidad y articulación de las plataformas tecnológicas utilizadas por las autoridades. - Presupuesto de las partes para su aplicación. |
| Costa Rica | Se respondió la anterior. |
| Democratic Republic of the Congo | - Faible suivi et évaluation ; - perte facile des documents ; - perte de temps ; - coût élevé du travail. |
| Madagascar | Augmentation graduelle des mouvements illicites des déchets dangereux. |
| Morocco | Les parties pourront ainsi intégrer leurs propres systèmes de traitements de dossiers. |
| Russian Federation | Consistency with national legislation. |
| Sao Tome and Principe | Sí, Los países podrían tener acceso a las informaciones de otros países sobre el movimiento, y podría ser menos burocrática y más rápida. |

Other relevant information provided by respondents

38. Respondents were invited to provide any additional information or comments pertaining to an electronic data approach not included in answers to the questionnaire and that could improve the implementation of the Basel Convention control procedure. These are compiled in table 30.

Table 30: Compilation of additional information and comments pertaining to an electronic data approach that respondents considered could improve the implementation of the Basel Convention control procedure

| | |
|----------------|---|
| Eswatini | Will require periodic and standardized training of trainers (Focal Points) and training of users (waste generators, importers, exporters, handlers-transporters etc). |
| European Union | In some Parties to the Convention, including in some EU Member States, electronic data systems are operational to a certain extent. In developing a system at the level of the Basel Convention, the experiences gained in developing and operating existing systems and existing standards, including on data security and communication, e.g. the Business Requirement Specification UN/CEFACT 2008, should be taken into account. The system should further entail all relevant aspects of the procedures contained in the Basel Convention and in relevant national legislation, e.g. the European Regulation (EC) No 1013/2006 on shipments of waste. We think that such a system may be implemented in a step-by-step approach. Within the European Union, discussions are ongoing on how to establish an electronic system in the European Union. A common data modelling for the notification and movement documents is under preparation. In addition, architectural and security considerations are under discussion. Existing experiences should be taken into account. |

| | |
|-----------------------|---|
| | <p>From our point of view, the main challenges in developing an electronic system are the following:</p> <ul style="list-style-type: none"> • Defining the scope of the solution itself • Tackling the complexity of the rules concerned • Ensuring compliance by a very large number of stakeholders • Dealing with the existence of national differences in implementing the Convention and in implementing national legislation • Overcoming linguistic barriers, e.g. through modern technology that provides for translations like automated courtesy translations • Address issues linked to a step-by-step approach <p>With respect to further address an electronic data approach at the Basel level, we think that a workshop of interested Parties could take place after the next COP to exchange experiences and discuss possible options to take this issue forward.</p> |
| Madagascar | <p>La convention de Bâle est un cadre juridique de portée mondiale, mais chaque pays partie peut projeter cette convention au niveau national selon sa spécificité et le contexte politique et économique dans la gestion de l'environnement.</p> <p>La vision est différente entre le secteur public et le secteur privé ainsi que les pays développés et les pays en voie de développement. Pour les pays en voie de développement, Il est difficile de mettre le système électronique du contrôle des mouvements.</p> <p>De ce fait, Madagascar demande au secrétariat un projet pilote de l'approche du système électronique.</p> |
| Sao Tome and Principe | Nos gustaría tener asistencia técnica para poder aplicar el sistema electrónico en nuestro país, |
| Slovakia | In the near future, we expect the introduction of new information system for waste management including transboundary movement of waste (expected in 2020). |

Annex II

Information gathered from other stakeholders through the questionnaire on electronic approaches to the notification and movement documents

I. Introduction

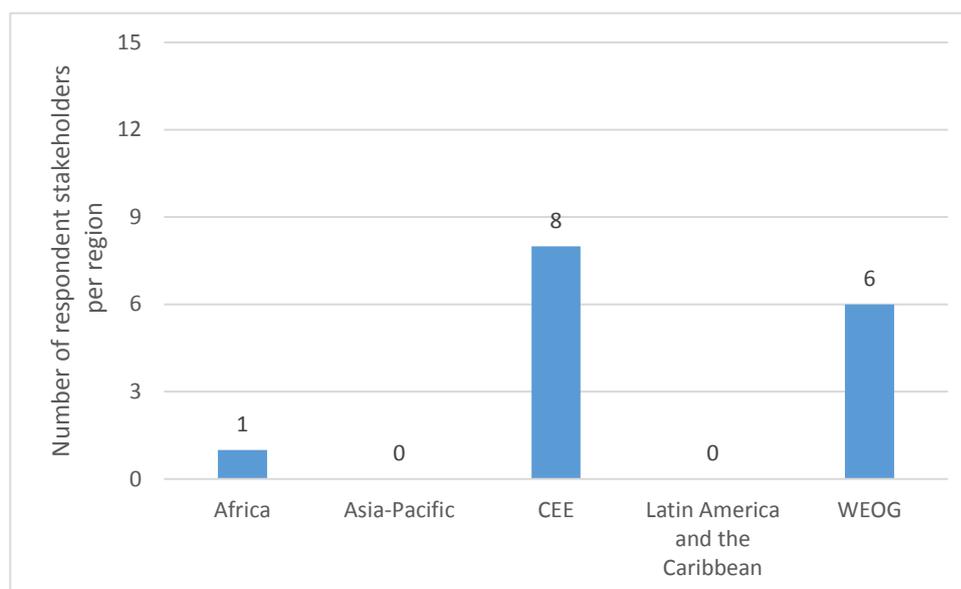
1. On 12 April 2018, the Secretariat invited stakeholders to provide by 22 June 2018 recent information on their experiences with electronic approaches to the notification and movement documents by completing a questionnaire on this topic. Responses received to the questionnaire are available on the website of the Basel Convention.¹ Section II below contains a summary and compilation of responses received from stakeholders.

2. A total of 15 responses to the questionnaire were received from stakeholders, as listed in table 1 below. The regional distribution of the responses is presented in figure 1 below.

Table 1: Composition of stakeholders that responded to the questionnaire

| Region | Country | Organization/Company |
|--------|----------|--|
| Africa | Togo | ASSOCIATION WELFARE |
| CEE | Croatia | Accumular Ltd |
| CEE | Romania | General directorate of customs-Romania |
| CEE | Serbia | MITECO Kneževac d.o.o. |
| CEE | Slovakia | CRH Slovensko a.s. |
| CEE | Slovakia | CRH (Slovensko) a.s. |
| CEE | Slovakia | KOVOHUTY, a. s. |
| CEE | Slovakia | Purum SK |
| CEE | Slovakia | SIBIN s.r.o. |
| WEOG | Austria | ecorec Oesterreich Gmbh |
| WEOG | Belgium | EUCOPRO |
| WEOG | France | HAZARDOUS WASTE EUROPE |
| WEOG | France | SUEZ |
| WEOG | Italy | TREEE S.R.L. |
| WEOG | Sweden | Stena Metall AB |

¹ <http://www.basel.int/?tabid=7375>.

Figure 1: Regional distribution of responses to the questionnaire

II. Responses received from stakeholders

SECTION I - Notification document: notification and consent

3. Section I of the questionnaire relates to the first stage of the Convention's prior informed consent procedure, which begins when the exporter/generator of the wastes informs the Competent Authority of the State of export of a proposed shipment of hazardous or other wastes and ends when the Competent Authority of the State of export issues a movement document and authorizes the shipment to start.

Procedural stages that should involve an electronic approach

Question I.1: *The notification procedure includes a number of procedural stages. Which, if any, of these stages should involve an electronic approach? Please tick each box that is relevant.*

4. In question I.1, respondents were invited to indicate, through a multiple-choice selection, the procedural stages that should involve an electronic approach. All five procedural stages listed in the question were selected by more than 70% of the respondents. Most of the respondents (87%) considered that procedural stage 3 should involve an electronic approach. 80% of the respondents considered that stages 1, 2 and 5 should involve an electronic approach, and 73% of the respondents indicated that stage 4 should also involve an electronic approach (see figure 2). Table 2 presents a compilation of the details provided by respondents that indicated other stages that should involve an electronic approach and those respondents who wished to provide further information relative to procedural stages that should involve an electronic approach.

Figure 2: Distribution of the responses on the procedural stages that should involve an electronic approach

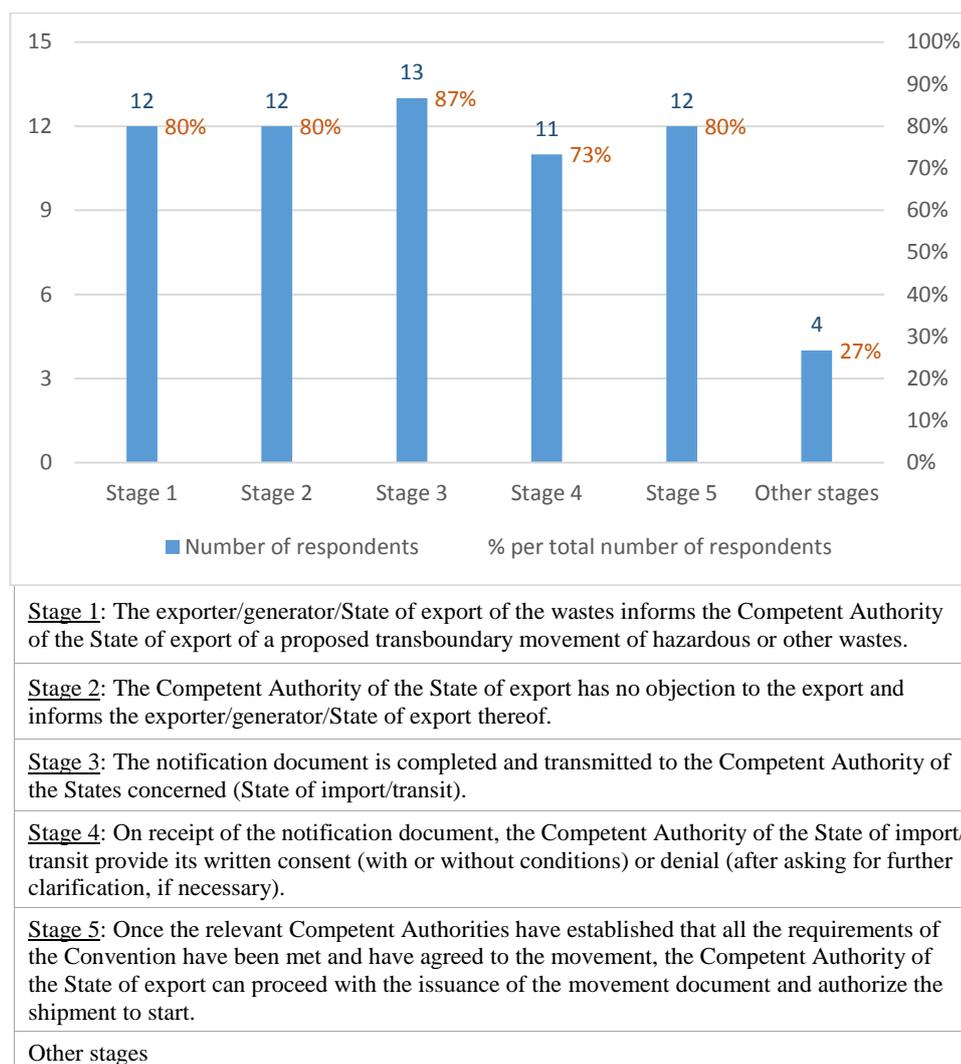


Table 2: Compilation of the details provided by respondents that indicated other procedural stages that should involve an electronic approach and those respondents who wished to provide further information relative to procedural stages

| | |
|--|--|
| ASSOCIATION WELFARE | Under Stage 1: The exporter/generator: state of export of the state of export inform both the Competent Authority and other Basel Convention Stakeholders of a proposed transboundary movement of hazardous or other wastes. Under Stage 2: Basel Convention Stakeholders has no objection to the export and informs the Competent Authority of the State of export thereof. Current Stage 2 become Stage 3 and so on. |
| CRH (Slovensko) a.s. | There is no electronic system in Slovakia. |
| General directorate of customs-Romania | In Romania, the competent authority related to wastes is not customs authority. |
| Stena Metall AB | Requests for complementary information from the Competent Authorities. |

Reasons provided on why an electronic approach would be helpful

Question I.2: *If you have ticked any of the above boxes, please explain why you consider an electronic approach would be helpful.*

Table 3: Compilation of the reasons provided by respondents on why an electronic approach would be helpful for the procedural stages

| | |
|--|---|
| Accumular Ltd | Some countries still use traditional way, i.e. post service, as a way of informing The Exporter about, for example, missing documents in order to complete notification. Depending on the country, it could take from several days to several weeks to receive that order, and that is why an electronic approach would be helpful - it would significantly shorten the time between transmitting and receiving processed documents. |
| ASSOCIATION WELFARE | An electronic approach is useful in several ways: 1. Allow Traceability 2. Provide tangible evidence 3. Facilitate timely decision making. |
| CRH Slovensko a.s. | Electronic approach is faster, simpler and more comfortable for users. As well as saves paper work. |
| CRH (Slovensko) a.s. | Simplification of the process. |
| ecorec Oesterreich Gmbh | Each of those steps would help to react faster and save time. Austrian Role Model (EDM) - edm.gv.at is working fine and helps to save resources (paper) and time. |
| EUCOPRO | Electronic approach would enable the notifiants and the local authorities to better follow-up their files, to respect the instruction procedure deadlines and to improve the traceability. |
| General directorate of customs-Romania | It is not the customs authority responsibility. |
| HAZARDOUS WASTE EUROPE | Speed up the notification procedure Streamline the decision making |
| KOVOHUTY, a. s. | The electronic approach saves time. |
| MITECO Kneževac d.o.o | We firmly believe that electronic approach should be obligatory in all stages of the process, as it would speed up the process and the environment protection factor also cannot be ignored. |
| SIBIN s.r.o. | We will save many of printed copies of licenses, contracts, what finally save time for delivering statements, saving paper and printer. |
| Stena Metall AB | Our experience is that it saves time because papers are not sent by ordinary mail. You are able to check the progress of your application without disturbing the persons handling your application. The information is available for all concerned parties at the same time and you have all the information in one place. |
| SUEZ | An electronic approach would be a major improvement to ensure traceability, transparency and ease in all the administrative processing (respect of deadlines, etc.). It could also be the opportunity to improve some existing requirements of the current WSR, such as adhering to the effective duration asked by the notifiants for the notification or to simplify procedures when information included in the notification file have changed (itinerary modification, etc.). |

SECTION II - Movement document: transboundary movement and confirmation of disposal

5. Section II of the questionnaire relates to the second stage of the Convention's prior informed consent procedure, which begins following the issuance of the movement document and when the transboundary movement has been initiated and lasts until the wastes have been received by the disposer and the exporter and the State of export receive confirmation that the wastes have been disposed of as planned and in an environmentally sound manner.

Stages that should involve electronic approach

Question II.1: *The movement and disposal procedures include a number of stages. Which, if any, of these stages should involve an electronic approach? Please tick each box that is relevant.*

6. Respondents were invited to indicate, through a multiple-choice selection, the stages included in the movement and disposal procedures that should involve an electronic approach. All three stages listed in the question were selected by more than 50% of the respondents. Most of the respondents (73%) considered that stage 2 should involve an electronic approach. 60% of the respondents considered that stage 3 should involve an electronic approach, and 53% of the respondents indicated that stage 1 should also involve an electronic approach. Two (13%) respondents also indicated other stages (see figure 3). Table 4 presents a compilation of the details provided by respondents that indicated other stages included in movement and disposal procedures that should involve an electronic approach and those respondents who wished to provide further information.

Figure 3: Distribution of the responses on the stages included in the movement and disposal procedures that should involve an electronic approach

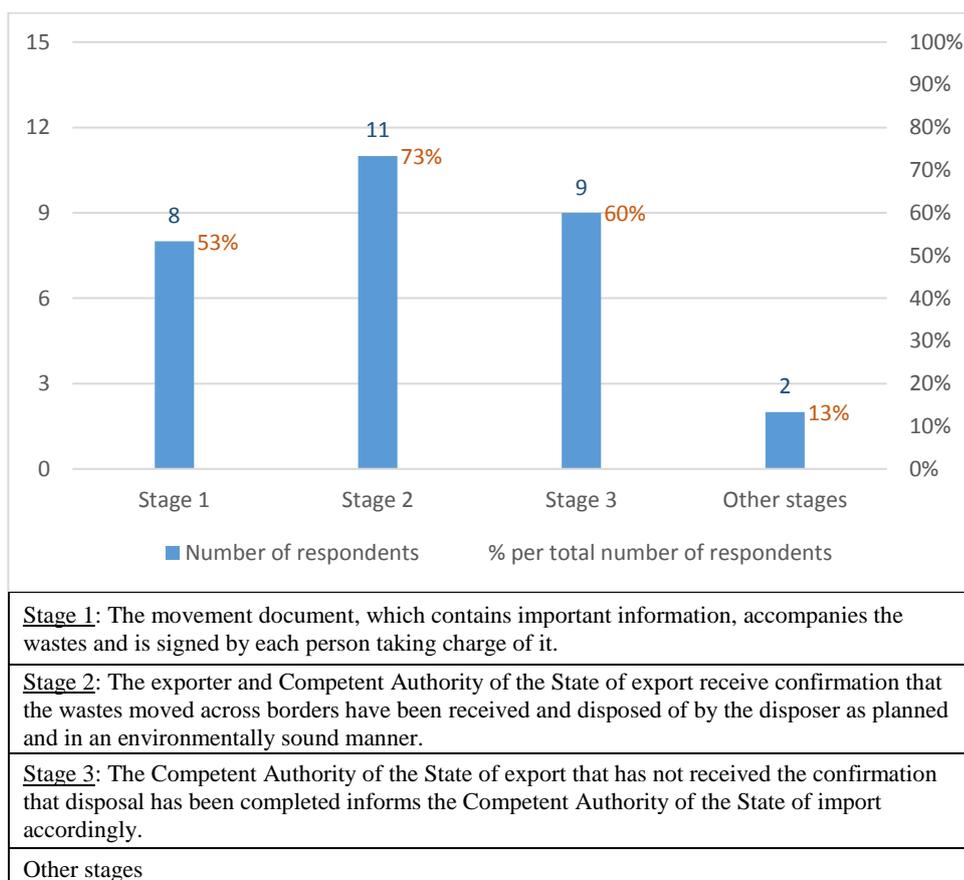


Table 4: Compilation of the details provided by respondents that indicated other stages of the movement and disposal procedures that should involve an electronic approach and those respondents who wished to provide further information

| | |
|--|---|
| ASSOCIATION WELFARE | Under Stage 2: The exporter, competent Authority of the state of Export and Basel Convention Stakeholders of in the State of Export.....import accordingly. Under Stage 3: The Competent Authority of the State of Export and Basel Convention Stakeholders in the State of Export.....import accordingly. |
| CRH (Slovensko) a.s. | There is no electronic system in Slovakia. |
| General directorate of customs-Romania | In Romania, the competent authority related to wastes is not customs authority. |

SECTION III - Current experience of electronic approaches

Waste movement processes having electronic approaches

Question III.1: *Have you already used electronic approaches to any of the following waste movement processes? Please tick the ones that apply.*

7. In question III.1, respondents were invited to inform, through a multiple-choice selection of nine listed waste movement processes, plus one option for inputs on processes other than the options presented, the processes for which they had used electronic approaches. The distribution of the responses on the use of electronic approaches in waste movement processes is provided in figure 4. Table 5 presents a compilation of the details provided by respondents that indicated other processes and those respondents who wished to provide further information to the question on the use of electronic approaches.

Figure 4: Distribution of the responses on the use of electronic approaches in waste movement processes

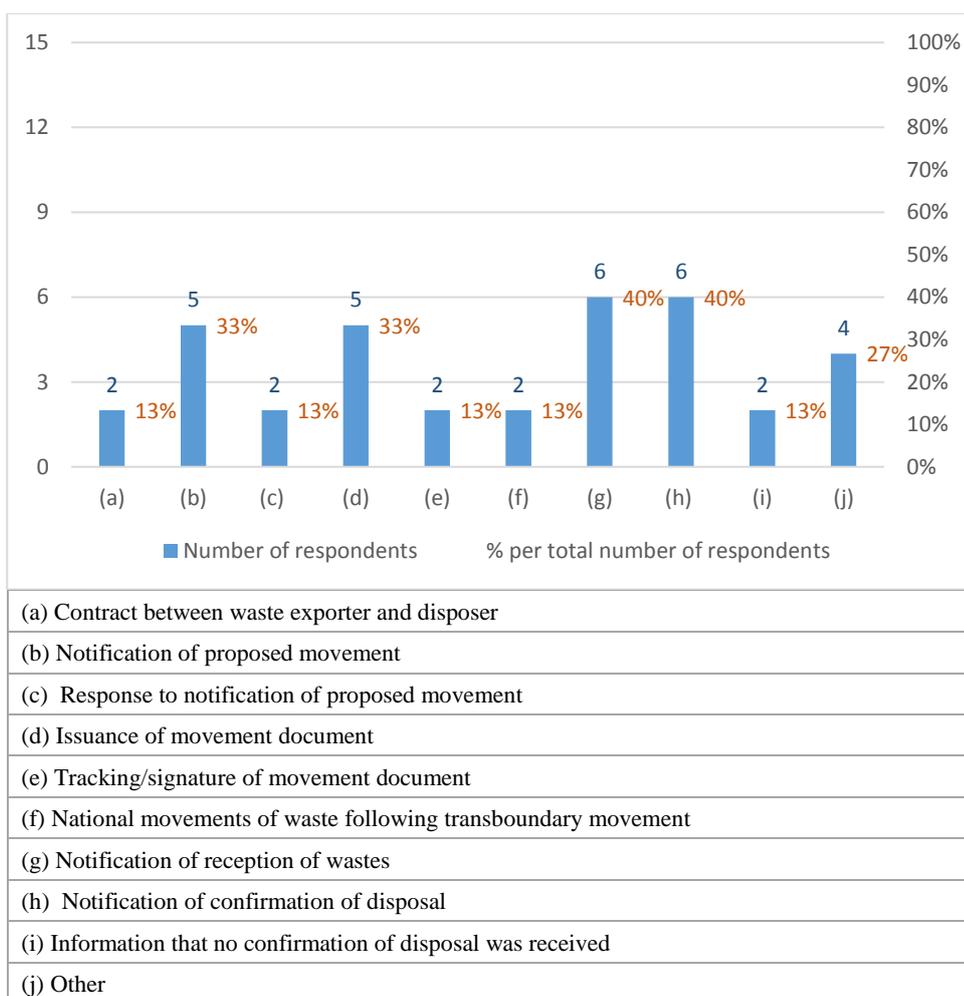


Table 5: Compilation of the details provided by respondents that indicated having used electronic approaches for other waste movement processes and those respondents who wished to provide further information

| | |
|----------------------|--|
| CRH Slovensko a.s. | We have never used electronic approach to any of the following waste movement processes. |
| CRH (Slovensko) a.s. | No experience, as there is no electronic system in Slovakia. |

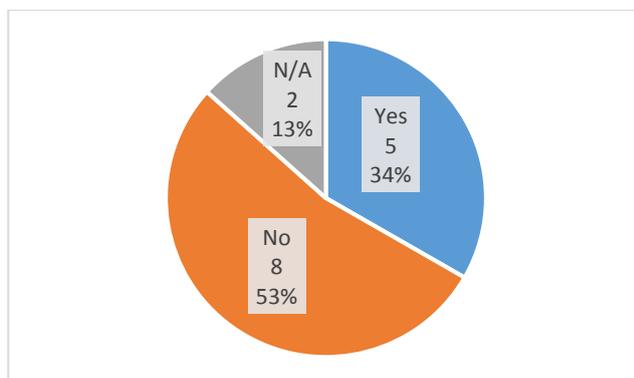
| | |
|--|---|
| EUCOPRO | EUCOPRO (European Association for Co-processing) is an association composed of waste pre-treatment companies that prepare waste alternative fuels and raw materials mainly from hazardous wastes, with the aim of recovering them in co-processing processes, such as cement kilns. Members of EUCOPRO operate plants located in several EU countries including Belgium, France, Germany, Greece, Italy, Spain, the Netherland, Poland, and Romania. According to each national Waste Shipment provisions, it could happen that Eucopro members use one or several of the items listed in question III, but it is not possible for Eucopro to give a global answer. |
| General directorate of customs-Romania | Currently, when is lodged a customs declaration it is necessary to be attached the notification and movement documents, on paper. |

Availability of electronic information systems to support selected processes

Question III.1.a: *For the processes selected, is there an electronic information system to support these processes?*

8. Of the 15 stakeholders that responded to the questionnaire, 5 (33%) reported that an electronic information system to support waste movement processes was available. Eight (53%) respondents reported that an electronic information system was not available and two (13%) respondents did not provide any answer (see figure 5).

Figure 5: Distribution of the responses on the availability of electronic information systems to support selected waste movement processes



Electronic Information Systems (EIS)

[“Yes” answer] Please provide details on:

9. Those respondents that reported that an electronic information system to support waste movement processes that are available in their country were invited to provide details on the electronic information system, specifically, on its features and functionalities (see table 6), its implementation status, categories of participants using the system (see figure 6) and the possibility of use of electronic signature with the electronic information system (see figure 7). Regarding the status of implementation of the system, all five (100%) respondents that reported that an electronic information system existed to support the waste movement processes reported that the system was in use.

(i) Features and functionalities

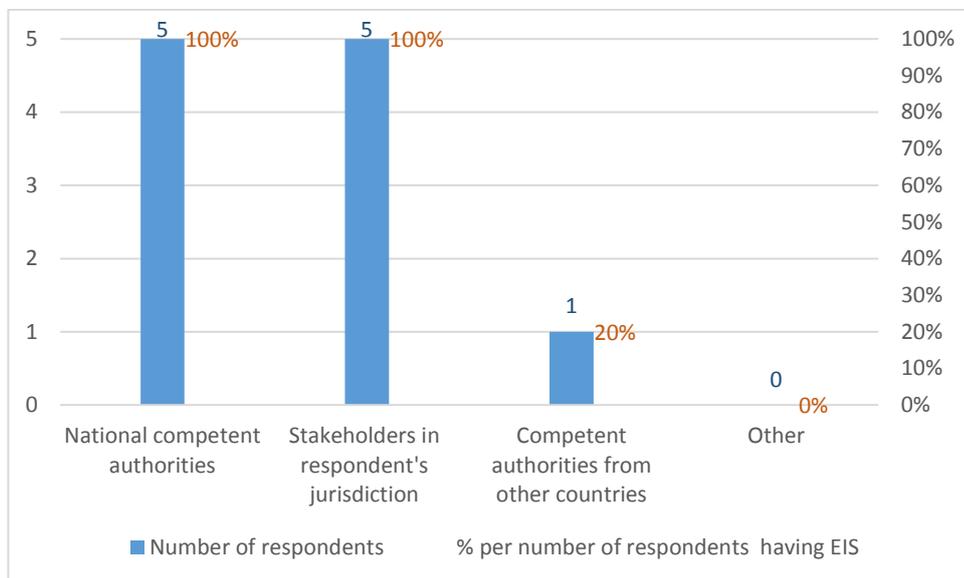
Table 6: Compilation of the details on features and functionalities provided by respondents that reported that an electronic information system existed in their countries

| | |
|-------------------------|---|
| ecorec Oesterreich Gmbh | www.edm.gv.at It allows to put all relevant information in an online software. After finalization you can submit the whole documents online. |
| HAZARDOUS WASTE EUROPE | In France, the system is called GISTRID (http://info.gistrid.din.developpement-durable.gouv.fr/presentation-de-l-application-gistrid-a28.html) All the notification procedure is online Following of the movement (export) from FR to other countries. |

| | |
|-----------------|---|
| Stena Metall AB | Application for notification. Preannouncement of transports. The receiver of the waste can declare the weight of the waste they have received. You can log in and follow your case. After a shipment is completed you can log in and get hold of the movement document. |
| SUEZ | The French electronic information system, called Gistrid, allow the notifier to: -Submit a proposed movement to the French authority; -Allow to complete the movement document when generated; -Print a completed movement document; -Store completed documents; -Notify the French authority of reception of wastes; -Store completed movement documents after reception of wastes; -Notify the French authority of confirmation of disposal; -Store completed movement documents when wastes are recovered. |

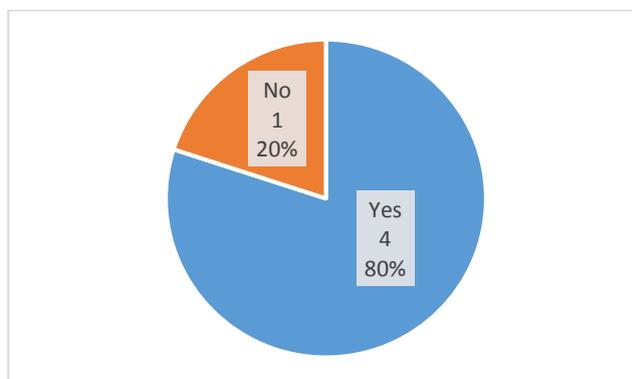
(ii) Participants

Figure 6: Distribution of the responses on the categories of participants in the electronic information system



(iv) Possibility of the use of electronic signatures

Figure 7: Distribution of the responses on the possibility of the use of electronic signatures in the electronic approach



Benefits of the electronic approach

Question III.2: *If you already have an electronic approach, name the most significant benefits that approach brings.*

Table 7: Compilation of the benefits brought by an electronic approach, considered most significant by respondents having that approach, and responses from respondents wishing to provide some information or view.

| | |
|--|---|
| Accumular Ltd | As it was written before, an electronic approach significantly shortens all processes concerning waste movement (from contract between waste exporter and disposer/waste producer to the notification of reception/disposal of wastes). |
| CRH (Slovensko) a.s. | Non-applicable. |
| ecorec Oesterreich Gmbh | You don't have to print a lot of papers. You save time and can save everything online. It's an easy and understandable software. |
| EUCOPRO | To improve delay for procedure and traceability. |
| General directorate of customs-Romania | We have not an electronic approach regarding customs operation with wastes managed according Basel Convention. |
| HAZARDOUS WASTE EUROPE | Speed up the notification process Streamline the decision-making process between the different persons in charge of the notification instruction at the Competent Authority level. |
| MITECO Kneževac d.o.o | Quickness, preciseness of information. |
| Purum SK | Effectivity. |
| Stena Metall AB | See answer to I.2. |
| SUEZ | Most significant benefits are: better traceability, transparency and ease in all the administrative processing. |

Best practices with respect to electronic approaches to transboundary movements of hazardous and other wastes

Question III.3: *Please describe any best practices you have encountered with respect to electronic approaches to transboundary movements of hazardous and other wastes.*

Table 8: Compilation of the best practices that respondents reported to have encountered with respect to electronic approaches to transboundary movements of hazardous and other wastes, and responses from respondents wishing to provide some information or view.

| | |
|-------------------------|--|
| Accumular Ltd | Best practice we have encountered with respect to electronic approaches to transboundary movements of hazardous and other wastes is a 3-weeks-time needed for processing notification. It took 3 weeks from the beginning of a notification procedure to its end. That whole procedure involved competent authority of export processing the documents and transmitting them to other competent authorities of transit/import, and competent authority of import to issue their consent within few days after receiving documents. |
| CRH (Slovensko) a.s. | Non-applicable. |
| ecorec Oesterreich Gmbh | The system is working since many years. There is no real best practice because every single notification is working. |
| EUCOPRO | See Eucopro comments at point III. 1 |
| MITECO Kneževac d.o.o | We were able to receive reliable and quick information in very short periods of time |
| Stena Metall AB | The system in place for shipments between Sweden and Finland. |

Challenges in the implementation of the electronic approach

Question III.4: *If you already have used an electronic approach, name the most significant challenges you face when implementing that approach.*

Table 9: Compilation of the challenges that respondents reported to have faced when implementing electronic approaches, and responses from respondents wishing to provide some information or view.

| | |
|-------------------------|--|
| Accumular Ltd | The most significant challenge we have faced so far when implementing an electronic approach is a different approach of competent authorities to the electronic approach. |
| CRH (Slovensko) a.s. | Non-applicable. |
| ecorec Oesterreich Gmbh | No challenges because you can prepare independent. |
| EUCOPRO | See Eucopro comments at point III. 1. If there is no harmonization, risk to double the work to do by the notifier: paper file and electronic process. |
| HAZARDOUS WASTE EUROPE | No direct link between the different national electronic systems where exist, consequently it can increase the administrative burden if the notifier has to follow and fill out several systems for a specific notification. There is need for an easy communication between the different systems. |
| MITECO Kneževac d.o.o | The only challenge I can think of is that the receiving party does not read an e-mail in time, but such a situation has not yet been encountered from our side. |
| Purum SK | Trained people. |
| Stena Metall AB | The storage capacity of the system is a challenge. You cannot send messages with too much information, which can be a problem with shipments where you use several transporters for example. |
| SUEZ | Significant challenges with an electronic approach are data input and respect of the 3 working days deadline for the transmission of the proposed movement document to the competent authorities. |

Findings of studies on possible electronic approaches

Question III.5: *Have you carried out any studies on possible electronic approaches? If possible, please provide us with a brief summary of the findings, or a copy thereof.*

Respondents were invited to indicate if they had carried out studies on possible electronic approaches and to provide a summary of the findings. Of the 15 Parties that responded to the questionnaire, 5 (33%) reported either not to have carried out any studies or that the question was not applicable to their situation and one respondent (Hazardous Waste Europe) indicated having provided information on the European EDI.

SECTION IV – A Basel Convention system for electronic approaches to notification and movement

Need for a Basel Convention electronic system for transboundary movements

Question IV.1: *Do you think there is a need for an initiative to provide for electronic data approaches to notification and movement, which would be available to all Parties to the Basel Convention (a Basel Convention electronic system for transboundary movements)?*

10. Of the 15 stakeholders that responded to the questionnaire, 14 (93%) respondents were of the view that there is a need for a Basel Convention electronic system for transboundary movements, and one (7%) respondent did not provide any answer. A compilation of the reasons provided by respondents on why there would be a need for a Basel Convention electronic system for transboundary movements is presented in table 10. A compilation of the reasons provided by respondents on why there would be no need for a Basel Convention electronic system for transboundary movements is presented in table 11

Table 10: Compilation of the reasons provided by respondents on why there is a need for a Basel Convention electronic system for transboundary movements

| | |
|--|--|
| Accumular Ltd | It depends on which electronic data would be available to all Parties. |
| ASSOCIATION WELFARE | For sound management (including decision making) of waste, data accuracy or reliability, timely delivery of and traceability of data is crucial. An electronic system can meet all these requirements better the old system. |
| CRH Slovensko a.s. | Electronic approach decreases the time needed for paper work. |
| CRH (Slovensko) a.s. | Due to simplification of the process. |
| ecorec Oesterreich Gmbh | Sure there is a need. All Parties should use the same (or at least similar) tools in order that no different approaches can occur. |
| EUCOPRO | Electronic approach would enable the notifiants, the waste treatment operators and all the local authorities involved in waste shipment to better follow-up their files and shipment, with a great improvement of the linked traceability. |
| General directorate of customs-Romania | In Romania, the competent authority related to wastes is not customs authority. |
| HAZARDOUS WASTE EUROPE | Ease information sharing Speed up the notification process Streamline the type of info that the different competent authorities need for the instruction of the dossiers |
| KOVOHUTY, a. s. | The electronic date approaches save the time. (without the paper work) |
| MITECO Kneževac d.o.o | Better and easier overview of the entire process |
| Purum SK | It is not necessary to print al the papers in the year 2018. |
| SIBIN s.r.o. | To speed up the process of notification, mainly when |
| Stena Metall AB | See answer to I.2. |
| SUEZ | Electronic data approaches to notification and movement available to all Parties to the Basel Convention would improve traceability, harmonize rules and quality of controls, and allow for more interaction with customs. |
| TREEE S.R.L. | -To have the same process and instrument all over the European Territory; - To make the authorization process more quick and easy |

Table 11: Compilation of the reasons provided by respondents on why there is no need for a Basel Convention electronic system for transboundary movements

| | |
|--|---|
| General directorate of customs-Romania | In Romania, the competent authority related to wastes is not customs authority. |
|--|---|

Processes that should be supported by a Basel Convention electronic system for transboundary movements

Question IV.2: *In your opinion, which of the listed processes should be supported by a Basel Convention electronic system for transboundary movements? Please tick the relevant box.*

In question IV.2, respondents were invited to indicate, through a multiple-choice selection of nine listed processes, plus one option for inputs on processes other than the options presented, those processes that they believed should be supported by Basel Convention electronic system for transboundary movements. The distribution of the responses on the processes that should be supported by a Basel Convention electronic system for transboundary movements is provided in figure 8. Table 12 presents

a compilation of the details provided by respondents that indicated other processes that should be supported by a Basel Convention electronic system for transboundary movements.

Figure 8: Distribution of the responses on the processes that should be supported by a Basel Convention electronic system for transboundary movements

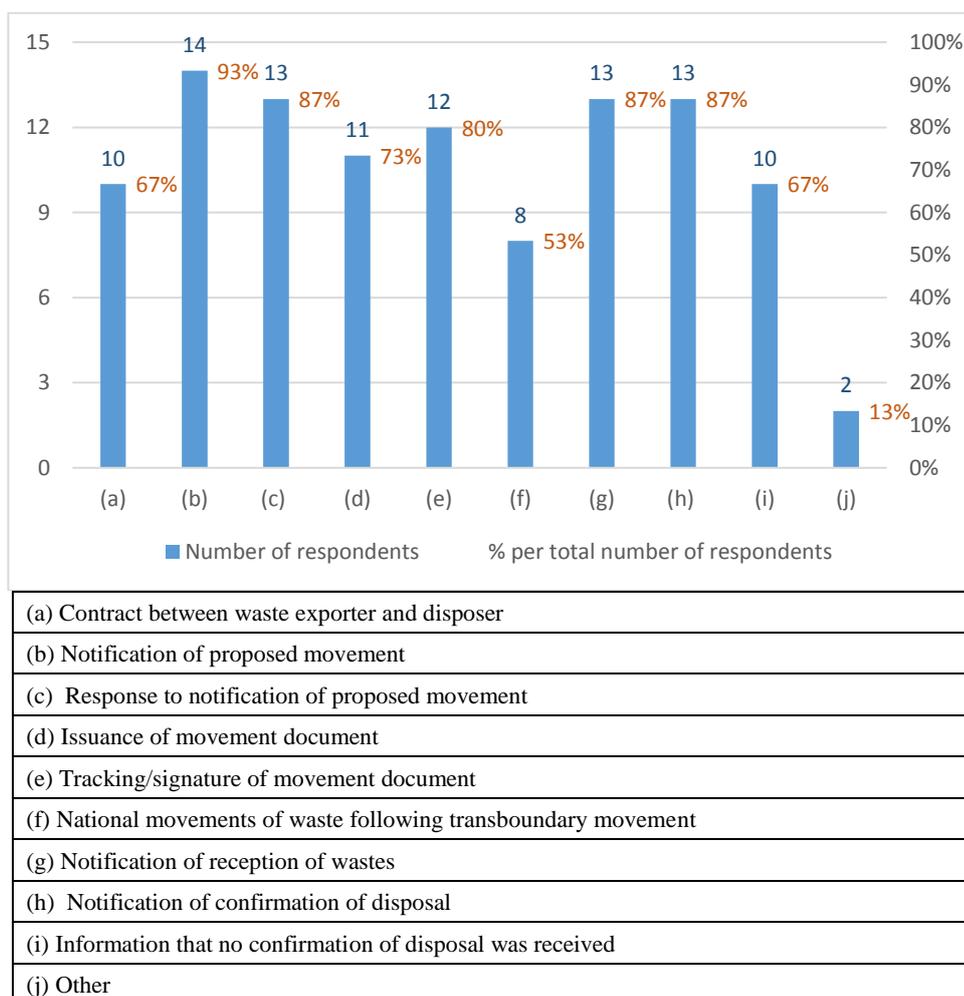


Table 12: Compilation of the details provided by respondents that indicated other processes that should be supported by a Basel Convention electronic system for transboundary movements

| | |
|--|--|
| CRH (Slovensko) a.s. | List of EWCs permitted for waste recovery or disposal. |
| General directorate of customs-Romania | In Romania, customs administration is not responsible in this respect. |

Preferred alternatives for a Basel Convention electronic system for transboundary movements

Question IV.3: Which, if any, of the alternatives listed below for a Basel Convention electronic system for transboundary movements would be your preference? Please, tick the relevant box and explain your answer.

11. In question IV.3, respondents were invited to indicate, through a multiple-choice selection of a list of three alternatives, plus one option for inputs on alternatives other than the options presented, the alternatives of their preference. Six (40%) respondents indicated preference for an intermediate system. Four (27%) indicated their preference for a central system and two (13%) respondents indicated preference for a decentralized system. One respondent indicated other option (see figure 9). A compilation of the reasons provided by respondents why a central system, a decentralized system, and an intermediate system would be preferred are presented in tables 13, 14 and 15 respectively. Table 16 presents a compilation of the details provided by respondents that indicated other preferred alternatives for a Basel Convention electronic system for transboundary movements

Figure 9: Distribution of the responses on the preferred alternatives for a Basel Convention electronic system for transboundary movements

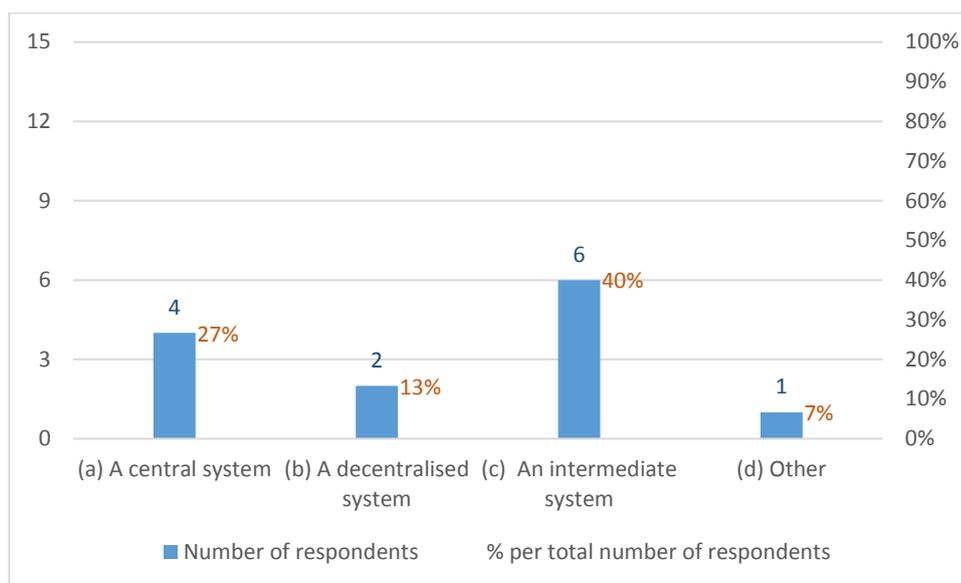


Table 13: Compilation of the reasons provided by respondents on why a central-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|----------------------|--|
| CRH (Slovensko) a.s. | All countries will use the same system. |
| TREEE S.R.L. | It would be fundamental to have the same system in order to minimize technical problems and to optimize communication. |

Table 14: Compilation of the reasons provided by respondents on why a decentralised-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|---------------|---|
| Accumular Ltd | It is either central system or decentralised system. Both options offer all Parties involved being networked and able to communicate with each other. |
|---------------|---|

Table 15: Compilation of the reasons provided by respondents on why an intermediate-system for a Basel Convention electronic system for transboundary movements would be preferred

| | |
|------------------------|---|
| HAZARDOUS WASTE EUROPE | It can only work like this. Countries where an e-system already exist have invested a lot of time and money and will never accept to restart from scratch. This is the experience we get in the EU. |
| Stena Metall AB | We think this is the alternative most likely to be implemented. |

Table 16: Compilation of the details provided by respondents that indicated other preferred alternatives for a Basel Convention electronic system for transboundary movements

| | |
|---------------------|---|
| ASSOCIATION WELFARE | An independent system that is managed by and is open to all Basel Convention Stakeholders supported by the Secretariat. Movement of waste is a concern to all and should be managed by all in a transparent manner. BRS Conventions are based on a multi-stakeholder approach it is therefore illogical to exclude other stakeholders in the notification process. The multi-stakeholder approach should not be restricted to participation in meetings or filling in questionnaires but should be extended implementation. |
|---------------------|---|

Main benefits expected if a Basel Convention electronic system for transboundary movements was favoured

Question IV.4: *If you would favour a Basel Convention electronic system for transboundary movements, what would you expect the main benefits to be?*

Table 17: Compilation of the main benefits that respondents would expect from a Basel Convention electronic system for transboundary movements

| | |
|--|---|
| CRH (Slovensko) a.s. | Simplification of the process. |
| EUCOPRO | See Eucopro previous comments. |
| General directorate of customs-Romania | We consider that the competent authority is responsible for this answer. |
| SIBIN s.r.o. | Speed of notification process. |
| Stena Metall AB | See answer to I.2. |
| MITECO Kneževac d.o.o. | Quickness and reliability. |
| CRH Slovensko a.s. | Faster change of information and better time management. |
| Accumular Ltd | As mentioned earlier, the main benefit is a shortened time of whole notification procedure. |
| ecorec Oesterreich Gmbh | Like mentioned before: Saving time, saving money, saving resources. |
| Purum SK | Effectivity, better approach to information. |
| ASSOCIATION WELFARE | It will increase accountability, trust and efficiency. |

Main challenge expected if a Basel Convention electronic system for transboundary movements was not favoured

Question IV.5: *If you would not favour a Basel Convention electronic system for transboundary movements, what would you expect the main challenge to be?*

Table 18: Compilation of the main challenges expected from a Basel Convention electronic system for transboundary movements

| | |
|--|---|
| Accumular Ltd | We favour a Basel Convention electronic system for transboundary movements. |
| General directorate of customs-Romania | We consider that the competent authority is responsible for this answer. |
| HAZARDOUS WASTE EUROPE | Seamless communication between the different systems (between national ones when exist and with the BC one) |

SECTION V – Other relevant information

12. Section V of the questionnaire was intended to collect information relevant to transboundary movements, specifically the types of shipments and/or operation that stakeholders considered of most concern, number of shipments per year and size of operations.

Shipments/operations of most concern

Question V.1: *What shipments/operations concern you most? Please tick the relevant box and where possible, please provide the number of the yearly shipments/operations associated with a transboundary movement.*

13. In question V.I, respondents were invited to indicate, through a multiple-choice selection of a list of six options, plus one option for inputs other than the options presented, the shipments/operations associated with a transboundary movement they considered of most concern. The distribution of the responses on the shipments/operations of most concern is provided in figure 10. A compilation of the

details provided by respondents that indicated other for the question on shipments/operations of most concern is presented in table 19.

Figure 10: Distribution of the responses on the shipments/operations considered of most concern by the stakeholders

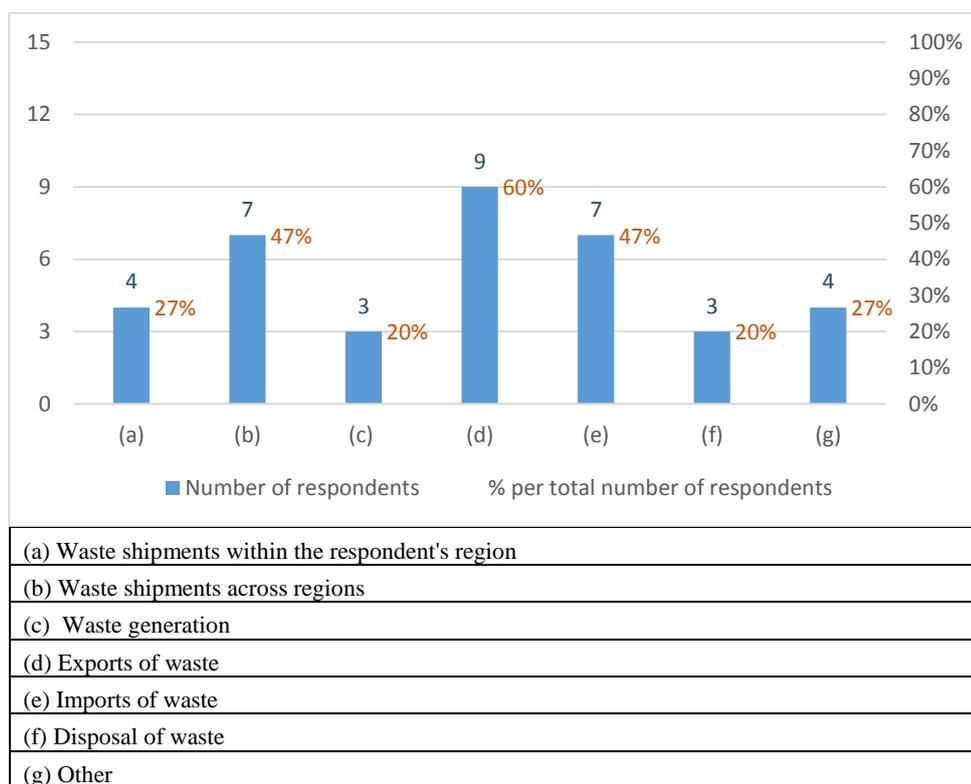


Table 19: Compilation of the details provided by respondents that indicated other for the question on shipments/operations of most concern

| | |
|--|---|
| EUCOPRO | As Eucopro is an European organization, with different situation for each Member, it is not possible to provide details. |
| General directorate of customs-Romania | We consider that the competent authority is responsible for this answer. |
| Stena Metall AB | We import waste and reprocess waste and export both within our region and outside. Approximately 400 000 metric tons per year both "green-listed" waste and waste that need notification. |
| SUEZ | Recovery of waste. |

14. Respondents were also invited to indicate the number of shipments per year and the size of the operation for each of the shipments/operations associated with a transboundary movement selected as being of most concern. The information provided by respondents is presented in tables 20, 21, 22, 23, 24, and 25

Table 20: Information provided on (a) Waste shipments within the respondent's region

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|------------------------|------------------------------|----------------------------|
| CRH (Slovensko) a.s. | 77 | 716 |
| HAZARDOUS WASTE EUROPE | - | 135,000 |

Table 21: Information provided on (b) Waste shipments across regions

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|----------------------|------------------------------|----------------------------|
| Accumular Ltd | 40 | |

| | | |
|------------------------|------|---------|
| HAZARDOUS WASTE EUROPE | | 65,000 |
| CRH (Slovensko) a.s. | 8873 | 195,208 |
| SIBIN s.r.o. | 85 | |

Table 22: Information provided on (c) Waste generation

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|----------------------|------------------------------|----------------------------|
| CRH (Slovensko) a.s. | 100 | 1,216 |

Table 23: Information provided on (d) Exports of waste

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|----------------------|------------------------------|----------------------------|
| Accumular Ltd | 40 | |
| CRH (Slovensko) a.s. | 23 | 500 |
| SIBIN s.r.o. | 85 | |

Table 24: Information provided on (e) Imports of waste

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|------------------------|------------------------------|----------------------------|
| CRH (Slovensko) a.s. | 8850 | 194,708 |
| HAZARDOUS WASTE EUROPE | | 200,000 |

Table 25: Information provided on (f) Disposal of waste

| Organization/Company | Number of shipments per year | Size of operation (tonnes) |
|------------------------|------------------------------|----------------------------|
| CRH (Slovensko) a.s. | 8850 | 194,708 |
| HAZARDOUS WASTE EUROPE | | 200,000 |

15. Respondents were invited to provide any additional information or comments pertaining to an electronic data approach not included in answers to the questionnaire and that could improve the implementation of the Basel Convention control procedure. Their responses are compiled in the table below.

Table 26: Compilation of additional information and comments pertaining to an electronic data approach that respondents considered they could improve the implementation of the Basel Convention control procedure

| | |
|------------------------|---|
| HAZARDOUS WASTE EUROPE | <p>In our opinion:</p> <ul style="list-style-type: none"> -new dossiers and renewals should be distinguished in order to fasten renewals (64% renewals in the case of our members) -main current issue is the delay for getting a notification because the timeline required in the BC (and in the WSR at the EU level) is not respected by a huge number of competent authorities (the delay between the moment where a notification is complete and the moment our members get the consent goes from 2 months to 10 months!) -consent of the countries of transit is and remains a major problem, e-approach could solve the problem (for example, if by default there is a tacit consent and if a country of transit wants to intervene in the notification process the Competent Authority of the country have to uncheck the box on tacit consent approval) |
|------------------------|---|