

BASEL CONVENTION TRAINING FRAMEWORK

Imports & Exports of Plastic Waste

June 2022

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Acronyms

APPW	Asia Pacific Plastic Waste Project
BC	Basel Convention
C2B	Customs to Business
C2C	Customs to Customs
C2G	Customs to other government agency
CBM	Coordinated Border Management
PIC	Prior Informed Consent
TBM	Transboundary Movements
UNEP	United Nations Environment Programme
WCO	World Customs Organization

1. Objectives

The overall aim of this training is to augment the knowledge and skills of Customs officers and border control agents with regard to:

- Legal frameworks covering the import and export of waste covered by the Basel Convention, with a focus on plastic waste, including the new amendments on plastic waste which came into force in January 2021 and the Ban Amendment on the exports of waste to Annex II countries which came into force in December 2019;
- How to perform risk assessments and develop profiles for (plastic) waste;
- How to perform inspections and identify plastic waste loads;
- How to deal with suspected cases of illegal traffic;
- How to enhance procedures to collaborate with other agencies involved.

After the training, the officers should have gained knowledge of:

- Basel Convention procedures;
- Documents required during transboundary movements of waste;
- Customs procedures involved in the transboundary movement of plastic waste and scrap;
- Types of (plastic) waste and how to identify them;
- What an effective inspection of (plastic) waste entails, from preparation to reporting;
- What steps to take in a suspected case of an illegal import or export, and who to contact.

The depth of knowledge gained will depend on which training level is followed.

2. Target Audience

The main target audience of this training are Customs officers, border control officers, regulators and competent authority officers operational at ports and border crossings, who are responsible for checking imports and exports of waste. If preferred, a train-the-trainer approach could be followed, in which case national Customs trainers would be the main target group.

The training framework is developed at two levels:

1. Entry-level officers;
2. Advanced-level officers.

3. Tools and Duration of Training

The tools used for the training are a combination of:

- PowerPoint presentations,

- Videos,
- Guidance documents, legal references, standard operating procedures, tools and other relevant references,
- Case studies and group work exercises,
- Practical on-the-job exercises,
- Open discussions.

The training will consist of a series of lectures, complemented by break-out sessions and interventions from practitioners.

The training for entry-level officers will be a half-day session lasting approximately three hours. The training for the advanced level will be a one-and-a-half-day training event.

4. Training Framework and Materials

Course 1: Entry level – Total duration: 0.5 days

Topic	Duration	Method of delivery	References	Trainers
1. Setting the scene: Plastic Waste Trade				
Background: <ul style="list-style-type: none"> - Impact of unsound management of waste on the environment and human health - Why waste is shipped - Challenges with plastic waste and trade in plastic waste trade 	30 minutes	<ul style="list-style-type: none"> - PPT - Video 	UNEP materials: <ul style="list-style-type: none"> - Our planet is choking on plastic - Illicit trade in waste: it is time to raise the alarm and mobilize - Drowning in Plastics: Marine Litter and Plastic Waste Vital Graphics - Controlling Transboundary Trade in Plastic Waste Videos: <ul style="list-style-type: none"> - Controlling Transboundary Trade in Plastic Waste - Plastic pollution solutions: Trade in Plastic Waste 	External
Objectives	This introductory module familiarizes the learner with the key challenges posed by plastic waste, including trends in production and waste generation. The sources, pathways and adverse impacts of plastic waste on human health and the environment will be discussed.			
Outcomes	Upon completion of this module, participants will: <ul style="list-style-type: none"> - Be able to characterize the scope of the global plastic waste challenge; - Understand the risks posed by plastic waste; - Be able to explain the causes and impacts of unsound management of plastic waste. 			
2. Legislative framework				

Topic	Duration	Method of delivery	References	Trainers
		<ul style="list-style-type: none"> - Understand the international dimensions of the plastic waste trade, and the applicable international regulations; - Be able to describe, at an abstract level, the scope, mechanism and procedures of the Basel Convention; - Be able to explain which types of plastic waste may or may not be subject to the PIC procedure, taking into account national definitions; - Be able to explain the main elements of the PIC procedure, conditions for TBM, relevant elements of the PIC for enforcement purposes, and how they apply to plastic waste; - Be able to identify which documents and what information should accompany the TBM of waste. 		
3. Role of Customs (enforcement)				
<ul style="list-style-type: none"> - Recognizing waste trade - Inspection steps - How to deal with the illegal waste trade 	75 minutes	<ul style="list-style-type: none"> - PPTs - Example forms - Exercise/ case studies 	Basel Convention Customs Tool: <ul style="list-style-type: none"> - Training Manuals WCO Frontline Officers Guide and Research Paper: <ul style="list-style-type: none"> - Frontline Customs Officers' Guide to Key Multilateral Environmental Agreements - WCO releases research paper on waste control at borders by Customs 	Interne et externe
Objectives	This module focuses on how to target consignments of interest, how to perform the actual examination of plastic waste materials, and how to act in the event of a (suspect) illegal shipment.			
Outcomes	Upon completion of this module, participants will be able to: <ul style="list-style-type: none"> - Recognize indicators of the waste trade, in particular plastic waste; - Describe how to perform an administrative and physical inspection of a consignment of plastic waste; and - Know how to act in the event of an illegal shipment, including how to contact the relevant authorities and what steps to take for the repatriation of the waste. 			

Topic	Duration	Method of delivery	References	Trainers
4. Role of Customs (procedures and coordination)	This module explains the role of Customs in promoting more efficient controls on legal shipments through enhanced collaboration, including by digital means.			
<ul style="list-style-type: none"> Coordinated border management Digital approaches to interagency cooperation Customs-to-Customs cooperation 	45 minutes	<ul style="list-style-type: none"> PPTs Examples 	Links to guidance and manuals <ul style="list-style-type: none"> WCO CBM Compendium: Coordinated Border Management WCO Building a Single Window environment: Building Single Window Environment (SWE) Recourse material 	Interne
Objectives	This module describes the role of other agencies involved in the process and how to organize coordination and collaboration.			
Outcomes	Upon completion of this module, participants will be able to: <ul style="list-style-type: none"> Identify approaches to streamline regulatory requirements through enhanced C2C, C2B and C2G cooperation. 			
5. Summary and closing	15 minutes			

Course 2: Advanced level – Total duration: 1.5 days

Topic	Duration	Materials	References	Trainers
1. Setting the scene				
Background: <ul style="list-style-type: none"> - Impact of unsound management of waste on the environment and human health - Why waste is shipped - Challenges with plastic waste and trade in plastic waste trade 	30 minutes	<ul style="list-style-type: none"> - PPT - Video 	UNEP materials: <ul style="list-style-type: none"> - Our planet is choking on plastic - Illicit trade in waste: it is time to raise the alarm and mobilize - Drowning in Plastics: Marine Litter and Plastic Waste Vital Graphics - Controlling Transboundary Trade in Plastic Waste Videos: <ul style="list-style-type: none"> - Asia Pacific Plastic Waste Project (APPW) - Plastic pollution solutions: Trade in Plastic Waste 	External
Objectives	This introductory module familiarizes the learner with the key challenges posed by plastic waste, including trends in production and waste generation. The sources, pathways and adverse impacts of plastic waste on human health and the environment will be discussed.			
Outcomes	Upon completion of this module, participants will: <ul style="list-style-type: none"> - Be able to characterize the scope of the global plastic waste challenge; - Understand the risks posed by plastic waste; - Be able to explain the causes and impacts of unsound management of plastic waste. 			
2. Legislative Framework				
Legislative framework: <ul style="list-style-type: none"> - What is the Basel Convention and what is waste? Why is it important? 	60 minutes	<ul style="list-style-type: none"> - PPTs 	Basel Convention materials on plastic waste: <ul style="list-style-type: none"> - Plastic Waste: Overview - Brochures and Leaflets 	External and internal

Topic	Duration	Materials	References	Trainers
<p>International dimensions and projections. Also, how the Basel Convention relates to the specific region and country</p> <ul style="list-style-type: none"> - Basel Convention: <ul style="list-style-type: none"> ▪ Pillars ▪ Procedures ▪ Waste covered by the Convention - Plastic waste amendments - Ban amendments <p>National legislation on waste imports and exports:</p> <ul style="list-style-type: none"> - National requirements for import, transit and export of plastic waste - Customs' mandate 	<p>30 minutes</p>		<ul style="list-style-type: none"> - The Basel Convention Ban Amendment - Guidance/tools available to assist with the development of legal frameworks (Tools for the development of legal frameworks) and in particular our comprehensive guide for the development of legal frameworks to implement the Basel Convention (which will shortly made available on that page) 	
<p>Objectives</p>	<p>This module explains the background of the Basel Convention, including the challenge posed by illegal traffic in hazardous and other wastes. The module also explains the Convention's objectives, key provisions, mechanisms, and processes. It provides information on the scope of the Convention, and the waste streams regulated by the Convention, with a special focus on the Plastic Waste Amendments. It explains the implications of the Plastic Waste Amendments, in particular regarding the classification of plastic waste and related obligations in terms of the PIC procedure.</p> <p>It will also include a presentation on the national framework for the plastic waste trade.</p>			
<p>Outcomes</p>	<p>Upon completion of this module, participants will be able to:</p> <ul style="list-style-type: none"> - Describe at an abstract level the scope, mechanism and procedures of the Basel Convention; - Explain which types of plastic waste may or may not be subject to the PIC procedure, taking into account national definitions; - Explain the main elements of the PIC procedure, conditions for TBM, relevant elements of the PIC for enforcement purposes, and how they apply to plastic waste; and - Identify which documents and what information should accompany the TBM of waste. 			

Topic	Duration	Materials	References	Trainers
3. Role of Customs				
Role of Customs: <ul style="list-style-type: none"> - Procedures and facilitation - Recognizing waste trade - Requirements for waste shipments 	60 minutes	<ul style="list-style-type: none"> - PPTs - Example forms - Exercises/case studies 	Basel Secretariat Training Manual for Customs: <ul style="list-style-type: none"> - Training Manuals WCO Frontline Officers Guide and Research Paper: <ul style="list-style-type: none"> - http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/guidelines/frontline-customs-officers-guide.aspx - Frontline Customs Officers' Guide to Key Multilateral Environmental Agreements 	External and internal
Objectives	This module focuses on the actual examination of plastic waste materials and how to act in the event of a (suspect) illegal shipment.			
Outcomes	Upon completion of this module, participants will be able to: <ul style="list-style-type: none"> - Explain the procedures for legal trade; - Recognize indicators of waste trade, in particular plastic waste; and - Describe the requirements and necessary documentation for plastic waste shipments. 			
4. Identification and classification				
Identifying (plastic) waste: <ul style="list-style-type: none"> - Types and classification system of waste - Link between waste and HS codes - Visual indicators 	30 minutes	<ul style="list-style-type: none"> - PPTs - Visuals - Exercises 	WCO Guest article: <ul style="list-style-type: none"> - Focus on the transboundary movements of wastes 	External and internal
Objectives	This module describes the main steps to undertake a risk assessment, develop risk indicators, and perform administrative and physical checks. It explains how to identify plastic waste. Visual screening and sampling are discussed as well as the use of Customs codes during the identification process. Special attention is paid to the safety of the officers whilst performing visual screening.			

Topic	Duration	Materials	References	Trainers
Outcomes	Upon completion of this module, participants will be able to:			
	<ul style="list-style-type: none"> - Identify tools that can be applied to target possible illegal shipments of plastic waste; - Explain what a risk assessment of TBM of plastic waste entails; and - Explain Customs codes and other systems assisting in identifying plastic waste. 			
5. Targeting and Risk Management				
Compliance and Enforcement:	90 minutes	<ul style="list-style-type: none"> - PPTs - Break-out sessions (assignments) 	Basel Convention tool: <ul style="list-style-type: none"> - Manual for Customs officers 	External and internal
<ul style="list-style-type: none"> - Risk assessment, Profiling & Indicators - Use of intelligence - Guidance on inventories and risk assessments - Administrative and physical Inspections - Safety aspects 				
Objectives	This module describes the main steps to undertake a risk assessment, develop risk indicators, and perform administrative and physical checks. It explains how to identify plastic waste. Visual screening and sampling are discussed as well as the use of Customs codes during the identification process. Special attention is paid to the safety of the officers whilst performing visual screening.			
Outcomes	Upon completion of this module, participants will be able to:			
	<ul style="list-style-type: none"> - Identify tools that can be applied to target possible illegal shipments of plastic waste; - Explain what a risk assessment of TBM of plastic waste entails; - Explain how a risk profile is developed; and - Explain Customs codes and other systems assisting in identifying plastic waste. 			
6. Dealing with illegal traffic				
<ul style="list-style-type: none"> - Evidence collection - Take-back procedures - Prosecution 	75 minutes	<ul style="list-style-type: none"> - PPTs - Examples 	Basel Convention guidance dealing with illegal traffic: <ul style="list-style-type: none"> - Illegal Traffic: Guidance 	External and internal

Topic	Duration	Materials	References	Trainers
			WasteForce guidance for prosecuting waste crime: - Guidance for Prosecutors of Waste Crime	
Objectives	This module describes the key elements for efficient and effective investigations and prosecutions. It explains what is considered illegal traffic and how to deal with it, including take-back procedures.			
Outcomes	Upon completion of this module, participants will be able to: - Describe what constitutes the illegal traffic of waste under the Basel Convention; - Identify what type of evidence to collect and store for successful prosecutions; - Discuss the procedures, tools and methods for the take-back of waste as a result of illegal traffic.			
7. Collaboration				
Coordinated border management • Partnership with private sector • Digital approaches to interagency cooperation • Customs-to-Customs cooperation	90 minutes	- PPTs - Example	WCO CBM Compendium: - Coordinated Border Management WCO Building a Single Window environment: - Building Single Window Environment (SWE) Recourse material	Internal
Objectives	This module describes the role of other agencies involved in the process and how to organize coordination and collaboration at different levels: Customs to Customs, Customs to Business and Customs to other government agencies.			
Outcomes	Upon completion of this module, participants will be able to: - Identify approaches to streamline regulatory requirement through enhanced C2C, C2B and C2G cooperation; - List the advantages of inter-agency collaboration; and - Describe how inter-agency collaboration can be set up.			
Summary and close	15 minutes			

5. Assessment Component

After the training, participants will be invited to complete an evaluation form.

Options to assess the impact are:

- Present a group project based on a case study;
- An individual test (online or on-the-spot).



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