

Self-Assessment Tool Basel Convention – Plastic Waste



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Acronyms

AEO	Authorized Economic Operator
APPW	Asia Pacific Plastic Waste Project
BC	Basel Convention
BCFP	Basel Convention Focal Point
BCRC	Basel Convention Regional Centre
BPM	Business Process Mapping
CBRAs	Cross-Border Regulatory Agencies
CEN	Customs Enforcement Network
COP	Conference of the Parties
CTS	Cargo Targeting System
DM	Data Model
ESM	Environmentally Sound Management
PCA	Post-Clearance Audit
PIC	Prior Informed Consent
RKC	Revised Kyoto Convention
RM	Risk Management
PCA	Post-Clearance Audit
SAR	Suspicious Activity Report
SCZ	Special Customs Zones
SOP	Standard Operating Procedure (SOP)
SW	Single Window
SWE	Single Window Environment
TBM	Transboundary Movements
TRS	Time Release Study
WCO	World Customs Organization

I. The Asia Pacific Plastic Waste Project

Background

While recycling and the circular economy have been touted as potential solutions, upwards of half of the plastic waste intended for recycling has been exported to hundreds of other countries around the world, with China the lead destination, having imported a cumulative total of 45% of plastic waste between 1988 and 2016¹. However, the growing awareness in China of the challenges related to imported plastic waste has already altered, and will continue to alter, the global trend and geographical dynamics of the plastic waste trade. China started to tighten its import controls in 2013 with “Operation Green Fence”, which was followed by an anti-smuggling campaign entitled “National Sword 2017”. The outcomes of these operations led to a policy banning the importation of most plastic waste in 2018.

This sudden gap in the accessibility of plastic waste management capacity led to the re-routing of thousands of containers containing plastic waste shipments from Europe and North America to other countries in the Asia Pacific region. This trend posed additional challenges to the receiving countries with respect to monitoring the import and management of plastic waste. Furthermore, with the amendment of international rules on transboundary shipments of plastic waste on 1 January 2021, Customs administrations in importing jurisdictions were faced with new operational challenges.

Project aim

The WCO Asia Pacific Plastic Waste Project (APPW) aims to strengthen the capacity of Customs administrations to mitigate and appropriately respond to environmental threats in the Asia Pacific region. In particular, the focus has been placed on the implementation of the Basel Convention, and specifically on matters related to plastic waste and the illegal shipment thereof. The Project has carried out diagnostic missions in the Project beneficiaries, developed capacity building materials, and delivered training to support a more regional approach towards plastic waste trade and tackling the illegal trafficking of plastic waste. This Self-Assessment Tool is also one of the deliverables of the Project.

Role of Customs in targeting the illegal plastic waste trade

Customs is located at borders to ensure compliance of trade in goods while facilitating legitimate trade. Ways of ensuring compliance include employing risk management techniques to assess risks posed by individual goods, using commercial data, information and intelligence, whilst having the authority to stop, inspect and release goods, as well as to require documents and answers to questions. At the APPW Conference held on 24-25 February 2022, a regional conference statement was presented that further specified the role of Customs in relation to plastic waste.²

¹ Brooks AL, Wang S, Jambeck JR. The Chinese import ban and its impact on global plastic waste trade. *Sci Adv.* 2018;4(6):eaat0131. Published 2018 Jun 20. doi:10.1126/sciadv.aat0131

² Link to the APPW conference statement: <http://www.wcoomd.org/-/media/wco/public/global/pdf/events/2022/appw/statement-of-the-wco-asia-pacific-plastic-waste-conference-appw-statement.pdf?la=en>

II. The Basel Convention

The overarching objective of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, hereafter the Basel Convention, is to protect human health and the environment against the adverse effects that may result from the generation and management of hazardous and other wastes.

The provisions of the Convention can be structured around three pillars:

1. Control of transboundary movements of hazardous and other wastes
2. Promotion of environmentally sound management of hazardous and other wastes
3. Prevention and minimization of the generation of hazardous and other wastes

Transboundary movements (TBM) of hazardous and other wastes are regulated by applying the prior informed consent (PIC) procedure. Wastes covered by the Basel Convention are listed in the Annexes to the Basel Convention and are divided into hazardous wastes and other wastes.

The PIC procedure forms the heart of the control system for wastes covered by the Basel Convention. It requires that, before any transboundary movement of such wastes takes place, the prospective States of import and transit be notified of the intended movement(s). This enables the competent authorities, such as the environmental authorities, Customs and Cross-Border Regulatory Agencies (CBRAs), to monitor the movements of hazardous and other wastes as controlled by the Basel Convention and to ensure disposal of the waste in accordance with national requirements. Transboundary movements of waste covered by the Basel Convention may commence only after consent has been given by all competent authorities.

Furthermore, hazardous and other wastes should be managed following the fundamental principle of environmentally sound management (ESM).³ The Convention sets out what is considered to be illegal traffic and what is to happen in cases of illegal traffic.

With the so-called Plastic Waste Amendments adopted in May 2019, the scope of the Basel Convention has significantly changed, impacting the rules governing the movement of plastic waste across international boundaries. The changes to the Basel Convention were adopted by its governing body, the Conference of the Parties (COP), in its decision BC-14/12, and came into effect on 1 January 2021. The amendments as such do not imply a ban on the import, transit or export of plastic waste, but rather provide clarification of when and how the Convention applies to such waste.

In principle, non-hazardous waste does not fall under the control regime of the Basel Convention. Countries may, however, implement national regulations on the import, transit and export of non-hazardous waste. Parties to the Basel Convention can also consider or define wastes other than those listed in Annexes I and II to the Basel Convention as hazardous under their own national legislation and request the application of the requirements relating to transboundary movements of waste.

³ “Environmentally sound management of hazardous wastes or other wastes” means taking all practicable steps to ensure that hazardous wastes or other wastes are managed in a manner which will protect human health and the environment against the adverse effects which may result from such wastes.” (Article 2, Basel Convention)

III. Objectives of the self-assessment tool and target groups

The Self-Assessment Tool can be used to conduct a detailed assessment of the Customs readiness to monitor and check compliance with the Basel Convention, in particular the transboundary movements of plastic waste, in order to take relevant action.

The Self-Assessment Tool has the following objectives:

1. to conduct an analysis of the current level of awareness and preparedness for the Basel Convention provisions relevant to Customs;
2. to provide Customs administrations with a mechanism to assess their situation in terms of facilitation and enforcement of the Basel Convention; and
3. to serve as a guideline for experts conducting institutional assessment missions.

Target groups

As this is a Self-Assessment Tool, the target audiences are also the main users. The target groups are Customs administrations and those who support Customs administrations in performing the assessments, such as the WCO Secretariat, other international organizations, project partners or any third party approved by the Customs administrations. Within Customs, the following groups are identified:

- decision-makers within Customs;
- line managers within Customs administrations who are responsible for operational interventions and can influence the change management process; and
- Customs officers involved in facilitation, procedures, risk management and enforcement.

IV. Structure and use of the self-assessment tool

Self-Assessment Tool focus areas

The Self-Assessment Tool is developed around six main areas, which are described below.

1. **Institutional Framework and Strategy.** This first section guides the assessment of the level of awareness of plastic waste management issues within Customs, and the priority accorded to controlling waste, and how this is reflected in Customs strategies.
2. **Legislation.** This section contains questions on the national legislative framework and how the Basel Convention provisions are implemented. It also looks at the authorities and powers conferred on Customs to deal with waste shipments.
3. **Facilitation and Procedures.** This section assesses the procedures in place to facilitate legal trade in plastic waste, and the requirements relating to the import or export of plastic waste.
4. **Illegal Trafficking.** This section is divided into three sections, namely 'Risk Management', 'Enforcement' and 'Dealing with Illegal Traffic'. The questions focus on how shipments are targeted, based on the kind of information used, and how Customs administrations deal with illegally shipped waste.
5. **Cooperation.** This section examines how cooperation is organized, and functions, at both the national and the international levels.

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6. **Skills and Capacity Training.** This final section aims to obtain more insight into the development, or required skillsets, of training programmes and the inclusion of dedicated training or modules on plastic waste.

The Tool consists of a table with the following columns:

Question	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
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- The ‘Question’ column is designed to collect information on the current situation and to identify priority areas for attention;
- Columns 2-5 contain tick boxes to indicate ‘Yes’ or ‘No’, and in some cases to indicate a scale from 1 to 5. Questions and answers related to waste in general are separated from those specifically for plastic waste;
- The last column, ‘Potential solutions and improvement options,’ suggests options and solutions based on international best practices.

Below each table a summary is provided of potential challenges or weaknesses Customs authorities may face when implementing and enforcing general waste and plastic waste policies. Further information is provided on publications and resources which can be consulted for more details and guidance (e.g. guidelines issued by international organizations, international conventions, etc.).

Terminology

Some terms used in the Tool maybe interpreted in different ways. For the sake of clarity, a number of terms are explained below.

Waste

For the definition of waste, Article 2.1 of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (hereafter referred to as the Basel Convention) applies. This defines “wastes” as: “substances or objects that are disposed of or are intended to be disposed of or are required to be disposed of by the provisions of national law”. A shipment of waste is considered to be a movement of waste across a jurisdiction of one country to another.

Disposal

“Disposal” means any operation specified in Annex IV to the Basel Convention. These operations are divided into two categories: 1. Operations that do not lead to the possibility of resource recovery, recycling, reclamation, direct re-use or alternative uses (for example landfill) and 2. Operations which may lead to resource recovery, recycling reclamation, direct re-use or alternative uses.

Plastic waste

Solid plastic waste, provided it is not mixed with other wastes and prepared to a specification, is currently considered as non-hazardous waste (B3011) and can be shipped without prior informed consent (unless specific national or regional requirements apply). As of 1 January 2021, two new Basel Convention waste entries were added for plastic waste that is now covered by the Convention: hazardous plastic waste (A3210) and mixed plastic waste (Y48). Shipping hazardous plastic waste or mixed plastic waste requires the prior informed consent of all competent authorities involved.

Business Process Mapping (BPM)

Business Process Mapping (BPM) refers to the analysis of different Customs and CBRA processes to identify and document activities and responsibilities within a business process in order to recognize flows and how they map with each other. The goal is to streamline processes, eliminate process steps that overlap and do not add business value, locate the main process points that are vital to performance, and align and harmonize them as much as possible.

WCO Data Model

The WCO Data Model includes the analysis and modelling of the Customs procedures and processes contained in the Revised Kyoto Convention, using activity diagrams, use-case diagrams and descriptions. Based upon this analysis, illustrative scenarios for governmental business processes are developed. In the WCO DM, information flows from cross-border regulatory agencies (including Customs) have been categorized and brought together in ‘class diagrams’ and modelled using Unified Modelling Language (UML). In the context of plastic waste, BPM should be carried out on the relevant procedures for transboundary waste shipment (i.e. import, export, transit, inward-outward processing, take back, etc.) for harmonization and simplification purposes, with the participation of the environmental authorities.

1. Institutional Framework and Strategy

	Question - Institutional Framework & Strategy	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
1.	Do illegal waste shipments pose a threat to your country?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Commission a study or an inventory on the imports and exports of waste and identify possible risks or gaps.
2.	Is there an understanding of the threats and risks associated with waste trade in your administration?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	If so, please indicate to what level. (1= low level, to 5= high level)		NA		NA	Based on the outcomes of a study or risk assessment, provide input towards a national strategy.
3.	Does your country have a specific national strategy to combat illegal waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a strategy/action plan/control plan, in particular if the threat was assessed as high.
4.	If so, does Customs play a role in this waste strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.	Does your Customs Administration cooperate with the national authority/authorities responsible for development of national policy regarding waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include nationally strategic environmental objectives, waste and plastic waste objectives specifically in the Customs strategy.
6.	Is the facilitation of waste shipments a strategic priority for Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider a longer-term timeframe for the strategic planning, differentiating the strategic plan from the annual action plans for more operational planning. This might encourage an enhanced strategic assessment of the priorities and the corporate goals as well as a more targeted communication of the priorities and external and internal accountability.
7.	Is the control of waste shipments a strategic priority for Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.	Is the enforcement of waste shipments a strategic priority for Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.	Does the current organizational structure reflect the different needs to monitor waste-related legislation as regards to:					
	- cooperation/coordination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- facilitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- risk management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- enforcement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish inter-agency mechanisms, for example a joint committee, to coordinate the development and implementation of policies.
10.	Does your administration have any team(s) and/or staff that have specialized knowledge of or focus on waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Appointment of specialist Customs officers for waste-related matters.

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	Question - Institutional Framework & Strategy	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
11.	Does your administration have a specific strategy to combat illegal waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Possible threats and weaknesses

A lack of awareness or understanding of the potential risks related to the illegal waste trade and of the scope of such risks may influence the level of priority given to them. In cases where there is sufficient awareness, the institutionalization and operationalization of dedicated units and implementation of strategies may be challenging. Also, there may be a lack of inter-agency coordination on waste and plastic waste. All of this weakens the necessary response.

Useful resources

WCO resources:

- Orientation Package for Decision Makers: <http://www.wcoomd.org/en/topics/capacity-building/instrument-and-tools/orientation-package-for-decision-makers.aspx>
- IT Guide for Executives: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/it-guide-for-executives.aspx>
- Current situation, analysis and observations on waste control at borders by Customs (WCO Research Paper No. 50, Kenji Omi): http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/research/research-paper-series/50_waste_control_at_borders_by_customs_omi_en.pdf?la=en

External resources:

- Green Customs Guide to Multilateral Environmental Agreements (GCI): <https://www.greencustoms.org/sites/default/files/resources/Green%20Guide%20Customs%20to%20MEAs%202018%20%20Low%200.pdf>

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2. Legislation

	Question - Legislation	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
12.	Is your country a party to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal?	<input type="checkbox"/>	<input type="checkbox"/>	NA	NA	Assess and revise national Customs legislation and the regulatory framework to adequately reflect the national implementation of the Basel Convention and the Plastic Waste Amendments. Ensure that national Customs legislation makes adequate provision for the Basel Convention's recommendations on plastic waste. Review national technical regulations to better distinguish plastic waste for treatment from plastic waste/scrap for production, as the current state of play allows for different interpretations. Consider defining standards to address the gaps identified. Consider defining “serious” offences for the purpose of criminal investigations of illegal trade in waste. Consider reviewing Customs legislation to address the Customs control functions in Free Zones in line with the RKC and the Free Zone Guidelines.
13.	Is there a national framework implementing the provisions of the Basel Convention?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14.	Are the Basel Convention provisions implemented in the national Customs legislative framework?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15.	Is Customs legislation updated when there are changes to the Basel Convention and national waste legislation (e.g. the Plastic Waste Amendments or the Ban Amendment)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16.	Are you aware of national standards defining the quality and specification of waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
17.	Does Customs have a mandate to develop or implement enforcement policies and procedures on:					
	- waste imports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- waste exports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- waste in transit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
18.	Does the current legislation confer powers on the Customs administration as regards (suspected) illegal waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19.	Have any problems, challenges or gaps been identified in the legislation with respect to key legal powers to enable Customs to control and enforce waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20.	Are there any sanctions for non-compliance with waste legislation in national law?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21.	Are Customs responsible for imposing such sanctions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
22.	Is there a policy that governs the punitive action to be taken by Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
23.	Can administrative penalties be instituted by Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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	Question - Legislation	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
24.	Can criminal proceedings be instituted by Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
25.	Have any gaps been identified that do not allow for the imposition of effective penalties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
26.	Does national legislation require companies to retain import and/or export documents related to waste trade for a specific period of time for post-clearance audit or investigation proceedings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
27.	Are the legislative provisions and/or bilateral treaties for international cooperation in criminal matters used to support the investigation and prosecution of crime?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
28.	Has your country acceded to the Revised Arusha Declaration concerning good governance and integrity in Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
29.	Is the current Customs legislation aligned with the WCO's Revised Kyoto Convention?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Possible threats and weaknesses

Lack of legislation with a clear mandate means a lack of possibilities to take action, fight illegal trade and impose fines. Having a clear legislative framework not only supports facilitation and enforcement, but also informs operators about their duties.

In addition, complex regulations, procedures or administrative guidelines may provide an environment that could allow corrupt practices to develop and flourish. The elimination of 'red tape' includes simplifying cumbersome processes and removing duplication of efforts or unnecessary procedures. The lack of integrity in Customs in the context of cross-border waste management can distort the proper implementation of regulations, undermining public trust in the administration.

Useful resources

WCO resources:

- The RKC: http://www.wcoomd.org/en/Topics/Facilitation/Instrument%20and%20Tools/Conventions/pf_revised_kyoto_conv/Kyoto_New
- Practical Guidance on Free Zones:

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http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/activities-and-programmes/free-zone/wco-fz-guidance_en.pdf?la=en#:~:text=Free%20Zones%20serve%20as%20national,and%20government%20%E2%80%9Cred%20tape.%E2%80%9D

- WCO Integrity Programme: <http://www.wcoomd.org/en/topics/integrity/overview.aspx>
WCO Integrity Development Guide http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/integrity/instruments-and-tools/integrity_guide.pdf?la=en&msclkid=f0e0cc2dab5411ec81daab41b236d8e2

External resources:

- Plastic Waste Amendments to the Basel Convention FAQs (Basel Convention):
<http://www.basel.int/Portals/4/download.aspx?d=UNEP-CHW-LEAFLET-PUB-Brochure-PlasticWasteAmendFAQs-2021.English.pdf>
- Guide for the development of national legal frameworks to implement the Basel Convention (Basel Convention):
<http://www.basel.int/Portals/4/download.aspx?d=UNEP-CHW-PUB-GUID-Development-LegalFrameworks-2020.English.pdf>
- Manual for the Implementation of the Basel Convention (Basel Convention):
<http://www.basel.int/portals/4/download.aspx?d=UNEP-CHW-GUID-PUB-ManualforImplementation.English.pdf>

3. Facilitation and Procedures

	Question - Facilitation & Procedures	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
30.	Have you ever performed a business process mapping (BPM) to clear waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	BPM should be carried out on the relevant procedures for transboundary waste shipments (i.e. import, export, transit, inward-outward processing, take back, etc.) for harmonization and simplification purposes with the participation of the environmental authorities.
31.	Do you have designated Customs offices to which Customs declarations on waste shipments are presented for processing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
32.	Is there a procedure covering how to deal with the take back of illegally imported waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
33.	Does Customs have a role in the take-back procedure in the case of illegally imported waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
34.	Is the Customs take-back procedure aligned with that of the competent environmental authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Dedicated offices dealing with waste help target capacity building efforts.
35.	Is the Customs clearing process for waste shipments automated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish an internal Customs procedure on plastic waste import/export/transit.
36.	If so, does this system have an integrated risk management model/selectivity application (i.e. the ability to set selectivity criteria/risk rules)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Is the Customs clearing process for waste shipments manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure that Customs has access, ideally through a Single Window Environment (SWE), to the information related to the PIC procedures, quotas, etc., in order to facilitate the documentary check on the licences. This information is usually owned by the environmental authorities.
37.	In the case of manual controls, does Customs check the waste movement documents and consent, if required, during documentary examinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Raise the level of attention paid to Free Zones in terms of adequate Customs procedures/control to tackle the risk of abuse of Special Customs Zones (SCZ) through illegal imports and their dissemination from SCZs throughout the global supply chain.
38.	Does coordination or communication with other relevant government agencies take place during this phase?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
39.	In the case of manual processing, what checks do Customs officers undertake on the declarations of waste?					Adopt the WCO Data Model and standardize the data sets for waste trade procedures to facilitate the information exchange needed by other CBRAs for cross-border release and border clearance.
-	HS code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	valuation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	description of waste	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	consistency of the information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
						Support the establishment of laboratory capacity to analyse and determine the plastic waste composition (i.e. types of plastic waste and level of contamination and mixed materials).

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	Question - Facilitation & Procedures	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
-	route	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Consider the introduction of guarantees for transit and the use of financial guarantees to compensate for non-compliant/low-quality plastic scrap imports by registered importers.</p> <p>Use possible environmental compliance certificates issued by the environmental authorities for the purposes of risk management and the post-clearance audit (PCA).</p> <p>Initiate a compliance programme to enhance Customs-to-Business partnership in the plastic recycling materials industry.</p> <p>Streamline the clearance process through process mapping for the importation of non-hazardous waste and the harmonization of the documentary requirements, in cooperation with the environmental authorities.</p> <p>Enable Customs to access the notification documents and waste movement documents related to the PIC notification procedure for the imports of hazardous waste.</p> <p>Establish a strategic and working relationship with BCFP and the competent authorities in order to enable a more informed Customs approach regarding the validation of the legality of documents.</p> <p>Consider changes in the national nomenclature to differentiate plastic waste streams.</p>
	Are there costs related to physical checks of (possible) waste consignments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
40.	Is there any dialogue/cooperation with the private sector to consider business practices on waste trade?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
41.	Are there any incentives for compliant traders in the waste/recycling industry to become an Authorized Economic Operator (AEO)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
42.	Does the current Customs legislation allow for the use of simplified procedures to facilitate the legal waste trade, including recyclables?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
43.	Are there advanced electronic cargo information requirements relating to:					
-	inbound	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	outbound	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	transit waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
44.	Is a Single Window Environment (SWE) already implemented/undergoing the implementation process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
45.	If so, is the environmental authority participating in it?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
46.	Does Customs have access to any existing licences, permits, certificates/other documentary requirements for waste and use them for checks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
47.	Are the relevant licences/permits, certificates or other documentary requirements for waste trade processed in the SWE?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
48.	If the Data Model (DM) has been adopted (to standardize data exchange), is the Dangerous Goods Class (WCO ID 12C) used to indicate waste consignments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
49.	Does the country perform Post Clearance Audits (PCA) on waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
50.	Are there adequate HS codes in place to be used in the declarations to classify waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
51.	Have there been cases of misdeclaration?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Self-Assessment Tool Basel Convention – Plastic Waste

	Question - Facilitation & Procedures	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
52.	Is there a national labelling or coding system for waste streams?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
53.	Are you aware of existing international labels or codes for waste streams?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
54.	Which Customs regime/procedure is applied in the case of waste shipments?					
	- inward processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- outward processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- drawback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- processing of goods for home use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- temporary admission	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- entry into bonded warehouse	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- free zones	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- re-importation in the same state	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
55.	Does the administration deploy any of the following modern control technologies and techniques to support the Customs control process?					
	- inward processing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- non-intrusive inspection (NII) equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- surveillance technologies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- licence plate readers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- radio frequency identification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- laboratory support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- on-site detection kits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- canine units	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
56.	Do you collect import duties and taxes on waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Possible threats and weaknesses

Lack of clear internal procedures for cross-border waste trade management would cause many difficulties for Customs to properly implement the BC provisions. If PIC procedures are needed, the understanding and harmonization of Customs procedures with PIC procedures are crucial to facilitate legal waste trade flows and enhance the control functions for Customs.

Lack of business process mapping would hinder the harmonization of processes and make the digitalization of Customs procedures inefficient. Simplifying and harmonizing data elements, data formats and the regulatory requirements would be considered the prerequisites for plastic recyclables to be traded legally across borders.

Useful resources

WCO resources:

- WCO Data Model: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/data-model.aspx>
- Business Guide on the WCO Data Model: http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/data-model/dm_technicalbrochure_en.pdf?msclkid=85eb7a7eab5211ecb70f8932d5db00eb
- Transit Guidelines: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/transit-guidelines.aspx>
- Compendium of Best practices in the Area of Transit: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/transit-compendium.aspx>
- Transit Handbook: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/transit-handbook.aspx>
- WCO Handbook on Inward and Outward Processing Procedures: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/wco-handbook-on-inward-and-outward-processing-procedures.aspx>
- AEO Compendium: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/aeo-compendium.aspx>
- Practical Guidance on Free Zones: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/practical-guidance-on-free-zones.aspx>
- Time Release Study: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/time-release-study.aspx>
- Single Window Compendium and related guidelines: <http://www.wcoomd.org/en/topics/facilitation/instrument-and-tools/tools/single-window-guidelines.aspx>
- Coordinated Border Management: <http://www.wcoomd.org/en/topics/facilitation/activities-and-programmes/coordinated-border-management.aspx>

4. Waste trafficking

	Question - Waste trafficking	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
Risk Management						
57.	Does your administration have a designated Risk Management (RM) Division?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Facilitate sharing of data between the Intelligence Division and other governmental departments to improve the quantity of data on which a risk assessment is based.
58.	Does your administration have a RM Framework/Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
59.	Is illegal waste a strategic RM focus area for the RM Division?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish a mechanism to identify high-risk cargo before arrival in order to streamline the import procedure for plastic waste.
60.	Are the RM practices used to identify high-risk waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
61.	Does your administration have Risk Indicators for illegal waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop plastic waste risk indicators and risk profiles, and integrate these in the automated system.
62.	Does your administration have Risk Profiles for illegal waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
63.	Are Risk Profiles regularly reviewed and updated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider expanding the scope and mandate of the Risk Management Division to include environmental issues (and plastic waste and recyclables) as a focus area.
64.	Can Risk Profiles be integrated into the declaration clearance system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
65.	Does your administration have a selectivity module in the Customs Management/Clearance/Processing system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure risk profiles and the third-party data of licensed waste importers are integrated into the Clearance System.
66.	Does your RM Division maintain a Contravention and Seizure Database?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	If so, are waste seizures recorded in this database?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop specific criteria and include waste and plastic waste risks in the assessment criteria of AEOs.
67.	Does your administration have any Customs Mutual Administrative Assistance Agreements for risk management purposes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	If so, has it been applied for waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Propose that plastic waste be regarded as a priority enforcement area within the ASEAN Customs Enforcement Working Group, and plan and execute RM and enforcement operations on plastic waste.
68.	Has information on illegal waste been requested/exchanged in the past from/with other law enforcement agencies, domestic or foreign?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
69.	Does your RM Division have a working relationship with the Basel Convention Focal Point?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Plastic waste-specific risk indicators should be identified, and plastic waste risk profiles should

Self-Assessment Tool Basel Convention – Plastic Waste

	Question - Waste trafficking	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
70.	Does your RM Division have a working relationship with the environmental competent authorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	be developed and integrated into the automated Customs Clearance System.
Intelligence						
71.	Does your Customs administration have an intelligence unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Establish a Contravention and Seizure Database for risk management purposes, including all plastic waste-related seizures and contraventions for future profiling and contravention treatment purposes.
72.	Is intelligence tasked with identifying waste trade contraventions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
73.	Can suspicious activities be reported to Customs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider instituting a SAR system that also caters for anonymous reporting.
	If so, is an anonymous electronic Suspicions Activity report (SAR) system/procedure operational?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
74.	Is there a protocol to share information and intelligence on waste with other national agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ensure risk-related information is exchanged according to an established protocol.
75.	Is there a protocol to share information and intelligence on waste with international agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Enforcement						
76.	Does your administration have a designated enforcement unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider establishing a specialized enforcement capacity at key ports to focus on environmental issues and, specifically, plastic waste.
77.	Are enforcement teams located at all the major ports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
78.	Does the enforcement capacity/team have non-fiscal targets (i.e. non-revenue targets)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Upload all historic waste seizures to the WCO CEN and contribute to supporting CEN uploads in future.
79.	Is illegal waste an enforcement focus area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
80.	Are the enforcement teams directed by Risk Profiles received from the RM Division?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Participate in the yearly WCO enforcement operation (i.e. Operation DEMETER).
81.	Are there physical facilities at ports of entry/exit to conduct physical inspections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
82.	Does Customs carry out random examinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
83.	Does Customs carry out targeted examinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
84.	Does Customs have specialized Non-Intrusive (NII) equipment available to measure and control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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	Question - Waste trafficking	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
	vehicles or containers that may be shipping waste?					
85.	Do the Basel Convention competent authorities assist the enforcement team with field inspections and verifications of the status of waste consignments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
86.	Does Customs perform joint inspections with other agencies on waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
87.	Does Customs perform joint investigations with other agencies on (suspected) illegal waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
88.	Does Customs record the details of an investigation, searches and findings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
89.	Are there other ways in which this data is used (for example, risk analysis or to share with other Customs administrations or partners)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
90.	Does Customs use the WCO CEN system to submit seizure data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
91.	Has Customs submitted any seizure data to CEN related to waste since 1 January 2018?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
92.	Has Customs participated in DEMETER operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Dealing with (suspected) illegal waste imports						
93.	What is the general level of awareness among Customs officers as regards illegal waste shipments? (1= low level, to 5= high level)		NA		NA	Critically evaluate the current Customs response to illegal shipments of plastic waste and abandoned container waste.
94.	Is there a Customs Standard Operating Procedure (SOP) on how to deal with (possible) illegal imports of waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consider developing internal procedures on take-back shipments, together with the BC competent authorities, including a section on the collection of evidence.
95.	Is there a Customs SOP on how to deal with abandoned waste containers in the port or Customs controlled area?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
96.	Does your country have any abandoned illegal waste shipments in your ports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
97.	Is there a clear procedure for what happens with seized waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Possible threats and weaknesses

Not involving risk management in the targeting of high-risk shipments of waste would hinder the effective selection of shipments for further examination and controls. In order to apply a proper risk management approach, profiles and risk indicators need to be frequently reviewed and updated as relevant. Data containing relevant information concerning trends, threats and modus operandi is of great importance for risk profiles. The sharing of information at the national and cross-border levels, and recording of data on seizures, are therefore key. Once an illegal shipment of waste is detected, it should be clear to the Customs officers involved how to deal with the case, in terms of storage, collection of evidence and take-back procedures, for instance. If the procedures are not clear, containers might be abandoned or be shipped illegally elsewhere, and/or prosecution might become impossible due to lack of evidence.

Useful resources

WCO resources:

- WCO Customs Risk Management Compendium: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/compendiums/rmc.aspx>
- Compendium of Customs Operational Practices for Enforcement and Seizures: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/compendiums/copes.aspx>
- WCO Cargo Targeting System: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/cargo-targeting-system.aspx>
- CEN Suite: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/cen-suite.aspx>
- I2C - WCO Information and Intelligence Centre: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/i2c.aspx>
- ENVIRONET: <http://www.wcoomd.org/~media/WCO/Public/Global/PDF/Topics/Enforcement%20and%20Compliance/Activities%20and%20Programmes/Environmental%20Crime/Concept%20Note%20EN.ashx?db=web>
- Frontline Customs Officers' Guide to Key Multilateral Environmental Agreements: <http://www.wcoomd.org/en/topics/enforcement-and-compliance/instruments-and-tools/guidelines/frontline-customs-officers-guide.aspx>

External resources:

- Guidance on the implementation of the Basel Convention provisions dealing with illegal traffic (paragraphs 2, 3 and 4 of Article 9) (Basel Convention): <http://www.basel.int/Portals/4/download.aspx?d=UNEP-CHW-PUB-GUID-IllegalTraffic-2020.English.pdf>
- Instruction manual on the prosecution of illegal traffic of hazardous wastes or other wastes (Basel Convention): <http://www.basel.int/Portals/4/download.aspx?d=UNEP-CHW-GUID-PUB-ProsecutorsManual.English.pdf>
- Manual for Customs Officers on Hazardous Chemicals and Wastes under the Basel, Rotterdam and Stockholm Conventions: <http://www.basel.int/Portals/4/download.aspx?d=UNEP-FAO-CHW-RC-POPS-MANUAL-CUSTOM-2014.En.pdf>

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- Basel Convention Training Manual on Illegal Traffic for Customs and Enforcement Agencies (Basel Convention):
<http://www.basel.int/Portals/4/Basel%20Convention/docs/legalmatters/illegtraffice/trman-e.pdf>

Self-Assessment Tool Basel Convention – Plastic Waste

5. Cooperation

	Question - Cooperation	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
98.	Does Customs collaborate or cooperate with other agencies involved concerning:					Consider applying Mutual Administrative Assistance Agreements in cases where they may enhance the flow of waste-related information for facilitation, risk management and enforcement. Explore ways to engage with and establish a formal relationship with the Basel Convention Focal Point and the competent environmental authorities on facilitating legal trade, monitoring, dealing with illegal waste trade and take-back procedures. Ensure that a proper operational arrangement is in place regarding the ongoing support of Customs.
-	waste identification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	sampling?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	joint inspections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	training?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
-	safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
99.	Is cooperation organized formally?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Include specific provisions on waste in bilateral trade agreements. Consider the establishment of an MOU with the police to perform joint investigations. Establish Customs-to-Customs Mutual Administrative Assistance Agreements and establish contacts with the key countries that export plastic waste to the Philippines. Consider supporting environmental enforcement operations, such as the WCO Operation DEMETER. Include the facilitation of the legal movement of waste in the design of a Customs-to-Customs coordination mechanism, separately from the enforcement focus that is currently addressed through the ASEAN working group. Advance with the implementation of the SW, integrating or interfacing the existing portals and
100	Is cooperation is organized informally?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
101	Is there a dedicated taskforce or multi-agency team established on waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
102	Do Custom officers know who to contact within the competent authorities for questions on waste shipments (for example, to classify waste or verify the treatment facility)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
103	Has Customs faced any challenges in cooperating with other agencies in the area of waste shipments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
104	Does Customs cooperate with the Basel competent authorities or other agencies on sending illegally shipped waste back to the country of export?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
105	Is there an electronic exchange of data on waste shipments with other Customs administrations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Self-Assessment Tool Basel Convention – Plastic Waste

	Question - Cooperation	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
						interfaces in a coordinated facility and including all relevant authorities.

Possible threats and weaknesses

The risk of authorities and governmental bodies operating in parallel or not communicating with each other may contribute to less transparency, loss of data or a lack of data needed to have a fuller picture of the waste trade, and/or uncoordinated action, for example in the case of take back of illegally imported waste.

Useful resources

WCO resources:

- Coordinated Border Management Compendium: <http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/safe-package/cbm-compendium.PDF?la=en>

Self-Assessment Tool Basel Convention – Plastic Waste

6. Skills and Capacity/Training

	Question – Skills and Capacity/Training	Yes (waste in general)	No (waste in general)	Yes (plastic waste)	No (plastic waste)	Potential solutions and improvement options
106	Does Customs have an overall competency framework describing the requirements for the different job profiles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develop a train-the-trainer programme and a training module for frontline officers (basic level and advanced level) on waste and plastic waste. Embark on building capacity regarding waste, including plastic waste, across all functions. Include modules on the safety aspects of physical examinations of containers containing waste. Institute advanced training on national and international legislation regarding plastic waste transboundary movements. Incorporate experiences and best practices (also from different countries in other regions) into the curriculum. Cooperate with the Basel Convention Focal Points, competent authorities and/or Basel Convention Regional Centres on joint training events.
107	Does Customs have a training strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
108	Do Customs officers receive training on waste legislation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
109	Does the current Customs training programme include the physical examination of waste loads?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
110	Does this training include specific health and safety aspects related to waste?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
111	Is training on waste provided by internal trainers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
112	Is training on waste provided by external trainers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
113	Who receives this training (which units, job profiles)?					
	- frontline Customs officers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- Risk Management Unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- Policy Unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	- other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
114	Does Customs take part in joint training sessions offered or coordinated by other governmental agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Possible threats and weaknesses

Lack of awareness and knowledge could hinder the effective detection of potential illegal waste trafficking. A basic understanding of the rules, requirements and procedures could act as a first line of defence against illegal shipments. Understanding the risks of illegal waste imports could motivate Customs staff to be more alert.

Useful resources

WCO resources:

- Customs Professionalism and People Development: <http://www.wcoomd.org/en/topics/capacity-building/activities-and-programmes/people-development.aspx>
- Integrity Programme: http://www.wcoomd.org/en/topics/capacity-building/activities-and-programmes/cb_integrity.aspx
- Customs Learning and Knowledge Community (CLiKC! platform): <https://clikc.wcoomd.org/>

External resources:

- Basel Convention Regional Centres (Basel Convention): <http://www.basel.int/Partners/RegionalCentres/Overview/tabid/2334/Default.aspx>
- Introductory course on the Basel Convention (InforMEA): <http://www.brsmeas.org/Implementation/TechnicalAssistance/Modules/tabid/4905/language/en-US/Default.aspx>