

**Annex I to doc. PC0728Ea**

**Diagnostic questionnaire for the development of GNC Utility Block for E-waste Trade \_  
Importing Country Perspective**

**Table of Content:**

- Terminology
- Questionnaire

**Terminology**

**HS Section XVI**

Throughout the Nomenclature, the expression “electrical and electronic waste and scrap” means electrical and electronic assemblies, printed circuit boards, and electrical or electronic articles that : (i) have been rendered unusable for their original purposes by breakage, cutting-up or other processes, or are economically unsuitable for repair, refurbishment or renovation to render them fit for their original purposes; and (ii) are packaged or shipped in a manner not intended to protect individual articles from damage during transportation, loading and unloading operations.

Mixed consignments of “electrical and electronic waste and scrap” and other waste and scrap are to be classified in heading 85.49.

Section XVI does not cover municipal waste, as defined in Note 4 to Chapter 38.

HS codes references and examples: [Section XVI \(wcoomd.org\)](#)

- a. **Chapter 84** Nuclear reactors, boilers, machinery and mechanical appliances; parts thereof
  - **84.18** Refrigerators, freezers and other refrigerating or freezing equipment, electric or other; heat pumps other than air conditioning machines of heading 84.15.
  - **84.71** Automatic data processing machines and units thereof; magnetic or optical readers, machines for transcribing data onto data media in coded form and machines for processing such data, not elsewhere specified or included.
- b. **Chapter 85** Electrical machinery and equipment and parts thereof; sound recorders and reproducers, television image and sound recorders and reproducers, and parts and accessories of such articles
  - **85.49** Electrical and electronic waste and scrap
  - **85.28** Monitors and projectors, not incorporating television reception apparatus; reception apparatus for television, whether or not incorporating radio-broadcast receivers or sound or video recording or reproducing apparatus.
  - **85.17** Telephone sets, including smartphones and other telephones for cellular networks or for other wireless networks; other apparatus for the transmission or reception of voice, images or other data, including apparatus for communication in a wired or wireless network (such as a local or wide area network), other than transmission or reception apparatus of heading 84.43, 85.25, 85.27 or 85.28.

- **85.25** Transmission apparatus for radio-broadcasting or television, whether or not incorporating reception apparatus or sound recording or reproducing apparatus; television cameras, digital cameras and video camera recorders.

## **E-waste**

Waste Electrical and Electronic Equipment (WEEE) is defined under the Basel Convention as electrical or electronic equipment that is waste, including all components, sub-assemblies and consumables that are part of the equipment at the time the equipment becomes waste.

E-waste can be categorized as **hazardous or non-hazardous** waste under the Basel Convention. **Hazardous** waste is waste requiring special consideration.

E-waste is one of the fastest-growing categories of waste and, as electronic products can contain substances that are hazardous to human health and the environment, one that poses highly significant dangers, particularly where there are no formal systems in place to recycle and dispose of old devices. But, as key materials can be recovered from some of these devices, e-waste can have considerable economic value, making it a commodity that travels both in legitimate and illicit trade streams.

Of this large commodity stream, only the waste and scrap of accumulators and batteries are currently classified separately in the current version of the HS. The vast majority of the approximately 50 million tons of such waste and scrap produced last year has no dedicated classification and can cross borders under various codes. HS 2022 provides a new heading, 85.49, for “Electrical and electronic waste and scrap” suitable only for disposal or recovery operations, in order to give more visibility to cross-border movements of such waste.

## **Disposal**

“Disposal” means any operation specified in Annex IV to the Basel Convention. These operations are divided into two categories: 1. Operations which 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.

## **GNC<sup>1</sup> Utility Block**

GNC is an interconnectivity framework developed by the WCO containing a set of principles necessary for establishing cross-border interconnectivity. GNC is a voluntary arrangement between two or more Members to seamlessly exchange cross-border information at a Customs-to-Customs level using a standardized approach based on existing WCO instruments. GNC is gradually moving away from the current individually hand-crafted method for negotiating International Agreements and using a disciplined and common methodology to industrialize the process.

## **Questionnaire**

### **General**

1. Please provide the three most traded commodities and the volume that was classified as electronic waste or discovered to be e-waste after Customs controls in 2022.

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<sup>1</sup> <https://www.wcoomd.org/en/topics/facilitation/activities-and-programmes/gnc.aspx>

- a. Under HS Chapter 84 (Nuclear reactors, boilers, machinery, and mechanical appliances; parts thereof)

No	Commodity	HS code	Volume/Weight	UoM*
1				
2				
3				

\*Unit of Measurement (e.g., TEU, Ton, etc.)

- b. Under HS Chapter 85 (Electrical machinery and equipment and parts thereof; sound recorders and reproducers, television image and sound recorders and reproducers, and parts and accessories of such articles)

No	Commodity	HS code	Volume/Weight	UoM*
1				
2				
3				

2. List the competent authorities and distribution of responsibilities for waste-related matters.

Name of Authority	Roles/Responsibilities

### Legislation, regulation, and procedures

3. Please provide the national definition of hazardous and non-hazardous electronic waste according to national legal frameworks:

4. Are the Basel Convention provisions implemented in the national Customs legislative framework?

5. 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?

6. Does national legislation have some provisions that enable (or govern) cross-border exchange of information (exchange of import/export-related information with other countries)?

7. Does national legislation have some specific provisions that enable the exchange of Basel Convention documents (notification of consent and movement) in a digital format?

8. Are there any specific regulations and guidelines that govern or restrict the import of e-waste in your country? Please specify.

9. Are there any specific regulations regarding the transit of e-waste? Please specify.

10. Are there any specific operational procedures in place addressing the handling and clearance of e-waste regulated by the Basel Convention?

11. Is there a quota mechanism for the e-waste trade?

12. Are e-waste shipments treated differently depending on **the mode of transport** (by land, by air, and by sea)?

### **Documentary requirement**

13. Documents required to import e-waste.

- a. Is there a set of documents (e.g., licences, permits, etc.) required to import e-waste?

- b. What is the title of the documents?

- c. Which authority(authorities) issues(issue) the documents?

- d. Who should apply for the documents?

- e. What is the key information required to apply for the documents?

- f. Do the documents issued by the national authority(authorities) require validation from Customs (stamp, signature) for subsequent clearance? Is this process manual or automated?

g. Please describe the process for applying for and issuing the documents.

h. How long does the application and issuing process normally take?

i. How many documents were issued in 2022?

j. Please describe when the above documents are used in the clearance process for e-waste (e.g. as supporting documents for import)

14. E-Waste shipment-related information from the exporting country

a. Do you receive information/document on e-waste shipments from the exporting country? (You may select more than one option where applicable)

- No document is sent
- Notification document
- Export declaration

b. Which authorities/parties receive such information?

c. How is Customs in the importing country informed?

d. How is the information provided by the exporting country (electronically, on paper)

15. E-Waste shipment-related information to the exporting country

a. Does your country send any information about e-waste shipments?

b. Which authorities/parties send the information/document?

c. Is Customs informed about the provision of these documents?

d. How is the information provided to the exporting country (electronically, on paper)?

16. Compliance and enforcement of e-waste import regulations.

- a. Please describe the types of confirmed cases of E-waste infractions reported in the past 3 years

- b. Which authorities undertake the inspection, and what is the role of Customs?

- c. For which Customs procedure is a physical inspection conducted?

- Export
- Import
- Other, please specify

- d. Is the physical inspection undertaken for all shipments or only for selected ones?

- e. When performing physical inspections, are you allowed to remove samples for testing? Please specify the process.

- f. Does the clearance system include a risk management model/selectivity application (i.e. the ability to set selectivity criteria/risk rules) for waste and e-waste in particular?

- g. For which procedure is the risk assessment conducted?

- Export
- Import
- Other, please specify

- h. Is the risk assessment undertaken based on pre-arrival information?

- i. What information is available pre-arrival?

- j. Who provides the pre-arrival information?

- k. Please describe the e-waste disposal, including the disposal of seized consignments.

- I. Do you have mechanisms/tools to monitor the transit of hazardous goods, e-waste in particular, such as electronic seals/RFI technology?

17. Are there any challenges or obstacles in the current process for e-waste import declaration and clearance?

18. Please specify the roles of the **Single Window (SW)** related to e-waste procedures (select more than one option where applicable):

- is not in place.
- is in place but not utilized for e-waste related procedures.
- is utilized in the application for/issue of required documents.
- is utilized for import/export declarations (clearance)
- is utilized to send notifications of e-waste to the importing country.
- is utilized to send consent documents to exporting countries.
- is utilized to receive consent to e-waste from exporting countries.
- has risk management functionality.
- helps manage joint inspection.

## Diagnostic questionnaire for the development of GNC Utility Block for E-waste Trade \_ Exporting Country Perspective

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## Terminology

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6. Does national legislation have some provisions that enable (or govern) cross-border exchange of information (exchange of import/export-related information with other countries)?

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- g. Please describe the process for applying for and issuing the documents.

- h. How long does the application and issuing process normally take?

- i. How many documents were issued in 2022?

- j. Please describe the steps in using the documents above (e.g., as supporting documents for export) for the clearance process for e-waste

14. E-Waste shipment-related information to the importing country

- a. Do you send information/document on e-waste shipments to the importing country?  
(You may select more than one option where applicable)
  - No document is sent
  - Notification document
  - Export declaration

- b. Which authorities/parties send /receive such information?

- c. How is Customs in the importing country informed?

- d. How is the information provided by the exporting country (electronically, on paper)

15. E-Waste shipment-related information from importing country

- a. Does your country receive any information about e-waste shipments?

- b. Which authorities/parties send the information/document?

[REDACTED]

c. Is Customs informed about the provision of these documents?

[REDACTED]

d. How is the information provided by the importing country (electronically, on paper)?

[REDACTED]

16. Compliance and enforcement of e-waste export regulations.

a. Please describe the types of confirmed cases of E-waste infractions reported in the past 3 years.

[REDACTED]

b. Which authorities undertake the inspection, and what is the role of Customs?

[REDACTED]

c. For which Customs procedure is a physical inspection conducted?

- Export
- Import
- Other, please specify

d. Is the physical inspection undertaken for all shipments or only for selected ones?

[REDACTED]

e. When performing physical inspections, are you allowed to collect samples for testing? Please specify the process.

[REDACTED]

f. Does the clearance system include a risk management model/selectivity application (i.e. the ability to set selectivity criteria/risk rules ) for waste and e-waste in particular? If so, please describe how targeting is done.

[REDACTED]

g. For which procedure is the risk assessment conducted?

- Export
- Import
- Other, please specify

h. Is the risk assessment undertaken based on pre-arrival information?

[REDACTED]

i. Who provides the pre-arrival information? Is this information used for risk analysis purposes on e-waste shipments?

[REDACTED]

j. Please describe the e-waste disposal, including the disposal of seized consignments.

[REDACTED]

17. Are there any challenges or obstacles in the current process for e-waste export declaration and clearance?

[REDACTED]

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