

Respondent Information

1. Submitting Party (please select the country name):

COUNTRY
Australia-AU

2. Contact details:

Government Agency/Organization
Australian Government Department of Environment and Energy

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City
Canberra

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3. I.1 Is the notification document available in electronic form in your country?

*** Yes ***

No

4. I.2 Can the notification document be completed electronically in your country?

*** Yes ***

No

5. I.3 Are notification documents usually completed electronically in your country?

Yes

No

*** Other (please specify) ***

Australia has only recently commenced its electronic application system, so only a very small number of applications (which include notifications) have been submitted electronically. The online system has a number of known issues, which are currently being addressed.

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

*** By a manual signature ***

By a digital signature

In another way (in which case please describe)

Not answered

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

In paper form

*** In electronic form (eg. database) ***

In another form (in which case please describe)

Not answered

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

I.6.1. If in your country the notification is transmitted by the Competent Authority of the State of export, this notification is transmitted by:

*** Post ***

Fax

*** Email ***

In electronic form (e.g. through shared database)

In another form (in which case please describe)

Not answered

Not applicable

I.6.2. If in your country the notification is transmitted by the generator or exporter, this notification is transmitted by:

*** Post ***

Fax

*** Email ***

In electronic form (e.g. through shared database)

In another form (in which case please describe)

Not answered

Not applicable

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

*** Manually ***

Digitally

In another way (in which case please describe)

Not answered

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

*** Manually ***

Digitally

In another way (in which case please describe)

Not answered

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

*** Stage 1: The exporter/generator/State of export of the wastes informs the Competent Authority of the State of export of a proposed transboundary movement of hazardous or other wastes and submits all supporting documents, including the notification document. ***

*** Stage 2: The Competent Authority of the State of export has no objection to the export and informs the exporter/generator/State of export thereof (in some Parties, this does not take place at this time). ***

*** Stage 3: The notification document is transmitted to the Competent Authority of the States concerned (State of import/transit). ***

*** Stage 4: On receipt of the notification document, the Competent Authority of the State of import/transit provide its written consent (with or without conditions) or denial (after asking for further clarification, if necessary). ***

*** Stage 5: Once the relevant Competent Authorities have established that all the requirements of the Convention have been met and have agreed to the movement, the Competent Authority of the State of export can proceed with the issuance of the movement document and authorize the shipment to start. ***

Other stages (please specify)

Not answered

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

An electronic approach would streamline the notification process, both for applicants and the relevant states. The current manual system is unwieldy because some states cannot/do not respond to emailed documents/requests.

12. II.1 Is the movement document available in electronic form in your country?

Yes

*** No ***

13. II.2 Can the movement document be completed electronically in your country?

Yes

*** No ***

14. II.3 Is the movement document usually completed electronically in your country?

*** Yes ***

No

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

*** Original ***

*** Copy ***

Fax

*** Email ***

In electronic form

In another form (in which case please describe)

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

*** Manually ***

Digitally

In another way (in which case please describe)

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

*** Post ***

Fax

*** Email ***

In electronic form

In another form (in which case please describe)

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

*** Post ***

Fax

*** Email ***

In electronic form

In another form (in which case please describe)

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

*** Stage 1: The movement document, which contains important information, accompanies the wastes and is signed by each person taking charge of it. ***

*** Stage 2: The exporter and Competent Authority of the State of export receive confirmation that the wastes moved across borders have been received and disposed of by the disposer as planned and in an environmentally sound manner. ***

*** Stage 3: The Competent Authority of the State of export that has not received the confirmation that disposal has been completed informs the Competent Authority of the State of import accordingly. ***

*** Other stages (please specify) ***

An electronic approach would greatly streamline the dissemination, tracking and receipt of movement documents.

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

Contract between waste exporter and disposer

*** Notification of proposed movement ***

Response to notification of proposed movement

Issuance of movement document

Tracking/signature of movement document

National movements of waste following transboundary movement

Notification of reception of wastes

Notification of confirmation of disposal

Information that no confirmation of disposal was received

Other (specify)

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

*** Yes ***

No

22. (i) Its features and functionalities (e.g., allows to complete, store and submit notification documents online).

Applicants can complete an online form, which automatically populates a notification form. The notification form must then be printed and signed.

Forms submitted electronically are stored in the Department's data storage management system.

23. (ii) Its status

*** In use ***

In test phase

Under development

24. (iii) Participants

National competent authorities

*** Stakeholders in your jurisdiction (waste generators, exporters, importers, disposers, etc.) ***

Competent authorities from other countries

Other (please indicate)

This data is available to permit assessors and administrators,

25. (iv) Does the electronic approach allow transboundary exchange of messages between competent authorities?

Yes
* No *

26. (v) Does the electronic approach allow the use of electronic signatures?

Yes
* No *

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

Australia recently established an electronic application system, as part of its hazardous waste movement permitting process.

Although notification forms by applicants can be completed electronically, these need to be printed and signed, with a scanned copy of the form submitted electronically. The electronic submission of notification forms has created some challenges for Departmental permitting officers.

The biggest challenge to a completely online system is other Basel states' lack of a similar approach, i.e., we are not aware of any other states having an online system and some states only accept notification and movement documents in hard copy.

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

An electronic approach will streamline the permit application process, both for the applicant and for the Australian competent authority, as documents used to administer the permitting process can be submitted online, stored immediately in our electronic file management system and can be readily accessed by permitting officers.

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

Not answered

Attach a copy:
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30. III.5 What are the most important practical challenges you face with respect to the movement of waste?

A major challenge is the time taken by other states to respond to notifications and requests for further information. This can extend the processing times considerably.

Another challenge is checking that all the necessary information has been supplied. Australia is addressing this by including in the system mandatory fields that must be completed before an application can be submitted.

A further challenge is eliciting sufficient information from applicants to determine whether an export, import or

transit proposal is environmentally sound.

Compliance with legislative requirements additional to those under the Basel Convention (e.g. EU regulations) present a challenge, as these are not always anticipated, or consistently applied by EU countries.

Tracking movements and acquitting permits (e.g. certificates of disposal) is problematic.

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

*** Yes ***

If so, why?

It would streamline the notification process for all Parties. It would also ensure that minimum standards are met in terms of information supplied to Parties involved in transboundary movements. It could also assist in tracking movements.

No

If so, why?

Not answered

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

*** Contract between waste exporter and disposer ***

*** Notification of proposed movement ***

*** Response to notification of proposed movement ***

*** Issuance of movement document ***

*** Tracking/signature of movement document ***

*** National movements of waste following transboundary movement ***

*** Notification of reception of wastes ***

*** Notification of confirmation of disposal ***

*** Information that no confirmation of disposal was received ***

Other (please specify)

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

*** A central system managed by the Secretariat and accessible by all Parties and other stakeholders ***

This is our first preference, as long as the Secretariat has the resources to administer such a system.

However, such an approach would need to recognise the laws of each member state in relation to the prior informed notification system. Australia, for example, uses a permitting process. Other countries may not.

Australia's experience in developing and implementing an online system has shown that it is an extremely complex process that takes considerable time to do properly.

*** A decentralised system, where each Party would have its own system, which could communicate with**

other systems using standardized messages *

This would be a sound approach, also.

*** An intermediate system , with some Parties having their own systems and others not, with the Secretariat playing the role of the centralized repository of the notifications ***

This approach could work if the Basel Secretariat was resourced to appropriately store and disseminate key information in a timely manner.

Other (please specify)

Not answered

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

The main benefits would be streamlining the notification process for both applicants and competent authorities, and the facilitation of consistency in decision-making for transboundary movements.

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

Not answered

36. Other relevant information

Please add any additional information or comments pertaining to an electronic data approach that is not included in answers to the above questions and could improve the implementation of the Basel Convention control procedure.

Not answered