



## United Nations Environment Programme

Secretariat of the Basel Convention  
Secretariat of the Rotterdam Convention  
Secretariat of the Stockholm Convention

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## The Hazardous Chemicals and Wastes Conventions

The three conventions together provide an international framework governing the environmentally sound management of hazardous chemicals throughout their lifecycles.



**The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal** was adopted in 1989 in response to concerns about toxic waste from industrialized countries being dumped in developing countries and countries with economies in transition. During its first

decade, the Convention's principal focus was the elaboration of controls on the "transboundary"

movement of hazardous wastes, that is the movement of such wastes across international frontiers, and the development of criteria for environmentally sound management of the wastes. More recently the work of the Convention has emphasized full implementation of treaty commitments, promotion of the environmentally sound management of hazardous wastes and minimization of hazardous waste generation.

The Convention entered into force 5 May 1992. The Convention website is [www.basel.int](http://www.basel.int).



**The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade** was adopted in 1998.

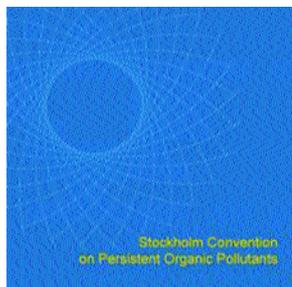
Dramatic growth in chemicals production and trade during the past three decades had highlighted the potential risks posed by hazardous chemicals and pesticides.

Countries lacking adequate infrastructure to monitor the import and use of such substances were particularly vulnerable. In the 1980s, UNEP and FAO developed voluntary codes of conduct and information exchange systems, culminating in the Prior Informed Consent (PIC) procedure introduced in 1989. The Convention replaces this arrangement with a mandatory PIC procedure. The Convention entered into force 24 February 2004.

The Convention website is [www.pic.int](http://www.pic.int).

UNEP provides the secretariats for the Basel and Stockholm Conventions.

UNEP and the UN Food and Agriculture Organization (FAO) jointly provide the Rotterdam secretariat, which is located in Geneva and in Rome.



**The Stockholm Convention on Persistent Organic Pollutants (POPs)** was adopted in 2001 in response to the urgent need for global action to protect human health and the environment from

"POPs". These are chemicals that are highly toxic, persistent, bioaccumulate and move long distance in the environment.

The Convention seeks the elimination or restriction of production and use of all intentionally produced POPs (i.e. industrial chemicals and pesticides). It also seeks the continuing minimization and, where feasible, ultimate elimination of the releases unintentionally produced POPs such as dioxins and furans. Stockpiles must be managed and disposed of in a safe, efficient and environmentally sound manner. The Convention imposes certain trade restrictions. The Convention entered into force 17 May 2004. The Convention website is [www.pops.int](http://www.pops.int).

## A framework for lifecycle management

Together the Basel, Rotterdam and Stockholm Conventions cover key elements of “cradle-to-grave” management of hazardous chemicals, most comprehensively in the case of POPs, which are covered by all three treaties.

**Existing chemicals.** The **Rotterdam Convention** (Article 5), obliges Parties to notify the secretariat of final regulatory actions taken in respect of banned or severely restricted chemicals, for the information of other Parties and possible listing under the Convention. Developing countries and countries with economies in transition may also propose the listing of severely hazardous pesticide formulations (Article 6). The **Stockholm Convention** (Article 4.4) requires Parties with regulatory and assessment schemes to take into consideration the POPs screening criteria set out in Annex D of the Convention when assessing pesticides or industrial chemicals currently in use. Parties must eliminate from production and use certain chemicals already listed in the Convention (Article 3).

**New chemicals.** The **Stockholm Convention** (Article 4.3) requires Parties with regulatory and assessment schemes to regulate with the aim of preventing the production and use of new pesticides or new industrial chemicals which exhibit the characteristics of POPs.

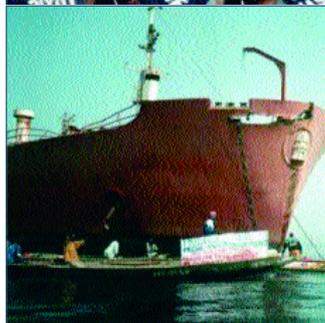
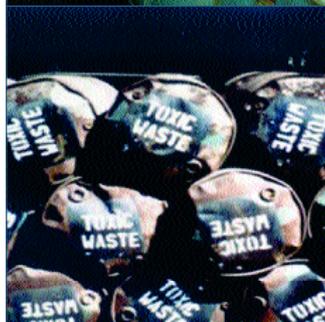
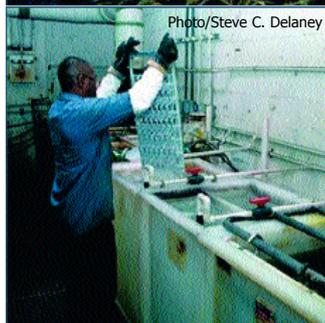
**Import/export controls.** The original prior informed consent procedure of the **Basel Convention** (Article 4.1) was strengthened by Parties’ subsequent decisions to prohibit the export of hazardous wastes from OECD to non-OECD countries (Decisions II/12 and III/1). The Basel Convention imposes strict conditions on the transboundary movement of hazardous wastes (Articles 4 and 6). Trade with non-parties is generally not permitted (Article 4.5). The **Rotterdam Convention** (Articles 10 to 12) establishes a Prior Informed Consent Procedure concerning the future import of certain hazardous chemicals. The **Stockholm Convention** (Article 3.2) restricts the import and export of POPs to cases where, for example, the purpose is environmentally sound disposal. It also requires that POPs not be transported across international boundaries without taking into account relevant international rules, standards and guidelines (Article 6.1).



Photo/Anne Duhamel



Photo/Steve C. Delaney



**Waste management.** The **Basel Convention** (Article 4) requires each Party to minimize waste generation and to ensure, to the extent possible, the availability of disposal facilities within its own territory. The objective of environmentally sound management of hazardous wastes underpins the Convention. The Conference of the Parties at its sixth meeting in December 2002, adopted a Strategic Plan for the implementation of the Basel Declaration to 2010 building on and using the framework of the 1999 Ministerial Basel Declaration on Environmentally Sound Management. The **Stockholm Convention** (Article 6) obliges Parties to develop strategies for identifying POPs wastes, and to manage these in an environmentally sound manner. The POPs content of wastes is generally to be destroyed or irreversibly transformed. The Basel Convention Technical Working Group is developing technical guidelines on POPs wastes as part of its work programme and at the request of the Conference of Plenipotentiaries that adopted the Stockholm Convention.

**Environmental releases.** The **Stockholm Convention** requires Parties to take measures to reduce or eliminate releases of POPs from intentional production and use (Article 3), unintentional production (Article 5) and stockpiles and wastes (Article 6). Concepts of Best Available Techniques (BAT) and Best Environmental Practices (BEP) are to be further elaborated by the Conference of the Parties.

**Hazard communication.** Provision is made for the obligatory communication of hazard information under the **Basel Convention** (Article 4.2 f), the **Rotterdam Convention** (Article 5.1) and the **Stockholm Convention** (Article 10).

**Replacement.** The **Stockholm Convention** requires information exchange and research on POPs alternatives (Articles 9 and 11). It obliges each Party using DDT to develop an Action plan, including for implementation of alternative products (Annex B).

## Substances covered by the Conventions

The **Basel Convention** covers hazardous wastes that are explosive, flammable, poisonous, infectious, corrosive, toxic, or ecotoxic. The categories of wastes and the hazardous characteristics are set out in Annexes I to III of the Convention. Lists of specific wastes characterized as hazardous or non-hazardous are in Annexes VIII and IX.

The **Rotterdam Convention**, subjects to the Prior Informed Consent procedure the following 30 hazardous pesticides: 2,4,5-T, aldrin, binapacryl, captafol, chlordane, chlordimeform, chlorobenzilate, DDT, 1,2-dibromoethane (EDB), dieldrin, dinoseb, DNOC and its salts, ethylene dichloride, ethylene oxide, fluoroacetamide, HCH, heptachlor, hexachlorobenzene, lindane, mercury compounds, monocrotophos, parathion, pentachlorophenol and toxaphene, plus certain formulations of methamidophos, methyl-parathion, monocrotophos, parathion, phosphamidon and a combination of benomyl, carbofuran and thiram. It also covers 11 industrial chemicals: asbestos (acti-

nolite, anthophyllite, amosite, crocidolite, tremolite), polybrominated biphenyls (PBBs), polychlorinated biphenyls (PCBs), polychlorinated terphenyls (PCTs), tris (2,3 dibromopropyl) phosphate and tetraethyl lead (TEL) and tetramethyl lead (TML).

The chemicals slated for elimination under the **Stockholm Convention** are the pesticides aldrin, chlordane, dieldrin, endrin, heptachlor, hexachlorobenzene (HCB), mirex and toxaphene, as well as the industrial chemical polychlorinated biphenyls (PCBs). Continued use of the pesticide DDT is allowed for disease vector control until safe, affordable and effective alternatives are in place. Countries must make determined efforts to identify, label and remove PCB containing equipment from use by 2025 with disposal no later than 2028. The Convention also seeks the continuing minimization and, where feasible, elimination of the releases of unintentionally produced POPs such as the industrial byproducts dioxins and furans.

## Future development of the Conventions

The three Conventions provide for amendments in the usual manner of international treaties. In the case of the **Basel Convention**, the so-called “Ban Amendment” was adopted in 1995 under Decision III/1 and will enter into force upon ratification, approval, formal confirmation or acceptance by at least three-fourths of the Parties who accepted the amendment. The Amendment will prohibit the export of hazardous wastes, for any purpose, from countries listed in a proposed new annex (“Parties and other States which are members of OECD, EC, Liechtenstein”), to States not listed in the annex. In 1998, the Conference of the Parties adopted lists of specific wastes characterized as hazardous or non-hazardous, thereby clarifying the scope of the Convention. In 1999, a Protocol on Liability and Compensation was adopted and it will enter into force after 20 ratifications. The Conference of Parties of the **Rotterdam Convention**

has established a subsidiary body, the Chemical Review Committee. This committee of government-designated experts is responsible for assessing whether additional banned or severely restricted chemicals or severely hazardous pesticide formulations should be made subject to the Prior Informed Consent procedure. The Committee makes recommendations to the Conference of the Parties on the inclusion of additional chemicals.

Similarly, the **Stockholm Convention** provides for the future establishment, by the Conference of the Parties, of a subsidiary body to be called the Persistent Organic Pollutants Review Committee. This committee will assess chemicals that have been proposed for addition to the Convention and will make recommendations to the Conference of the Parties.

## Technical assistance & regional centres

All three Conventions address the technical assistance needs of developing countries. The **Basel Convention** (Article 14) and the **Stockholm Convention** (Article 12) provide for regional centres for training and technology transfer. There are 13 Basel Convention Regional Centres. Subject to views of Conferences of Parties, there may be potential for some common use of the existing network of Basel Centres. **Basel** has a Technical Cooperation Trust Fund, while **Stockholm** (Articles 13 & 14) establishes a “financial mechanism”, to be operated by the Global Environment Facility on an interim basis. “Enabling activities” such as the development of National Implementation Plans are a key initial GEF focus. The **Rotterdam Convention** (Article 16) provides for technical assistance between Parties for the development of infrastructure and the capacity to manage chemicals. The first meeting of the Conference of the Parties adopted a decision on the regional delivery of technical assistance.



Photo/Steve C. Delaney

## “Clustering” the Conventions

In the course of deliberations by the UNEP Intergovernmental Group on International Environmental Governance, support was expressed for the concept of programmatic clustering of related Multilateral Environmental Agreements. In November 2001, at the request of the Group, the secretariats of the Basel, Rotterdam and Stockholm Conventions prepared an issues paper outlining current cooperation and the potential for closer cooperation in future (subject to endorsement by respective governing bodies). The paper covered the areas of capacity-building, science and technology, legal affairs, institutional matters, monitoring and reporting, information and awareness-raising, and programme support services.

The Group’s final report, adopted by UNEP Governing Council in February 2002, supported more consideration of clustering measures and the undertaking of pilot projects. Such clustering may facilitate an integrated life-cycle approach to management of the substances covered by the three Conventions.



Photo/James B. Willis

## A selection of relevant regional agreements

- Convention on Long-range Transboundary Air Pollution (1979) and its Aarhus Protocol on POPs (1998) [www.unece.org/env/lrtap/](http://www.unece.org/env/lrtap/)

- Barcelona Convention for the Protection of the Mediterranean Sea Against Pollution (1976) and its Izmir Protocol (1996) [www.rempec.org/barcelona.html](http://www.rempec.org/barcelona.html)

- Waigani Convention to Ban the Importation into Forum Island Countries of Hazardous and Radioactive Wastes and to Control the Transboundary Movement and Management of Hazardous Wastes within the South Pacific Region (1995) [www.forumsec.org.fj/docs/wc.htm](http://www.forumsec.org.fj/docs/wc.htm) & [www.basel.int/Misclinks/waigani.html](http://www.basel.int/Misclinks/waigani.html)

- Bamako Convention on the Ban of the Import into Africa and the Control of Transboundary Movement of Hazardous Wastes within Africa (1991) [www.londonconvention.org/Bamako.htm](http://www.londonconvention.org/Bamako.htm)

- Cartagena Convention for the Protection and Development of the Marine Environment in the Wider Caribbean Region (1983) [www.cep.unep.org/law/cartnut.html](http://www.cep.unep.org/law/cartnut.html)

- Central American Regional Agreement on Transboundary Movements of Hazardous Wastes (1992) [www.basel.int/Misclinks/Centroamerica.html](http://www.basel.int/Misclinks/Centroamerica.html)

## Contact details for further information

### Basel Convention

Secretariat of the Basel Convention:

United Nations Environment Programme  
International Environment House  
15 chemin des Anémones  
CH-1219 Châtelaine, Geneva  
SWITZERLAND  
Tel. (41 22) 917 82 18  
Fax (41 22) 797 34 54  
E-mail [sbc@unep.ch](mailto:sbc@unep.ch)  
[www.basel.int](http://www.basel.int)

### Rotterdam Convention

Secretariat of the Rotterdam Convention:

United Nations Environment Programme  
International Environment House  
11-13 chemin des Anémones  
CH-1219 Châtelaine, Geneva  
SWITZERLAND  
Tel. (41 22) 917 81 83  
Fax (41 22) 797 34 60  
E-mail [pic@unep.ch](mailto:pic@unep.ch)  
[www.pic.int](http://www.pic.int)

Food & Agriculture Organization of the United Nations (FAO)  
Plant Protection Service  
Viale delle Terme de Caracala  
00100 Rome, ITALY  
Tel (39 06) 5705 3441  
Fax (39 06) 5705 6347  
E-mail [pic@fao.org](mailto:pic@fao.org)  
[www.pic.int](http://www.pic.int)

### Stockholm Convention

Secretariat of the Stockholm Convention:

United Nations Environment Programme  
International Environment House  
11-13 chemin des Anémones  
CH-1219 Châtelaine, Geneva  
SWITZERLAND  
Tel. (41 22) 917 81 91  
Fax (41 22) 797 34 60  
E-mail [ssc@chemicals.unep.ch](mailto:ssc@chemicals.unep.ch)  
[www.pops.int](http://www.pops.int)