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**Conference of the Parties to the Basel Convention  
on the Control of Transboundary Movements of  
Hazardous Wastes and Their Disposal  
Tenth meeting**

Cartagena, Colombia, 17–21 October 2011

Item 4 of the provisional agenda\*

**Enhancing cooperation and coordination among the  
Basel, Rotterdam and Stockholm conventions**

**Information submitted by the United Nations Environment  
Programme and the Food and Agriculture Organization of the  
United Nations on progress on programmatic cooperation in the  
field to support the implementation of the three conventions in  
areas of common concern and the inclusion of such cooperation  
in their biennial work programmes**

**Note by the Secretariat**

1. Decision BC.Ex-1/1 of the Conference of Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, decision RC.Ex-1/1 of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and decision SC.Ex-1/1 of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants (hereinafter referred to as the “omnibus decisions”) are substantially identical decisions on enhancing cooperation and coordination between the Basel, Rotterdam and Stockholm conventions. By paragraph 7 of section I of the omnibus decisions the conferences of the parties to the three conventions invited the United Nations Environment Programme (UNEP) and the Food and Agriculture Organization of the United Nations (FAO) to report to them at their ordinary meetings in 2011 on progress made in the development of programmatic cooperation in the field to support implementation of the three conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes.

2. Annex I to the present note sets out a report prepared by FAO in response to the omnibus decisions. Annex II sets out a similar report prepared by UNEP. The annexes are presented as submitted by FAO and UNEP and have not been formally edited.

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\* UNEP/CHW.10/1.

## Annex I

**FAO Report on progress made in the development of programmatic cooperation in the field to support implementation of the three conventions in areas of common concern and the inclusion of such cooperation in FAO's biennial work programmes**

### Efforts to promote programmatic cooperation and coordination in relation to the support for the three conventions at the national level

#### a/ Convention (Basel, Rotterdam and Stockholm)

FAO works through its Pesticide Risk Reduction Programme to help countries effectively implement and meet their obligations under the Basel, Rotterdam and Stockholm Conventions including:

- Export of obsolete pesticides for environmentally sound management (Basel)
- Legislation and registration (including de-registration) of pesticides (Rotterdam, Stockholm)
- Life cycle management of pesticides (Rotterdam, Stockholm)
- Management and disposal of obsolete pesticides (Stockholm, Basel)
- Import controls of pesticides (Rotterdam, Stockholm)
- Reduction of risks from highly hazardous pesticides (Rotterdam)
- Identification and reporting of Highly Toxic Pesticide Formulations (Rotterdam)
- Capacity building for implementation of the Rotterdam Convention (Rotterdam)

#### b/ Activity (Pesticide Management)

- Reduction of risks from pesticides (FAO Strategic Programme Organizational Result)
- Implementation of the International Code of Conduct on the Distribution and Use of Pesticides
- FAO part of the Secretariat of the Rotterdam Convention
- Field programme on pesticide risk reduction
- Africa Stockpiles Programme (ASP)
- Prevention and Disposal of Obsolete Pesticides

FAO as part of the Secretariat of the Rotterdam Convention participates in five of the thematic groups established between the Secretariats of the Basel, Rotterdam and Stockholm Conventions to focus on cross-cutting issues:

- Technical assistance
- Public awareness and outreach
- Regional Centres
- Clearing house mechanism, and
- Scientific and Technical matters

#### c/ Country

192 FAO Member States with a focus on developing countries and countries with economies in transition

#### d/ Year(s)

All years since 1961

#### e/ Other information

FAO's focus is on pesticides as a group of chemicals in the context of agricultural production.

#### f/ FAO Vision and Mission

FAO vision is to see a world free of hunger and malnutrition, where food and agriculture contribute to improving the living standards of all, especially the poor, in an economically, socially and environmentally sustainable manner. To foster the achievement of this vision and of the Millennium Development Goals, FAO promotes the contribution of food and agriculture to the attainment of three **global goals**:

- Reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times, have sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;
- Elimination of poverty and the promotion of economic and social progress for all with increased food production, enhanced rural development, and sustainable livelihoods; and
- Sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

There is a need for a systematic and **coordinated intervention** to set the stage for long term, sustainable growth and food security. This will be achieved by advocating **policy strategies** development and providing **technical support** and **institutional strengthening**, led by the specific needs of each sub-/region and/or country, but based on best practices within the countries (and from various parts of the world).

The focus and interventions revolves around five **strategic pillars**:

- 1) Policy advocacy for balanced developmental interventions and for accelerated production and productivity enhancement
- 2) Sustainable natural resource management
- 3) Enhancing public and private investment in agriculture and rural development
- 4) Capacity building
- 5) **Contribution to FAO Global activities**

**The global priorities of FAO** evolve over time and include many global conventions, treaties and agreements which FAO member countries adhere to. These include on-going conventions and agreements such as the Rotterdam Convention (RC), the implementation of the Code of Conduct on the Distribution and Use of Pesticides (CoC), WTO trade agreements, as well as emerging issues such as climatic change and 'land acquisition phenomenon'.

#### **g/ FAO - Crop production and protection**

Crop production is one of the major livelihood strategies in most FAO sub-/regions, but is characterized by low productivity. It is prone to agro-ecological/environmental and biological risks of all types, thus, making it important to provide comprehensive support, both technically and institutionally, so that the sector can emerge as a dependable source of sustainable livelihood.

Bearing in mind the overall need to increase production and productivity; **crosscutting initiatives** such as good agricultural practices (e.g. in the use of pesticides) (GAP) (e.g. Integrated Pest Management (IPM) strategies, conservation agriculture, organic farming), and legal issues (e.g. insertion of convention obligations into national laws), will be included in plant production and protection programmes.

#### **h/ FAO Network of Regional, Sub-regional and National Offices**

With the objective of becoming more responsive in delivering services to member countries, FAO has been in the process of deepening its decentralization by progressively establishing sub-regional centers.

To date FAO has put in place 5 Regional- and 14 Sub-regional Offices, besides its National Representations in most member countries, and including 6 Liaison Offices.

FAO Sub-regional and Regional Offices are advisory and technical service centres supporting their corresponding countries. Each office consists of a core team of professionals (multidisciplinary teams) based in the Sub-regions with the capacity to also draw upon a large body of expertise from FAO Headquarters, its Regional offices and from links among its Sub-regional offices.

Sub-regional offices subscribe to the overall FAO Vision and strategic framework which has been translated to reflect the specific and priority needs, opportunities and challenges of each sub region. These strategies are guided by operational objectives in order to determine operational interventions.

FAO's Sub-/Regional Offices also analyse and disseminate information on the conduct of national and sub-/regional programmes for capacity building, enabling countries to implement or comply with relevant international conventions and agreements.

These contributions of Sub-/Regional Offices to FAO Global issues (conventions and treaties) are an important area of assistance, especially in collaboration with Regional Economic Communities (RECs). They are reflected in all the strategic pillars and sub-/regional focus on areas where FAO can give value addition; those include for instance:

- Development of Regional- and National Action Plans, and follow-up seminars to implementation of Rotterdam- (RC) and related Conventions on pesticide management within the broad context of chemical management through initiating and facilitating coordination meetings between sub-/regional Economic Communities
- Collaboration with partners in harmonizing IPM policy
- Establishment of Phytosanitary Regulatory Frameworks, and
- Promotion of regional participation in International Plant Protection Convention (IPPC) activities
- Focus on environmental issues; FAO through its regional- and sub-regional offices aims to promote environment for growth and food security. To this end, it would use a balanced set of interventions to reflect broader goals

All the above goals can only be achieved through working closely with governments, regional and national organizations, communities, related conventions and treaties, and other UN sister organizations to revitalize rural livelihoods and sustainable agricultural production.

### **i/ FAO Pesticide Management approaches**

In terms of mechanisms, FAO and its sub-/regional offices capitalise on existing and proven approaches on capacity building, such as Farmers Field Schools (FFS) and support linkages and collaboration with farmer associations/cooperatives and similar private sector associations in the agricultural sector where training is involved.

*In particular:*

- FAO assists countries to sustainably reduce pesticide risks to human health and the environment through the implementation of Basel, Rotterdam and Stockholm convention, as well as the Code of Conduct on the Distribution and Use of Pesticides through implementation of Good Agricultural Practices (GAP) including Integrated Pest Management (IPM) and application of bio-pesticides to control (migratory) pests
- FAO in close cooperation with the Basel and Stockholm Conventions supports the development of regional and national programmes for pesticide management in accordance with International Codes and Conventions for the joint implementation of the three Conventions
- FAO provides assistance to national and regional institutions to develop strategies for life cycle management of pesticides in accordance with the RC and other conventions, CoC on Pesticides, and towards implementation of IPM policies and programmes in keeping with a sustainable ecosystems approach in order to reduce reliance on pesticides
- FAO provides assistance towards enhancing national and regional capacity for pesticide management
- FAO facilitates the development and establishment of pesticide registration tools for adoption at national level
- FAO facilitates the process for a plan of action for the development of supportive laboratory services for countries (e.g for risk assessment of pesticide residues; quality control)
- FAO in collaboration with partners in the Regional Economic Communities (RECs) assists in harmonizing pesticide management legislation (e.g. pesticide registration legislation)
- FAO supports links with Universities (e.g. Cape town University: to conduct pesticide management courses; Oregon State University (OSU): for development of risk indices related to farmer pesticide practices) and centres of excellence, through internship/attachment and sabbatical partnerships
- FAO will also endeavour to partner with other international players in the fields of information and other specialised capacity development, as opportunities arise

## Annex II

***UNEP Report on progress made in the development of programmatic cooperation in the field to support implementation of the three conventions in areas of common concern and the inclusion of such cooperation in UNEP's biennial work programmes***

### **A. Support by the Governing Council to the outcomes of the simultaneous extraordinary meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions**

1. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Convention has been one of the key issues in international environmental governance continuously addressed by the Governing Council of UNEP in its decisions on international environmental governance adopted over the past decade.

2. In the Nusa Dua Declaration, adopted by the Governing Council of UNEP at its eleventh special session by its decision SS.XI/9 of 26 February 2010, the ministers and heads of delegation attending the UNEP Governing Council/Global Ministerial Environment Forum, in the context of international environmental governance and sustainable development, welcomed the activities undertaken by UNEP and the secretariats of the multilateral environmental agreements, at the behest of the parties to those agreements, in particular the Basel, Rotterdam and Stockholm, to enhance cooperation and coordination between the three conventions and to support Governments in their efforts to implement, comply with and enforce the multilateral environmental agreements, and also welcomed the outcome of the simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm Conventions.

3. The General Assembly of the United Nations, having noted the report of the Governing Council of UNEP at its eleventh special session, in its resolution 65/162 of 20 December 2010, welcomed the outcome of the simultaneous extraordinary meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions, and encouraged cooperation and coordination among the secretariats of the Basel, Rotterdam and Stockholm conventions and support for Governments in their efforts to implement, comply with and enforce these multilateral environmental agreements.

4. These Governing Council decision and General Assembly resolution further strengthened the basis for UNEP to provide programmatic cooperation to support the implementation of the Basel, Rotterdam and Stockholm Conventions.

### **B. Bali Strategic Plan for Technology Support and Capacity-building**

5. To provide programmatic support to developing countries and countries with economies in transition to enhance their capacity to implement the three conventions, the Bali Strategic Plan for Technology Support and Capacity-building provides strategic guidance. The Plan was prepared in response to the need of developing countries and countries with economies in transition to strengthen their capacity in environmental matter as stressed in UNEP Governing Council decision SS.VII/1 on international environmental governance. It was developed through an intergovernmental process during 2004, and adopted by the UNEP Governing Council in its decision 23/1 of February 2005.

6. The objectives of the Bali Strategic Plan include, among other things, to strengthen the capacity of Governments of developing countries as well as of countries with economies in transition, at all levels to comply with international agreements and implement their obligations at the national level, to provide a framework for capacity-building to ensure the effective participation of developing countries as well as countries with economies in transition in negotiations concerning multilateral environmental agreements, and to strengthen cooperation among UNEP, multilateral environmental agreement secretariats, taking into account their autonomous decision-making processes, and other bodies engaged in environmental capacity-building.

7. The Plan is geared to enhance assistance for facilitating compliance with and enforcement of obligations under multilateral environmental agreements and implementation of environmental commitments, including those in the field of chemicals and waste management.

8. The Bali Strategic Plan has been fully integrated into the programme of work of UNEP, including the current 2010-2011 biennium and also the next 2012-2013 biennium.

### **C. Programmes of Work of UNEP**

9. The Programmes of Work of UNEP for the biennia 2010-11 and 2012-13 contain specific activities designed to provide support to multilateral environmental agreements. Under the Environmental Governance sub-programme, one of the outputs to be achieved by the programme of work is to ensure that the needs and activities of multilateral environmental agreements and their secretariats are supported. Activities and arrangements which have

been made to deliver this output included the following. Those activities under the Harmful Substances and Hazardous Wastes sub-programme of the Programme of Work of UNEP are highlighted separately as part of the information submitted by the Inter-Organization Programme for the Sound Management of Chemicals as contained in document UNEPCHW.10/INF/40.

#### **D. Regional focal points for chemicals and wastes related multilateral environmental agreements**

10. Within the UNEP secretariat, regional focal points for chemicals and wastes related multilateral environmental agreements have been appointed at the UNEP Regional Offices for Africa, Asia and Pacific, Europe and Latin America and the Caribbean to assist Parties to the Basel Rotterdam and Stockholm Conventions to implement these conventions. They have facilitated coordinated delivery of technical assistance and capacity building programmes and activities at the regional level to support the implementation of these three conventions.

11. The focal points have, among other things:

(i) Provided technical advice and guidance to countries to facilitate national and regional implementation of the chemicals and wastes multilateral environmental agreements;

(ii) Assisted countries in identifying their needs and gaps relating to implementation of the chemical and wastes multilateral environmental agreements and in finding solutions and needed support;

(iii) Assisted countries in preparing, updating and submitting national implementation plans and in fulfilling national reporting requirements;

(iv) Collaborated with the chemical and wastes multilateral environmental agreement secretariats in organizing and delivering technical assistance (regional meetings, workshops and training);

(v) Increased the profile of the chemicals and wastes multilateral environmental agreements through awareness-raising in cooperation with the secretariats;

(vi) Promoted interlinkages at the national level between the chemicals and wastes multilateral environmental agreements to enhance implementation activities and to promote synergies between the conventions;

(vii) Coordinated with the Basel and Stockholm Convention regional and coordinating centres and contributed to capacity-building activities;

(viii) Acted as a knowledge repository for chemicals and wastes issues in the region;

(xi) Facilitated information exchange in coordination with the secretariats, Basel and Stockholm Convention regional centres and FAO regional and subregional offices and assisted countries in updating the secretariats on changes of designated national authorities, national focal points and official contact points;

(x) Provided the secretariats with regular feedback on important issues in the regions.

12. UNEP will continue to provide these services to Parties of the three Conventions through the chemicals and wastes multilateral environmental agreement focal points in its Programme of Work for the biennium 2012-2013.

#### **E. Capacity building project on multilateral environmental agreements in the African, Caribbean and Pacific group of countries**

13. UNEP has entered into collaborative arrangements with regional institutions to facilitate the implementation of the three conventions. UNEP coordinates and facilitates a European Union-funded capacity building project on multilateral environmental agreements in the African, Caribbean and Pacific group of countries. The project delivers capacity building activities, including for the implementation of the three conventions, through three regional hubs hosted by the African Union Commission, the Caribbean Community Secretariat and the Secretariat of the Pacific Regional Environment Programme. The same initiative provides support to the management of obsolete pesticides under a separate sub-component managed by the Food and Agriculture Organization of the United Nations. The initiative has strengthened programmatic cooperation between UNEP and FAO, and the three regional hubs. The project will continue until February 2013, and will be included in UNEP's Programme of Work for the biennium 2012-2013.

#### **F. Consultative process for financing chemicals**

14. In recognition of the need for adequate resources in the field of chemicals and wastes management, the Executive Director of UNEP has launched the consultative process on financing options for chemicals and wastes. The process was first announced at the fourth meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants in May 2009. During two meetings of the consultative process held in Nairobi in July

2009 and in Bangkok in October 2009, respectively, participants exchanged their views on the options outlined in a desk study prepared by the UNEP secretariat. Subsequently, the Executive Director submitted the outcomes of those meeting, together with a study on the subject, to the eleventh special session of the UNEP Governing Council/Global Ministerial Environment Forum held in Bali in February 2010.

15. By its decision SS.XI/8, the UNEP Governing Council welcomed the establishment of the consultative process and requested the Executive Director to continue leading it. It also requested the Executive Director to report to the Governing Council at its twenty-sixth session on the implementation of the decision. It also requested the Executive Director to report on the progress made and the direction of the consultative process on financing options for chemicals and wastes to relevant intergovernmental processes. At the third meeting of the consultative process on financing options for chemicals and wastes held in Pretoria on 10 and 11 January 2011, four clusters of options (each of which is referred to as “track”) were considered as follows:

- (a) Mainstreaming the sound management of chemicals and wastes into other sectors of the development agenda;
- (b) Public-private partnerships, including the use of economic instruments at the national and international levels;
- (c) New trust fund similar to the Multilateral Fund for the Implementation of the Montreal Protocol on Substances that Deplete the Ozone Layer;
- (d) Introducing sound management of chemicals and wastes as a new focal area, or expanding the existing persistent organic pollutants focal area, under the Global Environment Facility.

16. The Governing Council of UNEP, at its twenty-sixth session, adopted decision 26/7 on the consultative process on financing options for chemicals and wastes. In this decision, the Governing Council acknowledges the progress made and the work carried out to date regarding the consultative process, and requested the UNEP secretariat to continue providing support for the consultative process, and requested the Executive Director to submit a final report to the Governing Council at its twelfth special session in February 2012 on this matter. The fourth consultative meeting will be held in New York on 4 and 5 May 2011.

#### **G. Montevideo Programme IV**

17. Environmental law is one of the areas where UNEP offers programmatic support to facilitate the implementation of the three conventions.

18. The Fourth Programme for the Development and Periodic Review of Environmental Law (Montevideo Programme IV) was adopted by the Governing Council of the United Nations Environment Programme in section I of its decision 25/11 of 20 February 2009 as a broad strategy for the international law community and the United Nations Environment Programme in formulating the activities in the field of environmental law for the decade commencing in 2010. The Montevideo Programme IV, in section III “Challenges for environmental law”, area F “Pollution prevention and control”, envisages, among other actions, to promote and support the effective and coherent implementation of international environmental regimes relating to chemicals and wastes, including by supporting implementation of the decisions of the conferences of the parties to conventions in these issues (action item d), to support international efforts to address new challenges resulting from chemicals, including persistent organic and inorganic pollutants (action item e) and to support coherent implementation of environmental and other conventions concerning chemicals and wastes (action item g).

19. Furthermore, the Montevideo Programme IV, in section I “Effectiveness of environmental law”, area F “Harmonization, coordination and synergies”, envisages actions to enhance cooperation and coordination among the secretariats and conferences of the parties to relevant multilateral environmental agreements in order to have more coordinated activities and procedures (action area e) and to promote synergies in the implementation of related multilateral environmental agreements at the national and regional levels (action area f).

20. As highlighted in those activities, the Montevideo Programme IV gives UNEP a long-term strategic direction to provide programmatic collaboration and support to the Basel, Rotterdam and Stockholm Conventions for their effective and coherent implementation.