

BC-10/2: Strategic framework for the implementation of the Basel Convention for 2012–2021

The Conference of the Parties,

Recalling the strategic plan for the implementation of the Basel Convention to 2010¹ and the Basel Declaration on Environmentally Sound Management² and reaffirming the objectives stated therein,

Recalling also its decision IX/3,

Taking into account that building strategic partnerships is a key element in identifying and mobilizing support for the Basel Convention,

Welcoming the United Nations Environment Programme consultative process on financing options for chemicals and wastes,

Aware of the need to take into account regional specificities, cooperation and coordination among the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants and the importance of the Basel Convention regional and coordinating centres in the implementation of the strategic framework,

1. *Adopts* the *strategic* framework set out in the annex to the present decision;
2. *Encourages* parties to take specific actions to implement the strategic framework through the activities listed in the biennial programme of work;
3. *Decides* to take into account regional and national diversities and specificities, especially those of developing countries, countries with economies in transition and small island developing States, in the implementation of the strategic framework;
4. *Calls upon parties* and others in a position to do so to mobilize resources to implement the strategic framework;
5. *Requests* the Secretariat to facilitate actions to mobilize resources for the strategic framework, including through the United Nations Environment Programme consultative process on financing options for chemicals and wastes;
6. *Also requests* the Secretariat to cooperate closely with the parties, the Basel Convention regional and coordinating centres and other stakeholders to support the development and implementation of the activities set out in the strategic framework;
7. *Encourages* parties and other stakeholders to provide financial and other resources, including in kind support, for the implementation of the strategic framework;
8. *Also encourages* parties and other stakeholders to promote the implementation of the strategic framework and to cooperate among themselves in that regard;
9. *Requests* the Secretariat to report to the Conference of the Parties at its eleventh meeting on progress in the implementation of the strategic framework and, as appropriate, to the subsidiary bodies of the Convention on a regular basis.

1 UNEP/CHW.6/3.

2 UNEP/CHW.5/29, annex, decision V/1.

Annex to decision BC-10/2

Strategic framework for the implementation of the Basel Convention for 2012–2021

I. Vision

1. The aim of the strategic framework is to protect human health and the environment by controlling transboundary movements of hazardous and other wastes and by ensuring and strengthening the environmentally sound management of such wastes as a contribution to promoting sustainable livelihoods and attaining the Millennium Development Goals.

II. Guiding principles

2. The principles set out below are not listed in order of importance. They can be applied proactively in response to emerging issues provided that compliance with the provisions of the Basel Convention is ensured.

3. The following guiding principles will be applied:

(a) Recognize the waste management hierarchy (prevention, minimization, reuse, recycling, other recovery including energy recovery, and final disposal) and, in so doing, encourage treatment options that deliver the best overall environmental outcome, taking into account life-cycle thinking;

(b) Use waste management policy tools, such as:

- (i) Sustainable use of resources;
- (ii) Recognition of wastes as a resource, where appropriate;
- (iii) Integrated waste management;
- (iv) Life-cycle approach;
- (v) Polluter-pays principle;
- (vi) Extended producer responsibility;
- (vii) Precautionary principle;
- (viii) Proximity principle;
- (ix) Partnerships, cooperation and synergies;
- (x) Sustainable consumption and production;

(c) Respect legislation governing waste management, including the principle of ensuring that every party has national legislation and regulations in place, in addition to enforcement mechanisms, to control transboundary movements of hazardous and other wastes and to prevent and combat illegal traffic;

(d) Respect each party's national legislation and regulations regarding the control of the transboundary movements of hazardous and other wastes.

III. Strategic goals and objectives

4. Responsibility for the attainment of the goals and objectives within the framework of the Convention lies primarily with each party with the involvement of relevant stakeholders. The support of the Convention Secretariat and the regional and coordinating centres will be crucial in the attainment of these goals and objectives by developing countries and countries with economies in transition, in the light of their respective capacities and particular requirements. Attainment also hinges upon the

availability of means of implementation. In this regard, full consideration should be given to Article 10 of the Convention.

A. Goal 1: Effective implementation of parties' obligations on transboundary movements of hazardous and other wastes

Objective 1.1: To reach a common understanding among parties of the definition, interpretation and terminology of wastes covered by the Convention, including the distinction between wastes and non-wastes.

Objective 1.2: To prevent and combat illegal traffic in hazardous and other wastes.

Objective 1.3: To improve performance in meeting requirements pertaining to, among other things, notifications of national definitions of hazardous and other wastes, prohibitions and other control measures.

Objective 1.4: To generate, provide, collect, transmit and use reliable qualitative and quantitative information and data regarding export, import and generation as required under Article 13 of the Convention.

B. Goal 2: Strengthening the environmentally sound management of hazardous and other wastes

Objective 2.1: To pursue the development of environmentally sound management of hazardous and other wastes, especially through the preparation of technical guidelines, and to promote its implementation in national legislation.

Objective 2.2: To pursue the prevention and minimization of hazardous waste and other waste generation at source, especially through supporting and promoting activities designed to reduce at the national level the generation and hazard potential of hazardous and other wastes.

Objective 2.3: To support and promote capacity-building for parties, including technological capability, through technology needs assessments and technology transfer, so as to reduce the generation and hazard potential of hazardous and other wastes.

Objective 2.4: To facilitate national, regional and international commitment with regard to the management of priority waste streams, as identified in the programme of work of the Convention, taking into consideration the priorities of developing countries and countries with economies in transition and in accordance with the requirements of the Convention.

Objective 2.5: To enhance and promote the sustainable use of resources by improving the management of hazardous and other wastes and to encourage the recognition of wastes as a resource, where appropriate.

C. Goal 3: Promoting the implementation of the environmentally sound management of hazardous and other wastes as an essential contribution to the attainment of sustainable livelihood, the Millennium Development Goals and the protection of human health and the environment

Objective 3.1: To develop national and regional capacity, particularly through the Basel Convention regional and coordinating centres, by integrating waste management issues into national sustainable development strategies and plans for sustainable livelihood.

Objective 3.2: To promote cooperation with national, regional and international bodies, in particular cooperation and coordination between the Basel, Rotterdam and Stockholm conventions, to improve environmental and working conditions through the environmentally sound management of hazardous and other wastes.

IV. Means of implementation

5. Attaining the goals and objectives of the strategic framework requires adequate capacity and resources, recognition of the needs of developing countries and countries

with economies in transition and special attention to the situation of small island developing States. Implementation of the goals and objectives requires recognition of the fact that the parties to the Convention are at varying levels of development.

6. The activities to implement the strategic framework will be agreed upon at each meeting of the Conference of the Parties during the 10-year period covered by the framework. These activities must, however, be organized, streamlined and programmed. To do this, there is a need to identify the means by which to conceive, develop and execute these activities in ways that respond to parties' needs and their individual capacities to implement the work in question. The implementation of the strategic framework will require increased individual and collective efforts, including the mobilization of resources from within parties and through international cooperation.

7. The following means of implementation have been identified as some possible options for implementing the Basel Convention, in accordance with the strategic framework:

- (a) Domestic resources;
- (b) External resources and funding;
- (c) Private sector;
- (d) Regional cooperation;
- (e) Capacity-building involving human resources, organizational and institutional development;
- (f) Mechanism for promoting implementation and compliance;
- (g) Partnerships;
- (h) Financial mechanism.

These options are described in detail in document UNEP/CHW.10/INF/34.

8. Furthermore, in recognition of the increased need for sustainable, predictable, adequate and accessible financing for the chemicals and wastes cluster, the Executive Director of the United Nations Environment Programme (UNEP) launched an initiative to consider financing options for chemicals and wastes that is relevant to the implementation of the strategic framework. At the initial meeting in the process, in July 2009, participants called upon UNEP to explore the funding and support needs of developing countries and countries with economies in transition, relevant ways to support compliance with the multilateral environmental agreements related to chemicals and wastes, and capacity-building, including institutional strengthening and technical assistance for promoting the sound management of chemicals and wastes in broader terms.

9. The outcome of the fifth meeting in the consultative process (UNEP/CHW.10/INF/54) presents an integrated approach to financing the sound management of chemicals and wastes. The integrated approach is a strategic and synergistic proposal to improve the sound management of chemicals and wastes at all levels. It incorporates the key components of four tracks identified through the consultative process, namely:

- (a) Mainstreaming sound management of chemicals and hazardous wastes;
- (b) Industry involvement, including public-private partnerships and 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;
- (d) Introducing safe chemicals and wastes management as a new focal area under the Global Environment Facility (GEF), expanding the existing persistent organic pollutants GEF focal area, or establishing a new trust fund under GEF.

10. The integrated approach seeks to make the best possible use of the added value of each track and to maximize impact at all levels. It seeks to use all four tracks in a

coordinated manner in contrast to the current fragmented approach in the chemicals and wastes cluster. The integrated approach further seeks to respond to the challenges posed by chemicals and waste management, including those of the Basel Convention, and build upon the opportunities for each track to respond to the varying needs under the conventions related to chemicals and wastes and relevant international policy frameworks.

11. Recognizing the ongoing nature of the consultative process, the next step is for the Executive Director, as requested in decision SS.XI/8 of the UNEP Governing Council, to submit his final report for consideration by the Governing Council/Global Ministerial Environment Forum at its twelfth special session in 2012, and of achieving possible decisions at the third session of the International Conference on Chemicals Management, in 2012, and at the twenty-seventh session of the Governing Council, in 2013.

12. All information on the consultative process can be found at:
<http://www.unep.org/delc>.

13. Donors that have made contributions to the Basel Convention Technical Cooperation Trust Fund to Assist Developing Countries may wish to consider whether limited resources might be available from the carry-over from the Trust Fund.

14. The biennial programme of work should be guided by the goals and objectives of the strategic framework.

V. Indicators for measuring achievement and performance

15. Based on the strategic goals and objectives listed in chapter III, the following are indicators for measuring achievement and performance:

Goal 1

Objective 1.1

Indicator: The number of agreed technical guidelines that assist Parties in reaching a common understanding on definitions, interpretations and terminologies covered by the Basel Convention.

Goal 1

Objective 1.2

Indicator: Parties have reached an adequate level of administrative and technical capacity (in the form of Customs, police, environmental enforcement and port authorities, among others) to prevent and combat illegal traffic and judicial capacity to deal with cases of illegal traffic.

Sub-indicators:

- Number of parties that develop and execute training programmes for the staff involved;
- Number of controls and inspections carried out.

Goal 1

Objective 1.3

Indicator: Percentage of parties that have notified national definitions of hazardous wastes to the Secretariat in accordance with Article 3 of the Basel Convention.

Goal 1

Objective 1.4

Indicator: percentage of parties reporting information to the Secretariat under Article 13.

Goal 2

Objective 2.1

Indicator: number of parties with national hazardous waste management strategies or plans in place.

Sub-indicator:

- Number of guidelines on environmentally sound management of wastes developed.

Goal 2

Objective 2.2

Indicator: Number of parties that have developed and implemented national strategies, plans or programmes for reducing the generation and hazard potential of hazardous and other wastes.

Sub-indicator:

- Number of parties that have implemented systems for measuring hazardous waste generation in order to assess progress in selected hazardous waste streams and to reduce the generation and hazard potential of hazardous wastes and other wastes.

Goal 2

Objective 2.3

Indicator: Number of parties that have developed and implemented national strategies, plans or programmes for hazardous waste minimization.

Sub-indicator:

- Number of parties receiving capacity-building support that report reductions in hazardous waste generation;
- Number of parties receiving capacity-building support for hazardous waste minimization.

Goal 2

Objective 2.4

Indicator: Number of programmes, projects or activities carried out by parties, jointly with other parties or together with other stakeholders (regional and international organizations, conventions, industry bodies, etc.), aimed at the environmentally sound management of priority waste streams that have been monitored and assessed to achieve this goal.

Goal 2

Objective 2.5

Indicator: percentage of parties that collect information on the generation, management and disposal of hazardous and other wastes.

Sub-indicators:

- Number of training and awareness-raising activities undertaken to enhance and promote the sustainable use of resources;
- Percentage of parties that require the separation of hazardous wastes from non hazardous other wastes;
- Percentage of parties that have national inventories on the generation and disposal of hazardous wastes and other wastes;
- Percentage of selected Convention waste streams reused, recycled or recovered.

Goal 3

Objective 3.1

Indicator: number of parties reporting, through the Secretariat, to the Conference of Parties on the integration of waste and hazardous waste issues into their national development plans or strategies.

Objective 3.2

Indicator: number of activities on common issues undertaken by the bodies under the three conventions.

VI. Evaluation

16. The Secretariat, assisted by parties, will prepare reports on the continued relevance of and progress in relation to the strategic framework for the implementation of the Basel Convention, for the purpose of:

(a) A mid-term evaluation of the strategic framework to be considered by the Conference of the Parties at its thirteenth meeting;

(b) A final evaluation of the strategic framework to be considered by the Conference of the Parties at its fifteenth meeting.

17. Parties are invited to provide information relevant to the indicators contained in section V above to the Secretariat by 31 December 2012 for the year 2011 in order to create a baseline for the above-mentioned evaluations of the strategic framework.