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**Open-ended Working Group of the Basel Convention  
on the Control of Transboundary Movements of  
Hazardous Wastes and Their Disposal  
Eleventh meeting**

Geneva, 3–6 September 2018

Item 3 (a) (i) of the provisional agenda\*

**Matters related to the work programme of the  
Open-ended Working Group for 2018–2019:  
strategic issues: strategic framework**

**Draft compilation of information related to the indicators to be  
used for the preparation of the final evaluation of the strategic  
framework**

**Note by the Secretariat**

As referred to in the note by the Secretariat on the strategic framework (UNEP/CHW/OEWG.11/2), the annex to the present note contains the draft compilation of information related to the indicators to be used for the preparation of the final evaluation of the strategic framework, prepared by the Secretariat in consultation with the small intersessional working group on the strategic framework. The present note, including its annex, has not been formally edited.

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\* UNEP/CHW/OEWG.11/1/Rev.1.

## Annex

# Draft compilation of information related to the indicators to be used for the preparation of the final evaluation of the strategic framework<sup>1</sup>

## I. Introduction

1. As noted in decision BC-13/1, only 4 per cent of Parties have submitted information for both the years 2011 and 2015 in support of the indicators, thereby hindering the midterm evaluation of the strategic framework for the implementation of the Basel Convention for 2012-2021.<sup>2</sup> As a result, the Conference of the Parties in that decision requested, for purposes of preparing the final evaluation of the strategic framework, that all relevant sources of information related to the indicators be used in that exercise. This document responds to that decision by canvassing a wide range of information sources relevant to the indicators, in addition to those mentioned in decision BC-13/1, and assesses their usefulness in the table in the appendix to the present annex.
2. While information sources relate to the indicators as requested in decision BC-13/1, they have in some cases been extended to information related to the questions in the questionnaire<sup>3</sup> or to the objectives, particularly where there were few sources of information relevant to the indicators.
3. While most sources of information are found within existing Convention information, some sources outside of the Convention have been referenced (e.g., United Nations Statistics Division (NSD)) to provide as a complete picture as possible.

## II. Additional sources of information

4. For ease of use, the table in the appendix contains information by column to help the reader to understand the assessment of, and conclusions about, a particular information source without having to refer to the original documents. Nevertheless, should there be a desire to delve further, precise annotations have been provided. The first four columns provide existing information that underpins the fifth to eighth columns. The strategic framework goals are in the first column, followed by the strategic framework objectives in the second column, and the strategic framework indicators and sub-indicators in the third column. In the fourth column, the relevant questions from the questionnaire providing the baseline information are provided. None of this existing information can be changed at this time.
5. The new columns begin with the fifth column outlining for each indicator “additional sources of information” (beyond the questionnaire data) in support of that indicator. In the sixth column, the source is assessed as to whether the data is readily available and is applicable to the indicator, while the seventh column deals with any data limitations, and the eighth column finishes with a brief conclusion about the source. On occasion, that column highlights where there is scant information to apply to the relevant indicator.
6. For purposes of the table, only those sources with the most relevance are retained, and are generally in order of utility. Some sources canvassed were rejected as not sufficiently relevant to be a source for purposes of the subsequent evaluation, and some of these are mentioned later in this document with an explanation.
7. Decisions taken or documents approved by the Conference of the Parties are included in the table where they address the concerns outlined in the indicator or in the related objective. Depending on the wording of the indicator, they may serve as either quantitative or qualitative information.
8. In terms of years being considered for the data sets, the year 2011 is considered the baseline year for the evaluation as being the year before which the strategic framework was adopted and started to be implemented.<sup>4</sup> The year 2019 will be considered as the final reference year against which the final evaluation will be conducted. If information is not available for that year, the latest relevant information available will be considered as the final reference year. On occasion, where relevant information is compiled by the Secretariat internally, some of these sources have been noted as being possibly available for 2020.

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<sup>1</sup> Decision BC-10/2, annex.

<sup>2</sup> BC-13/1, paragraph 2.

<sup>3</sup> UNEP/CHW.12/INF/5, Annex 4.

<sup>4</sup> Decision BC-10/2, annex, section VI.

### III. Sources of quantitative data

#### A. Classification of Parties' compliance performance with national reporting obligations undertaken by the Committee administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention

9. On compliance with the reporting obligation itself, the work of the Implementation and Compliance Committee (ICC) to prepare reports to the Conference of the Parties on the classification of Parties' compliance performance is available for 2011. Based on the request of the Conference of the Parties in BC-13/9, by COP-14 in 2019 this classification report will cover 2014 and 2015. The classification report contains data for each Party as to whether they have reported complete and on time, complete but late, incomplete and on time, incomplete and late, or not have reported at all. It also synthesizes the individual Party data into percentages as requested by the Conference of the Parties. This data provides for the relevant years the most precise assessment of compliance with the reporting obligation.

#### B. Annual national reports

10. When data is needed about the precise number of Parties doing a particular thing at a particular point in time, the annual national reports are the most accurate source of information where the information is required in the reporting format. The reported data for 2011 provides baseline data for the strategic framework evaluation, and some 2018 reports will be available in 2019, the final reference year. Supplementary information from other sources may be needed for the years 2017-19.

#### C. Basel Convention's publications

11. The forthcoming 2018 edition of the *Waste Without Frontiers* publication takes the Basel national reports and supplements them for hazardous waste generation with data from reliable sources such as the Organization for Economic Cooperation and Development (OECD), Eurostat and the UNSD. Based on this approach, for generation, the report is based on data obtained for 104 Parties and notes trends for the period of 2007-15. For transboundary movements, the report used data from Basel national reports and uses import and export data from reporting Parties to also provide information about Parties not reporting, given that movements involve at least two countries. The report acknowledges the importance of the data provided while recognizing some difficulties in comparing data on transboundary movements and wastes generation between Parties due to differences in national definitions of hazardous waste and in measuring and reporting systems.<sup>5</sup>

#### D. Other data

12. Except for one sub-indicator, data from the UNSD,<sup>6</sup> the OECD<sup>7</sup> and Eurostat<sup>8</sup> is not proposed for use except indirectly through the interpretive lens of *Waste Without Frontiers II*, as the latter provides an important analytical function when the data is combined with Basel data for purposes of measuring hazardous waste generation. For transboundary movements, the Basel data is the most reliable and was what was relied in *Waste Without Frontiers II*. Data reported to UNSD by the Secretariat for SDG 12.4.1<sup>9</sup> has not been used in the table in the appendix as this data was provided as submitted by Parties and will duplicate data already available through the BC national reports. Data may be available in 2019 or beyond for SDG 12.4.2<sup>10</sup> and 12.5.1,<sup>11</sup> but the methodology, which will be ready in 2019, will need to be studied at that time to determine its relevance to the strategic framework.

13. The exception is for sub-indicator 4 under Objective 2.5 (percentage of selected Convention waste streams reused, recycled or recovered). This sub-indicator does not on its face limit itself to Convention waste streams that are subject to transboundary movement, which is what is covered by Basel Convention annual reports. To augment this data, the UNSD data updated to 2016 is included in the table to provide a broader picture of total amounts of hazardous waste destined for reuse, recycling or recovery. Data more detailed than this is available for European countries from Eurostat on treatment

<sup>5</sup> *Waste Without Frontiers II*.

<sup>6</sup> <https://unstats.un.org/unsd/envstats/qindicators.cshtml>.

<sup>7</sup> <https://stats.oecd.org/Index.aspx?DataSetCode=WSECTOR#>.

<sup>8</sup> <http://ec.europa.eu/eurostat/data/database>.

<sup>9</sup> 12.4.1: Number of Parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.

<sup>10</sup> 12.4.2: Hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment.

<sup>11</sup> 12.5.1: National recycling rate, tons of material recycled.

of waste by waste category, hazardousness and waste operations for 2004-14 that provides totals of hazardous waste treated per country, as well as total recycled, but is not included in the table due to its regional nature.

14. While the UNEP Global Waste Management Outlook<sup>12</sup> is a useful tool for many purposes, it focuses very little on hazardous wastes and other wastes as defined under the Basel Convention, and when it does, it uses Basel data. For that reason, it is not cited as an independent source of data.

#### IV. Qualitative information

15. While some of the indicators require the mere counting of activities, or tallying data from national reports, and appear to be simply quantitative in nature, a number of sources cited will require some subjective assessment when the time comes to compile the relevant information. There has been an attempt to point this out in the “data limitations” or “conclusions about the source” column. In some places, the source of information is Parties’ national legislation implementing the Basel Convention. In cases where the mere existence of such legislation is to be counted, that data is quantitative in nature, but where there would be a need to review and assess the legislation to draw a conclusion about its relevance to the indicator, this would require a qualitative assessment. Finally, as pointed out in the *Waste Without Frontiers II* report, sometimes data is reported by Parties in a way that makes it hard to compare with that provided by other Parties, and in those circumstances sometimes qualitative assessments may have to be made about the data.

#### V. Other information

16. On occasion, for data reported to the Conference of the Parties by the Secretariat or other organizations such as Basel Convention regional centres, the method and style of reporting has changed over time. Therefore the 2011 version of a document referred to may be different in title and scope in later years, but the data relevant to the indicator is still present.

#### VI. Comments on specific goals, objectives and indicators

##### A. Objective 1.4 on reporting and 2.4 on priority waste streams

17. National reports to the Stockholm Convention on Persistent Organic Pollutants and the Minamata Convention on Mercury can constitute an additional source of information on the POPs and mercury waste streams for some Parties. This was not noted in the table, as the reporting section did not focus on specific waste streams, and objective 2.4 and related indicators regarding priority waste streams did not need this level of detail at this time. Should information be desired about specific priority waste streams in order to provide the final evaluation of the framework, then this information can be gathered.

##### B. Objective 2.3 and sub-indicators on supporting capacity-building to reduce hazardous waste generation and support minimization

18. Several reports from capacity-building organizations were canvassed for hazardous waste generation or minimization, but found not to provide much in the way of capacity-building in those areas at this time. These included: Periodic Reports of the Strategic Approach for International Chemicals Management (SAICM) Quick Start Programme (QSP) (e.g., QSP 11<sup>th</sup> Executive Board Meeting, 14 December 2017),<sup>13</sup> UNEP’s Special Programme (initially-funded projects),<sup>14</sup> and the Global Environment Facility.<sup>15</sup> Although the GEF is not a financial mechanism for the Basel Convention, some waste projects are eligible for funding if they relate to an eligible focal area such as POPs or international waters. Although the GEF was mentioned elsewhere in the table, there was little

<sup>12</sup> <http://web.unep.org/ourplanet/september-2015/unep-publications/global-waste-management-outlook>.

<sup>13</sup> <http://www.saicm.org/Implementation/QuickStartProgramme/ExecutiveBoard/QSPExecutiveBoardmeetings/tabid/6144/language/en-US/Default.aspx>. In the QSP-Dec 2017 report to Executive Board: Out of 130 closed projects, 3 were regarding wastes, but general capacity-building and not focused on waste generation or minimization in particular; out of 22 completed projects pending final reports 1 out of 22 is about wastes, but general capacity-building and not focused on waste generation or minimization in particular.

<sup>14</sup> Out of 7 projects in its database as of March 22, 2018, 6 mention wastes generally in some aspect of the institutional strengthening sought, but none of the project descriptions focus specifically on waste generation or minimization: [http://web.unep.org/chemicalsandwaste/special-programme/projects-database?field\\_region\\_value=All&field\\_type\\_of\\_country\\_value=All](http://web.unep.org/chemicalsandwaste/special-programme/projects-database?field_region_value=All&field_type_of_country_value=All).

<sup>15</sup> Current database as of March 22, 2018: [http://www.thegef.org/projects?search\\_api\\_views\\_fulltext=waste+projects&=Apply](http://www.thegef.org/projects?search_api_views_fulltext=waste+projects&=Apply).

relevant data for waste generation and minimization. The small intersessional working group could nevertheless ask that these information sources be updated in 2019.

## Appendix

### Table compiling information related to the indicators to be used for the preparation of the final evaluation of the strategic framework<sup>1</sup>

1. The table below identifies information sources relevant to the indicators of the strategic framework, in addition to those mentioned in decision BC-13/1, and assesses their usefulness for the conduct of the final evaluation.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
<b>Goal 1</b> Effective implementation of Parties' obligations on transboundary movements of hazardous and other wastes	<b>1.1</b> 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	The number of agreed technical guidelines that assist Parties in reaching a common understanding on definitions, interpretations and terminologies covered by the Basel Convention	1. Has your country used or referred to Basel Convention technical guidelines?	- <b>Decisions adopted by the COP on technical guidelines;</b> <sup>3</sup>	COP decisions and total number of guidelines readily available, both in 2011 and 2019.	None regarding the number.	The information would enable the COP to evaluate whether guidelines since 2012 have increased the common understanding on key issues.
				- <b>Report on the responses to the online survey</b> to assess the relevance and utility of the Basel Convention documents related to environmentally sound management (UNEP/CHW.13/INF/9,	If indicator interpreted to involve a qualitative assessment of whether the technical guidelines are useful, this document provides relevant information. If not, it does provide information related to the question in the	Only 25% of Basel Parties responded. One-time survey.	If indicator interpreted to involve a qualitative assessment of whether the technical guidelines are

<sup>1</sup> The first three columns are the strategic framework goals, objectives and indicators, as set out in the annex of decision BC-10/2.

<sup>2</sup> Since the questionnaire provides key baseline information and will be re-administered in early 2020, the questions are displayed here for informational purposes.

<sup>3</sup> There are 26 COP technical guidelines, 9 adopted since 2012:

<http://www.basel.int/Implementation/TechnicalMatters/DevelopmentofTechnicalGuidelines/AdoptedTechnicalGuidelines/tabid/2376/Default.aspx>.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p>Annex I, Parts III.A and III.B.1);</p> <p><b>- Reports on technical assistance activities conducted by the Secretariat relating to or referring to technical guidelines:</b> for 2011-2012, UNEP/CHW.11/INF/31; most recent for activities conducted and planned 2016-2017, UNEP/CHW.13/INF/34; for COP-14 in 2019, same document.</p> <p><b>- BCRC reports:</b> for 2011 see <i>Submissions from parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions</i>, UNEP/CHW.10/INF/39; latest: <i>Report of the activities of the Basel and Stockholm conventions regional centres</i>: UNEP/CHW.13/INF/29/Rev.1</p>	<p>questionnaire, which will be asked again in 2019/2020.</p> <p>Information readily available; while the indicator is focused on the number of technical guidelines, if considered that training helps make them useful, then this document could provide relevant information.</p> <p>Information readily available; while the indicator is focused on the number of technical guidelines, if considered that training helps make them useful, then this document could provide relevant information.</p>	<p>Merely lists activities undertaken or to be undertaken without detail; some are not about technical guidelines and others are limited in # of countries involved.</p> <p>Merely lists activities undertaken or to be undertaken without detail; some are not about TGs and others are limited in # of countries involved.</p>	<p>useful, this document is of interest, but limited due to the low response rate.</p> <p>Data could be used to tabulate how many workshops/webinars followed the introduction of new technical guidelines since 2012 as a way of illustrating efforts to promote the TGs' common understandings.</p> <p>Data could be used to tabulate how many workshops/webinars followed the introduction of new technical guidelines since 2012 as a way of illustrating efforts to promote the</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p>, Annex II; for COP-14 in 2019, same document.</p> <p>Information gathered and outcomes achieved in the context of the work on improving legal clarity, including in relation to the glossary of terms and the review of Annexes:</p> <ul style="list-style-type: none"> <li>- Glossary in UNEP/CHW.13/4/Add.2 adopted by decision BC-13/2, para. 18.</li> <li>- Annex review, decision BC-13/2, paras. 21-30.</li> </ul>	<p>Information readily available; while not technical guidelines per se, the COP-agreed glossary further explains Basel terminology; relevant to indicator</p> <p>Data readily available; this review is ongoing and likely to be completed close to the end of the SF timeline. Very relevant to the objective on which the indicator is based.</p>	<p>One example of a document addressing definitions, interpretation and terminology.</p> <p>Work on the annex review is ongoing, so no results currently available, but the process is likely to provide relevant, concrete outcomes to improve understanding/interpretation of Convention obligations</p>	<p>TGs' common understandings.</p> <p>Relevant source.</p> <p>The annex review, by addressing COP-agreed definitional/interpretation issues goes beyond the indicator in some respects and addresses the broader issues in the objective.</p>



<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>Work of the ICC</b> on the Implementation Manual and the Guide to the Control System (adopted by BC-12/7)</p>	<p>Documents readily available. While not strictly speaking technical guidelines, they are technical COP-approved documents that address the issue in the indicator and the objective.</p>	<p>The former focuses on Parties and the latter is directed at other users of the Control System.</p>	<p>The documents contribute to meeting the indicator both numerically by increasing the number of documents that assist in developing common understandings, as well as qualitatively by adding detailed outlines and a Legislator’s Checklist of obligations to be implemented by legislation.</p>
	<p><b>1.2</b> To prevent and combat illegal traffic in hazardous and other wastes</p>	<p>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</p>	<p>2. Does your country have an adequate level of administrative and technical capacity (in the form of customs, police, environmental enforcement and</p>	<p>Main indicator and sub-indicators: - <b>Annual national reports</b> for the years 2011 (baseline year) and 2018<sup>4</sup> (more specifically, for the 2011 format, questions 4a to 4d on control procedures for TBM and Q. 3, which asks about legislation; for the 2016 format, questions 4a to 4c on control procedures for TBM,</p>	<p>The data that has been reported by Parties is readily available but national reports do not ask questions about specific enforcement actions or amount of money spent on enforcement efforts, which is at the heart of this indicator. The 2011 format does ask whether border control is established. The revised</p>	<p>Poor rates of reporting mean that it is difficult to rely solely on national reports, and Table 9 only outlines cases “closed” in the reporting year. Similarly, the form to</p>	<p>Relevant source. The data noted provides information from which inferences can be drawn about Parties’ capacity to prevent and combat illegal</p>

<sup>4</sup> The report of the final evaluation needs to be made available to OEWG-12 in 2020, therefore the latest information to be included in the evaluation will be from 2019 and early 2020. In early 2020, national reports for the year 2018 and earlier years would be available to be considered for the final evaluation.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
		<p>deal with cases of illegal traffic</p> <p>Sub-indicators:            - Number of Parties that develop and execute training programmes for the staff involved;            - Number of controls and inspections carried out.</p>	<p>port authorities, among others) to prevent and combat illegal traffic?</p> <p>2.1. Does your country have an adequate judicial capacity to deal with cases of illegal traffic?</p> <p>2.2. Has your country developed and executed or contributed to the development and execution of training programmes for customs, police, environmental enforcement, port authorities or other officials to prevent and combat illegal traffic of hazardous wastes or other wastes?</p> <p>2.3 Please identify specific training</p>	<p>Table 9, and Q. 1 for legislation); <b>forms for confirmed cases of illegal traffic</b> transmitted to the Secretariat and made available on Convention website; <b>texts of Parties' legislative and regulatory measures</b> to implement the BC that have been transmitted to the Secretariat (numbers in 2011 and 2019)</p> <p>- <b>Requests for assistance in the identification of cases of illegal traffic transmitted by Parties to the Secretariat pursuant to Article 16 para 1(i)</b>; 2011 data: <i>National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic</i>, UNEP/CHW.11/12, para 14; latest data:</p>	<p>format for 2016 and beyond includes questions generally on implementing legislation and specifically on illegal traffic in Q. 1.</p> <p>Information relevant to <b>sub-indicators</b> is not requested in the reporting format.</p> <p>Document readily available on the Basel website. Requests for assistance suggests a lack of capacity to deal with illegal traffic.</p>	<p>report confirmed cases of illegal traffic provides information after a conviction has been obtained. As to legislation, only Q. 3 in 2011 touches on this and only for the special restrictions/prohibitions addressed by that question. More information is available on national legislation from 2016 forward in Q. 1.</p> <p>Data provides information on only those cases where a Party has asked for assistance, but it cannot be assumed that these are all determined to be illegal traffic.</p>	<p>traffic and should be used.</p> <p>Relevant source.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
			<p>programmes your country has developed and executed or to which it has contributed.</p> <p>2.4. Does your country carry out controls and inspections on hazardous waste and other waste facilities?</p> <p>2.4.1. If yes, how many such controls and inspections were carried out, or do you estimate were carried out, in your country in 2011 for which there are records?</p>	<p>UNEP/CHW.13/10, para. 9; for 2019, relevant document for COP-14 plus cases secretariat receives in 2019.</p> <p>- <b>Needs assessments:</b> UNEP/CHW.13/INF/35 (latest); for the baseline the first needs assessment completed in 2014 based on a questionnaire to Parties: UNEP/CHW.12/INF/24, Part III.A re transboundary movements.</p> <p>- <b>4-year technical assistance plan, 2018-2021:</b> latest found at UNEP/CHW.13/INF/36, Section V.A. as welcomed by Decision BC-13/11, para 2; for final evaluation would need to refer to the 2019 plan for COP-14; no 4-year plan in 2011, but see: BC-10/23.</p> <p><b>BC COP efforts to build capacity to prevent and combat illegal traffic:</b></p>	<p>A questionnaire responded to by Parties; directly applicable to determining Parties' self-assessment of their capacity needs.</p> <p>Data readily available</p> <p>Large amounts of information available on numerous COP efforts to provide tools to</p>	<p>Only 41 Parties developing countries and CEITs responded, but it does provide an indication of their view of capacity or lack thereof.</p> <p>The latest plan reveals the ongoing COP view of the priority for this topic.</p> <p>While the number of ongoing efforts</p>	<p>Any needs identified regarding illegal traffic illustrate a Party's view that there is an ongoing capacity need for them.</p> <p>Strong COP signal that illegal traffic continues to be an area for which technical assistance is needed.</p> <p>The overall volume of recent or</p>

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				<p>- National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic, UNEP/CHW.11/12, Section D; and similar document for COP-14 in 2019;</p> <p>-2011 or earlier: guidance adopted by the COP Guidance Elements for Detection, Prevention and Control of Illegal Traffic in Hazardous Waste (COP-6), Basel Convention Training Manual on Illegal Traffic for Customs and Enforcement Agencies (OEWG Dec V/9), Instruction Manual on the Prosecution of Illegal Traffic of Hazardous Wastes or other Wastes (COP-10));</p> <p>- 2017: COP decision 13/9 para 15 adopting ICC-prepared guidance on the implementation of Article 9 para 2, 3 and 4, -ICC activities under its 2018-2019 work programme “to improve implementation of and compliance with Article 9 of the convention” to be determined in September 2018.</p>	support Parties in dealing with illegal traffic. The number of efforts, many of which are ongoing, suggests a COP view that Parties have not reached an adequate level of capacity in this area.	is a sign that capacity is still an issue, these efforts do not provide quantitative data in this regard.	ongoing activities allows an inference to be drawn about Parties’ general capacity collectively, but not individually.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>Guidance and support provided in the context of international cooperation activities by the Secretariat with other entities</b>, such as:</p> <ul style="list-style-type: none"> <li>-establishment of ENFORCE in 2013</li> <li>- INTERPOL 2014 Pollution Crime Forensic Investigation Manual</li> <li>-INTERPOL Pollution Crime Working Group (e.g. 2017 international day of inspection)<sup>5</sup></li> <li>- UN Environment Green Customs Initiative training materials, workshops<sup>6</sup></li> <li>- <i>National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic</i> UNEP/CHW.13/10, Part E, similar document at COP-14 in 2019, including references to regional enforcement activities</li> </ul> <p><i>Report on capacity-building activities to support the implementation of the Basel Convention</i>; for 2011: UNEP/CHW.10/INF/28 pp 5-6; similar document for COP-14 in 2019</p>	<p>In terms of qualitative information that supports the idea that capacity still needs building at the current time, the work of these organizations contributes to that end.</p> <p>Provides a list of capacity-building activities, some of which address the indicator.</p>	<p>While the number of ongoing efforts is a sign that capacity still an issue, does not provide quantitative data in this regard.</p> <p>Would require Secretariat reviewing their 2011 reports to compare with 2019 activities. As noted in the COP-13</p>	<p>The overall volume of recent or ongoing activities allows an inference to be drawn about Parties' general capacity collectively, but not individually. Should this level of activity remain under the COP, OEWG and ICC work programmes in 2019, a sign that capacity is still lacking in general.</p> <p>Provides useful data on the number of Parties participating in capacity-building</p>

<sup>5</sup> <https://www.interpol.int/Crime-areas/Environmental-crime/Events>.

<sup>6</sup> [www.unep.org/delc/Greencustoms/tabid/54424/Default.aspx](http://www.unep.org/delc/Greencustoms/tabid/54424/Default.aspx).

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>BCRC reports:</b> for 2011 see <i>Submissions from parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions</i>, UNEP/CHW.10/INF/39; latest: <i>Report of the activities of the Basel and Stockholm conventions regional centres</i>: UNEP/CHW.13/INF/29/Rev.1 , Annex II; for COP-14 in 2019, same document.</p> <p><b>National legislation,</b> <i>notifications, enforcement of the Convention and efforts to combat illegal traffic</i> BC-13/10, paragraph 16, inviting</p>	<p>For 2011, the document provides submissions by parties, regional centres and other stakeholders, many of which indicate activities related to illegal traffic and shed light on individual party capacity.</p> <p>Data collected by ICC for COP-14 in 2019 may help measure progress in submitting legislation, but also enable a review of whether it</p>	<p>technical assistance 4-year plan, capacity-building activities should be country-driven. The mere existence of an activity therefore suggests a lack of capacity in that area for the participating Parties.</p> <p>While no data for illegal traffic in 2017, in 2019 the document may be a useful source of information on training provided.</p> <p>Subject to Parties submitting information to the ICC.</p>	<p>activities in the biennium.</p> <p>Would be useful to scan the COP-14 2019 document for information on illegal traffic.</p> <p>If submitted, useful indicator of improved capacity in some Parties.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p>Parties, in particular Parties that have not submitted their legislation for implementing the Basel Convention, to undertake a review of their implementing legislation using the legislator's checklist and to <b>submit the outcome of their review to the Implementation and Compliance Committee</b> for its consideration.</p> <p>2011 data: UNEP/CHW.10/INF/11 Annex VI: <i>ICC Review of the status of existing national legislation and other legal or administrative measures, including implementation regulations, and identify needs for assistance</i>—data obtained as a result of ICC questionnaire to Parties; <i>National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic</i>, UNEP/CHW.13/10, section B; for COP-14 in 2019, similar document.</p>	<p>fully implements the Convention.</p> <p>2011 ICC data readily available; data implicitly applicable to Indicator 1.2 about capacity to prevent and combat illegal traffic, although legislation not specifically mentioned in the indicator. Of 56 responding Parties (32% of Parties in 2009), more than 1/3 felt that their legislation did not integrate all of the Basel Convention's provisions.</p>	<p>No similar questionnaire planned for 2019.</p>	<p>If no updated questionnaire to Parties, the general legislation data in a document similar to the 2017 COP document 13/10, section B would be useful.</p>
	<p><b>1.3</b> To improve performance in meeting requirements pertaining to, among other things, notifications of national definitions of</p>	<p>Percentage of Parties that have notified national definitions of hazardous wastes to the Secretariat in accordance with</p>		<p>- <b>Annual national reports</b> for the years 2011 (baseline year) Questions 3 and 4; and 2018, Questions 3 and 4.</p>	<p>Reported data on notifications, prohibitions and other control measures provide relevant data for the objective and the indicator, even though the</p>	<p>Overall reporting rates no higher than 50%; Parties who do not have national</p>	<p>Since Parties are only required to notify these where they exist, i.e. where a choice has</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
	hazardous and other wastes, prohibitions and other control measures	Article 3 of the Basel Convention		<p>- <b>Notifications of national definitions</b> as well as of <b>import/export prohibitions and restrictions</b> transmitted by Parties to the Secretariat<sup>7</sup></p> <p><i>National legislation, notifications, enforcement of</i></p>	<p>indicator focuses on only Article 3 notifications.</p> <p>Data readily available on website per Party, rather than having to check through individual national reports, and regardless of whether a Party reported in a given year.</p> <p>Summary of notifications readily available for the</p>	<p>definitions different than Basel definitions are not required to notify.</p> <p>Useful source where a Party has not recently reported.</p> <p>Indicates number of</p>	<p>been made at national level, fully accurate data would require checking all notifications against national legislation, an onerous job.</p> <p>Since Parties are only required to notify these where they exist, i.e. where a choice has been made at national level, fully accurate data would require checking all notifications against national legislation, an onerous job. A possible area for developing a better source of information.</p> <p>Since Parties are only required to</p>

<sup>7</sup> <http://www.basel.int/Countries/NationalDefinitions/NationalDefinitionsofHazardousWastes/tabid/1480/Default.aspx>;  
<http://www.basel.int/Countries/ImportExportRestrictions/tabid/4835/Default.aspx>.



<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
				<i>the Convention and efforts to combat illegal traffic</i> , UNEP/CHW.11/12, Section IIB; UNEP/CHW.13/10, paragraphs 6-8, which contain a summary of Article 3 notifications and import and export restrictions, for COP-14 in 2019, same document.	baseline year and presumably for 2019 COP.	notifications received in the biennium, but data does not convey which Parties should have notified but didn't.	notify these where a choice has been made at national level, fully accurate data would require checking all notifications against national legislation, an onerous job not recommended.
	<b>1.4</b> 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.	Percentage of Parties reporting information to the Secretariat under Article 13.		- Annual national reports submitted for the years 2011 (baseline year) and 2018;  - Classification of Parties' compliance performance with regard to the annual reporting obligations for 2011 (and possibly 2019, if decided by the COP) undertaken by the Committee Administering the Mechanism for Promoting Implementation and Compliance, UNEP/CHW.13/INF/26; for baseline year of 2011, see: UNEP/CHW.12/INF/19.	Data readily available and relevant to indicator. A percentage of Parties can be easily provided for the relevant baseline (2011) and final reference year (2019).  Data readily available for baseline year and relevant to indicator.	50% reporting rate means that data is not available for all Parties  Limited in time: data was analysed for 2013 reporting year as of October 31, 2016. At 2019 COP, only data for 2014/15 will be available.	Relevant source.  Precise data from national reports particularly for baseline year; for years closer to final review the data will be three years behind.

<p style="text-align: center;"><b>Goal 2</b> Strengthening the environmentally sound management of hazardous and other wastes</p>	<p><b>2.1</b> 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</p>	<p>Number of Parties with national hazardous waste management strategies or plans in place.</p> <p>Sub-indicator: - Number of guidelines on environmentally sound management of wastes developed.</p>	<p>3. Does your country have a national hazardous waste management strategy or plan in place?</p> <p>3.1. Has your country developed guidelines or carried out programmes, projects or activities aimed at the environmentally sound management of wastes?</p>	<p>Main indicator: - <b>Annual national reports</b> for the years 2011 (baseline year) Questions 5 and 6 for plans/strategies, Q. 3 for legislation; for 2018, Q. 5 and 6 for plans/strategies and Q.1 for legislation.</p> <p>2011 data: UNEP/CHW.10/INF/11 Annex VI: <b>ICC Review of the status of existing national legislation and other legal or administrative measures, including implementation regulations, and identify needs for assistance</b>—data obtained as a result of ICC questionnaire to Parties; <i>National legislation, notifications, enforcement of</i></p>	<p>National reports are the best source of information subject to the caveat of a 50% reporting rate. While the indicator does not mention legislation, the Objective does.</p> <p>2011 data readily available; data applicable to Objective 2.1 (legislation) but not the indicator. 56 Parties (32% at that time) responded to a specific question about whether they have integrated technical guidelines into national legislation.</p>	<p>The reporting form only asks for national strategies or plans on the pages dealing with reduction or elimination of the <b>generation</b> of waste, or reduction of TBMs, and not more generally; it mentions legislation for 2011 only in Q. 3 re prohibitions and restrictions, not more generally. For 2018, Q. 1 covers legislation.</p> <p>Of 56 responding Parties (32% of Parties in 2009), more than 1/3 felt that their legislation did not integrate all of the Basel Convention’s provisions.</p>	<p>Relevant source.</p> <p>While this provides a useful snapshot around 2011, similar questions would have to be responded to by Parties in 2019/20 to have a number by which to measure</p>
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				<p><i>the Convention and efforts to combat illegal traffic, UNEP/CHW.13/10; for COP-14 in 2019, similar document.</i></p> <p><b>- Number of Parties that have transmitted to the Secretariat texts of legislation and regulations<sup>8</sup> implementing the BC in 2011 and 2019;</b></p> <p><b>Sub-indicator:</b></p> <p><b>-COP decisions adopting technical guidelines on ESM</b> as noted for Objective 1.1 above; COP decisions adopting documents/manuals from the work of the ESM expert group.</p>	<p>Data readily available on website.</p> <p>The information is readily available, by counting the number of technical guidelines adopted by the COP related to ESM as of 2011 and in 2019, and COP-adopted documents from the ESM expert group.</p>	<p>None, if the indicator is read to include legislation (specifically mentioned in Objective 2.1) and the mere existence of legislation is to be confirmed.</p> <p>None.</p>	<p>progress on the specific question re technical guidelines. Otherwise, the general legislation data in a document similar to the 2017 COP document, section B would be useful.</p> <p>A relevant source. Would need to compare 2011 and 2019 data. Evaluating legislation is a far more difficult job.</p> <p>Directly relevant to sub-indicator.</p>
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<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
					Directly relevant to sub-indicator.		
	<p><b>2.2</b> 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</p>	<p><b>Main indicator:</b> 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</p> <p><b>Sub-indicator:</b> - 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.</p>	<p><b>Main indicator:</b> 4. Has your country developed and implemented strategies, plans and programmes or other systems and actions for: (i) measuring hazardous wastes generation; (ii) reducing the generation and hazard potential of hazardous and other wastes</p> <p><b>Sub-indicator:</b> 4.1. Does your country survey or otherwise collect information on: (i) Generation of hazardous and other wastes;</p>	<p><b>Main indicator:</b> - Annual national reports for the years 2011 (baseline year) Q. 5 and Tables 8A and 8B and 2018, Question 5 and Table 6;</p> <p><b>Waste Without Frontiers II (WWF II)</b> provides detailed information based on Basel national reports, (with some extrapolation), as well as data from the UN Statistics Division, the OECD and Eurostat on hazardous waste and other waste generation.<sup>9</sup> The generation data is from 104 Parties and analysed geographically and in</p>	<p>Information readily available on both strategies/plans and reduction of generation.</p> <p>Data and analysis will be available in 2018 for the period 2007-2015. As the Secretariat prepared the document, the raw data is available for future use when report updated in 2019</p>	<p>Only 25-30% of the 50% of reporting Parties report generation data (<i>Waste Without Frontiers II</i>).</p> <p><i>Waste Without Frontiers II</i> notes that only 25-30% of the 50% of reporting Parties report generation data. Further, after COP-13 in 2017, generation data in Table 6 is</p>	<p>When the indicator was chosen, it was obligatory for Parties to report on generation. From the 2016 reports onward, Table 6 generation data is no longer obligatory and reporting rates might be even lower.</p> <p>Very good source of information for hazardous wastes and other wastes from Basel and non-Basel sources, but subject to the limitation of the rate of Parties' reporting and</p>

<sup>8</sup> <http://www.basel.int/Countries/NationalLegislation/tabid/1420/Default.aspx>.

<sup>9</sup> UN Statistics Division data can be obtained directly at: <https://unstats.un.org/unsd/envstats/qindicators.cshtml>. Statistics on Waste are based on official statistics supplied by national statistical offices and/or ministries of environment (or equivalent institutions) in response to the biennial UNSD/UNEP Questionnaire on Environment Statistics, complemented with comparable statistics from OECD and Eurostat.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
			<p>(ii) Management of hazardous wastes and other wastes; (iii) Disposal of hazardous wastes and other wastes.</p>	<p>accordance with wealth and population.</p> <p>- <b>Classification of Parties' compliance performance with regard to the annual reporting obligations</b> for 2011 (and possibly 2019, if decided by the COP) undertaken by the Committee Administering the Mechanism for Promoting Implementation and Compliance, UNEP/CHW.13/INF/26; for baseline year of 2011, see: UNEP/CHW.12/INF/19.</p> <p>- Data collected for the SDG global indicator 12.4.2<sup>10</sup> (currently methodology for data collection is under development by custodian agency, and is expected to be completed in 2019).</p> <p><b>Sub-indicator:</b> Same sources as noted above for Main Indicator.</p>	<p>Provides data on major gaps in reported data, with incompleteness highest for data reporting on hazardous wastes and other wastes generation (59 of 84 reports incomplete on this point)</p> <p>Unable to assess at this time.</p>	<p>considered optional for reporting.</p> <p>Good data for baseline year, but it may be difficult to find a comparator in 2019, as the exercise tracks data three years behind.</p> <p>Unable to assess at this time</p>	<p>cautions in the report re use of the data.</p> <p>Document may help 2020 final review in evaluating national reporting data in this regard, mindful of the three-year time lag.</p> <p>If methodology is only available in 2019, data may not be ready, but this should be verified in 2019.</p>

<sup>10</sup> Hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
	<p><b>2.3</b> 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</p>	<p><b>Main indicator:</b> Number of Parties that have developed and implemented national strategies, plans or programmes for hazardous waste minimization</p> <p><b>Sub-indicators:</b> - 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.</p>	<p><b>Main indicator:</b> 5. Has your country developed and implemented national strategies, plans or programmes for hazardous waste minimization?</p> <p><b>Sub-indicators:</b> 5.1. Has your country received capacity-building support for reducing hazardous waste generation?</p> <p>5.1.1. If your country has received capacity-building support, have you identified any reductions in hazardous waste generation?</p> <p>5.2. Has your country received capacity-</p>	<p><b>Main indicator:</b> - <b>Annual national reports</b> for the years 2011 (baseline year) Q. 5 and Tables 8A and 8B and 2018, Q. 5 and Table 6;</p> <p><b>Sub-indicators:</b></p> <p><i>Waste Without Frontiers II (WWF II)</i> provides detailed information based on Basel national reports, (with some extrapolation), as well as data from the UN Statistics Division, the OECD and Eurostat on hazardous waste and other waste generation from 2007-15. The generation data is from 104 Parties and analysed geographically and in accordance with wealth and population. As the Secretariat prepared the document, the raw data is available for future use when report updated in 2019</p> <p>For both sub-indicators, re capacity-building provided:</p> <p>- <b>Reports on technical assistance activities conducted by the Secretariat</b> relating to or referring to technical guidelines: for (2011-2012),</p>	<p>Question 5 provides data on whether there are strategies or plans and Table 6 measures reductions for sub-indicator 1.</p> <p>Data and analysis on hazardous waste reduction per Party will be available in 2018 for the period 2007-2015.</p> <p>Data readily available. Although mixed with RC and SC, Basel capacity-building easily identified.</p>	<p>Lack of Party reporting on generation as noted above.</p> <p><i>Waste Without Frontiers II</i> notes that only 25-30% of the 50% of reporting Parties report generation data. Further, after COP-13 in 2017, generation data in Table 6 is considered optional for reporting.</p> <p>Lists of activities must be scanned for relevant ones. Planned activities need</p>	<p>Relevant source.</p> <p>Very good source of information for generation of hazardous wastes and other wastes from Basel and non-Basel sources, but subject to the limitation of the rate of Parties' reporting and cautions in the report re use of the data.</p> <p>Relevant source. For sub-indicator 1, this would have to be combined with a review of</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
			<p>building support for hazardous waste minimization?</p>	<p>UNEP/CHW.11/INF/31; most recent for activities conducted and planned 2016-2017, UNEP/CHW.13/INF/34; for 2019, similar document for COP-14.</p> <p>In the context of the implementation of the <b>Cartagena Declaration</b>, COP-13 adopted <i>Guidance to assist Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal</i>, <b>UNEP/CHW.13/INF/11/Rev. 1</b>, which provides guidance on developing strategies and measures, both mandatory and voluntary, to achieve the prevention, minimization and reuse of hazardous wastes and other wastes.</p> <p><b>Practical Manual on Waste Prevention</b>, UNEP/CHW.13/4/Add.1/Rev.</p>	<p>Constitutes capacity-building support from the COP to all Parties for sub-indicator 2</p> <p>Constitutes capacity-building support from the COP to all Parties</p>	<p>to be checked against those delivered.</p> <p>To meet the second half of sub-indicator 1, would have to measure all Party reductions in waste generation via national reporting data and WWF report.</p> <p>To meet the second half of sub-indicator 1, would have to</p>	<p>the reporting data for 2011 and 2018 to verify whether Parties receiving assistance had reduced or minimized waste generation.</p> <p>Relevant source.</p> <p>Relevant source.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				1, Appendix V, adopted by BC-13/2, para. 6.		measure Party reductions in waste generation via national reporting data.	
	<p><b>2.4</b> 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</p>	<p>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<sup>11</sup> that have been monitored and assessed to achieve this goal</p>	<p>6. Has your country jointly with other Parties or with other stakeholders (regional and international organizations, conventions, industry bodies, etc.) engaged in programmes, projects or activities aimed at the environmentally sound management of priority waste streams (e.g. persistent organic pollutants waste, used oils, used lead acid batteries, e-waste, clinical</p>	<p><b>Open-ended Working Group Work Programmes</b> (2011 through 2021): work on technical guidelines for ESM compared with follow-through on those programmes e.g. comparing the 2011 work programme with what has been achieved by 2021. Noting the reference to developing countries and CEITs in the objective, it is noted that the partnership on household waste is a high priority for the next biennium and was created in response to the stated priorities of developing countries.</p>	<p>While individual guidelines not routinely assessed for their effectiveness, they can be readily reviewed after initial use and some are adopted as interim in order to gain experience in their use before updating.</p>	<p>Although work programme not “monitored and assessed” an assumption can be made that if the COP agrees to the programme and its priorities and later adopts the relevant technical guidelines, there has been COP agreement on the follow-through. Frequent updating of guidelines, such as the POPs guidelines, provides a method for monitoring and assessing the need for change.</p>	<p>The indicator has been interpreted within the context of the related objective in order to clarify its focus. A comparison of work programmes and guidelines finished would be a useful and fairly easy task.</p>

<sup>11</sup> As per the objective, the source of prioritization is the work programme of the Open-ended Working Group, which provides the plan for detailed technical discussions on waste streams and allocates priorities.





<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
				<p>- Report of the activities of the Basel and Stockholm conventions regional centres, UNEP/CHW.13/INF/29/Rev.1 , Annex II. This could be compared with data for the 2019 COP-14 report. These Centres were evaluated in 2013 and 2015.</p>	Data readily available.	These could be compared with the OEWG work programme to see if they are addressing current or past priority waste streams	Relevant source.
				<p>- The Methodological Guide for the Development of Inventories of Hazardous Wastes and Other Wastes under the Basel Convention, UNEP/CHW.12/9/Add.1, which provides general guidance as well as focusing on priority waste streams. Current OEWG work programme requests the OEWG to consider the types of wastes for which additional practical guidance on the development of inventories would be useful and make recommendations is that regard to COP-14.</p>	The guide is a key activity for a number of priority waste streams, and therefore a relevant source for the indicator.	While its utility has not been separately assessed, its preparation by the ICC in consultation with the OEWG and approval by COP demonstrate widespread approval of its content. COP-14 will indicate whether further work is required.	Relevant source.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				Partnership for Action on Computing Equipment (PACE), UNEP/CHW.13/INF/31/Rev.1 provides the text of a guidance document on the ESM of used and end-of-life computing equipment as adopted by COP-13 on an interim basis; Annex III provides a report on project experiences and lessons learned.	Document readily available; addresses a priority waste stream as indicated in past work programmes, and has a lessons learned section.	Just one example of an activity of a priority waste stream. Although captured in secretariat list above, this particular document has an assessment.	Relevant source.
	<p><b>2.5</b> 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</p>	<p><b>Main indicator:</b> Percentage of Parties that collect information on the generation, management and disposal of hazardous and other wastes.</p> <p><b>Sub-indicators:</b> - 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;</p>	<p>7. Has your country undertaken training and awareness-raising activities to enhance and promote the sustainable use of resources?</p> <p>7.1. Do your national waste management policies, regulations and programmes require the separation of hazardous wastes from non-hazardous other wastes?</p>	<p><b>Main indicator:</b> - <b>Annual national reports</b> for the year 2011 (baseline year) Questions 4,5, 6 and Tables 2, 3, 6, 7, 8A, 8B, 9, 10; and for 2018, Questions 4, 5 and 6 and Tables 2-9;</p> <p>- <b>Classification of Parties' compliance performance with regard to the annual reporting obligations</b> for 2011 (and possibly 2019, if decided by the COP) undertaken by the Committee Administering the Mechanism for Promoting Implementation</p>	<p>Data readily available and relevant to indicator. A percentage of Parties can be easily provided for the relevant baseline (2011) and final reference year (2019).</p> <p>Data readily available and relevant to indicator.</p>	<p>50% reporting rate means that data is not available for all Parties</p> <p>Limited in time: data was analysed for 2013 reporting year as of October 31, 2016.</p>	<p>Relevant source.</p> <p>Relevant source.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
		<p>- Percentage of Parties that have national inventories on the generation and disposal of hazardous wastes and other wastes;</p> <p>- Percentage of selected Convention waste streams reused, recycled or recovered.</p>	<p>7.2. Does your country have a national inventory or inventories on the generation and disposal of hazardous wastes and other wastes?</p> <p>7.3. If your country does have such an inventory or inventories, how is the data collected (e.g. from generators through a regular reporting requirement or through a survey) and with what frequency?</p> <p>7.4. Does your country collect data or prepare estimates of the percentage of Basel</p>	<p>and Compliance, UNEP/CHW.13/INF/26; for baseline year of 2011, see: UNEP/CHW.12/INF/19.</p> <p><i>Waste Without Frontiers II</i> (forthcoming 2018) provides detailed information on generation of hazardous wastes and other wastes based on Basel national reports, (with some extrapolation), as well as data from the UN statistics division, the OECD and Eurostat.<sup>13</sup> The data for generation is from 104 Parties for generation of hazardous wastes and other wastes. For transboundary movements, export and import data was analysed and sometimes included Parties not reporting.</p> <p><b>Sub-indicators:</b></p> <p><b>Sub-indicator 1:</b></p> <p><b>-Capacity-building and training activities conducted</b></p>	<p>Data and analysis will be available in 2018 for the period 2007-2015.</p> <p>Data readily available; to address the indicator, would</p>	<p><i>Waste Without Frontiers II</i> notes that only 25-30% of the 50% of reporting Parties report generation data. Reporting of generation optional for 2016 and subsequent years.</p> <p>Need to canvass the lists for</p>	<p>Relevant source, with reported data supplemented in various ways. Updated data may be available in 2019/20.</p> <p>Relevant source.</p>

<sup>13</sup> UN Statistics Division data can be obtained directly at: <https://unstats.un.org/unsd/envstats/qindicators.cshtml>. Statistics on waste are based on official statistics supplied by national statistical offices and/or ministries of environment (or equivalent institutions) in response to the biennial UNSD/UNEP Questionnaire on Environment Statistics, complemented with comparable statistics from OECD and Eurostat.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
			<p>Convention wastes that are reused, recycled and recovered (i.e. the quantities of wastes reused, recycled and recovered expressed as a percentage of total wastes generated)?</p> <p>7.5. If available, please provide examples of selected Basel Convention waste streams (e.g. e-waste, used lead-acid batteries, used oils, obsolete stocks of pesticides, PCBs, biomedical and healthcare wastes) that are generated or estimated to be generated and the actual or estimated percentage of waste that is</p>	<p><b>by the secretariat</b> (2011-2012): UNEP/CHW.11/INF/31; most recent: UNEP/CHW.13/INF/34: activities conducted and planned 2016-2017; for 2019 and 2020, documents prepared for COP-14 and internal secretariat data.</p> <p><b>- Report of the activities of the Basel and Stockholm conventions regional centres,</b> 2011- 2012): UNEP/CHW.11/INF/9; latest: UNEP/CHW.13/INF/29/Rev.1 , Annex II; for 2019, similar document for COP-14.</p> <p><b><i>The Methodological Guide for the Development of Inventories of Hazardous Wastes and Other Wastes under the Basel Convention,</i></b> UNEP/CHW.12/9/Add.1.</p> <p><b>Basel Convention Reporting Manuals:</b> <i>The manual for completing the format for national reporting,</i></p>	<p>need to compare a report of the latest activities up to 2019 along with baseline of 2011.</p> <p>Data readily available; to address the indicator, would need to compare a report of the latest activities up to 2019 along with baseline of 2011.</p> <p>Relevant to the indicator as a source of guidance or awareness-raising on inventories.</p> <p>Relevant to the indicator as a source of guidance or awareness-raising on national reporting, the main indicator.</p>	<p>aspects addressing the indicator. The lists are limited to those activities where the secretariat was involved.</p> <p>Need to canvass the lists for aspects addressing the indicator. The lists are limited to activities where the BCRCs were involved.</p> <p>Only one activity, but available to all Parties.</p> <p>Only 2 activities, they are key supports to enhancing the</p>	<p>Relevant source.</p> <p>Relevant source of guidance to promote the sustainable use of resources. Also relevant to sub-indicator 3.</p> <p>Relevant activities to be considered.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
			reused, recycled, recovered (including energy recovery) and/or finally disposed of.	<p>UNEP/CHW.13/INF/20/Rev.1 ; <i>the user manual for the electronic reporting system</i>, UNEP/CHW.13/INF/21</p> <p><b>Sub-indicator 2:</b></p> <p><b>-Number of Parties submitting texts of national legislation</b> and other regulatory measures to the secretariat for posting on Basel Convention website that require separation of hazardous and non-hazardous wastes</p>	The texts submitted are available online, assuming these texts indicate whether the separation is required.	<p>numbers for the main indicator.</p> <p>It would take substantial further research to determine whether legislation and regulations implementing Basel (or even other legislation, policies or programs not provided online) require separation of hazardous and non-hazardous wastes. The online texts are published in the language received and could need translation, and if translated, would need verification of the translation from the</p>	Possibly relevant source; difficult to use. Unless another source is developed/found in interim, the response to Question 7.1 in the original questionnaire will be the best source of this data for those responding.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>Sub-indicator 3:</b></p> <p>- <b>Annual national reports</b> for the years 2011 (baseline year) Question 5, Tables 8 and 8A (generation), Table 6 (export),<sup>14</sup> Table 7 (import), Table 9 (Disposals which did not proceed as intended) and for 2018, Question 5, Table 6 (generation); Table 4 (export),<sup>15</sup> Table 5 (import), Table 7 (Disposals which did not proceed as intended);</p>	Reporting format does not directly ask whether the Party has inventories, but Table 6 states: “if possible, upload detailed national statistics on the generation of wastes (optional)”.	<p>national focal points.</p> <p>The national reports only require information on disposal as it relates to imports and exports, not with respect to disposal of hazardous wastes or other wastes that are purely domestic. If one assumes that the provision of this data implies that a Party has inventories, then the responses provided in these tables can act as surrogates for this sub-indicator. Conversely, one</p>	Relevant source for indicating a Party has some form of inventory from which to supply data. Also constitutes a source to infer that non-reporting Parties may not have an inventory.

<sup>14</sup> Data on exports for disposal could be useful to obtain some data on disposal for those Parties of import not reporting, as was done in the *Waste Without Frontiers II* report, and conversely data on imports for disposal would be useful for those Parties of export not reporting.

<sup>15</sup> Data on exports for disposal could be useful to obtain some data on disposal for those Parties of import not reporting, and conversely data on imports for disposal would be useful for those Parties of export not reporting.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>Work of the ICC on specific submissions</b> of individual Party non-compliance for <b>non-reporting</b> where financing was provided to non-compliant Party to assist in the development of an inventory.</p> <p><b>Sub-indicator 4:</b></p> <p>- <b>Annual national reports</b> for the years 2011 (baseline year) Tables 6 and 7, and for 2018, Tables 4 and 5 (exports and imports; table identifies the recycling operation) Tables include the waste streams;</p>	<p>Available in reports of ICC</p> <p>Data readily available from national reports and can be totalled to find the percentage; relevant to the indicator.</p>	<p>could assume that non-reporting Parties (e.g. 50%) have no inventories.</p> <p>Requires examination of all pending cases and follow-up as to whether the inventory was completed. Does not provide information on all Parties</p> <p>50% of Parties do not report. Data limited to recycling, recovery etc only where a transboundary movement is involved.</p>	<p>Relevant, if limited source. Could augment information from national reports.</p> <p>Relevant source for Convention waste streams subject to TBMs which are reused, recycled or recovered.</p>



<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p><b>UN Statistics Division Data on Hazardous Waste Recycling<sup>16</sup> 1990-2015</b></p>	Data available for 75 countries for HW recycling not necessarily related to a TBM. Addresses indicator, which does not limit it to recycling related to TBMs, and to objective, which focuses on enhancing and promoting the sustainable use of resources.	Covers only 75 countries; does not address specific waste streams; as with BC data, some issues are noted about accuracy or comparability of data due to different national circumstances.	Relevant source that provides a broader picture of all reported recycling but does not specify waste streams.
				<p><b>Data collected for SDG global indicators 12.4.2<sup>17</sup> and 12.5.1<sup>18</sup></b> (currently the methodology for these indicators are under development by the custodian agency and are expected to be available in 2019)</p>	Not available at this time.	N/A	Worth checking in 2019/2020 as to whether the data is available and relevant.

<sup>16</sup> <https://unstats.un.org/unsd/envstats/qindicators.cshml> . This data uses OECD data for 9 OECD countries, Eurostat data for 32 European countries, with the rest of the data coming from country responses to the 2016 biennial UNSD/UNEP questionnaire.

<sup>17</sup> 12.4.2: Hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment.

<sup>18</sup> 12.5.1: National recycling rate, tons of material recycled.

<p><b>Goal 3</b> Promoting the implementation of ESM 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</p>	<p><b>3.1</b> 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</p>	<p>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</p>	<p>Does your country have a national sustainable development plan or strategy?</p> <p>8.1. Has your country integrated waste and hazardous waste issues into this plan or strategy?</p>	<p>- <b>Annual national reports</b> for the years 2011 (baseline year) Questions 5 and 6; and for 2018, Questions 5 and 6;</p> <p><i>International Cooperation and Coordination</i>, Decision BC-13/16, para 7: <i>Further requests</i> the secretariat, subject to the availability of resources, to assist Parties upon request in their efforts to integrate relevant elements of the conventions into their national sustainable development plans<sup>19</sup> and strategies;</p> <p>- The <b>voluntary reports</b> by countries being submitted to the <b>high level political forum</b> on sustainable development.<sup>20</sup></p>	<p>Q. 5 and 6 for national reports do ask about policy measures for other purposes and the integration of waste issues into national SDS could be mentioned.</p> <p>Directly on point with the indicator, but decision 13/6 is subject to Parties requesting it and to the availability of funds.</p> <p>The guidelines for these reports contain section 5.b relating to national sustainable development strategies, and in section 6 to the SDGs themselves, including SDG 12. The synthesis report for 2017 illustrates how, in general, reporting countries have tried to integrate the</p>	<p>Not directly asked in Q. 5 and 6.</p> <p>At the time the strategic framework was developed, the MDGs were in place; now the SD Agenda for 2030 has replaced it. By 2019/20 there will likely be minimal information available through this decision.</p> <p>These reports are voluntary and have not been received from all Basel Parties (43 reports from all UN member states in 2017). Despite the</p>	<p>Although relevant data could be found in these sections of the national report, would take some time to review each report and evaluate.</p> <p>Directly relevant to indicator, but the document the secretariat provides in 2019 for COP-14 could be easily updated in 2020 in advance of 2021 COP.</p> <p>Source not likely to have relevant information but synthesis report of 2019 could be easily scrutinized to check instead of reading all</p>
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<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
					SDGs into national plans, strategies and programmes, but this is not mentioned specifically for the waste indicator in the synthesis under SDG 12.	guidelines, there is variability in what has been reported and how. The synthesis does not provide any insights on the integration of wastes into national SDGs, and its narrative re SDG 12 is primarily qualitative in nature.	reports. Source retained since so few sources for this indicator.
	<b>3.2</b> 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.	Number of activities on common issues undertaken by the bodies under the three Conventions.	Have you or a representative of your country participated or do you anticipate participating in any joint activities on common issues undertaken by the bodies under the Basel, Rotterdam and Stockholm conventions e.g.	<b>- Reports on implementation of the Conventions' programmes of work and budgets:</b>  - UNEP/CHW.10/27/Add.1, Proposed cross-cutting and joint activities for possible inclusion in the programmes of work of the three conventions for 2012-2013 (first COP after omnibus decision adopted). - UNEP/CHW.12/INF/45, Report on the implementation of joint and convention-	Information readily available to count relevant activities. The indicator is broad enough to encompass all joint activities among the three Conventions.	There is a large degree of subjectivity in the selection of activities from these long lists.	Data relevant to the indicator is possible if the lists are screened using the words in the Goal that the focus should be on those common activities that

<sup>19</sup> Although the indicator refers to “national development plans or strategies”, the objective refers to “national **sustainable** development strategies and plans for sustainable livelihood”, as does the request from COP-13.

<sup>20</sup> These are found at : <https://sustainabledevelopment.un.org/vnrs/>, along with voluntary common reporting guidelines for voluntary national reviews, and a synthesis of the national reports by SDG goal.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	<u>Corresponding questions in the questionnaire<sup>2</sup></u>	<u>Additional sources of information</u>	<u>Data availability/ Applicability to indicator</u>	<u>Data limitations</u>	<u>Conclusions about the Source</u>
			<p>synergies workshops, training on two or more of the conventions, etc.?</p>	<p>specific activities contained in the 2014–2015 programme budgets of the Basel, Rotterdam and Stockholm conventions</p> <ul style="list-style-type: none"> <li>- UNEP/CHW.13/26, Annex, List of proposed activities included in the programme of work for the biennium <b>2018-19</b>, includes joint activities. Examples of separate COP decisions carrying through joint activities: <ul style="list-style-type: none"> <li>-BC-13/19: Clearing-house Mechanism for Information Exchange where the secretariat was requested to start the work to implement the strategy of the joint CHM found in document UNEP/CHW.13/47</li> <li>-BC-13/21: Synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes</li> <li>-BC-13/22: From science to action</li> </ul> </li> </ul> <p><b><i>Report on the overall review of the synergies arrangements,</i></b> UNEP/CHW.13/INF/43, which includes a review of the implementation and impact at all levels of categories of joint</p>	<p>This document addresses the issue of impact of the common activities and is relevant to the indicator.</p>	<p>This provides an assessment of the impact of joint activities over time, but there is no similar assessment to</p>	<p>promote the implementation of the ESM of hazardous wastes and other wastes</p> <p>This document may help narrow the focus of the rather lengthy, broad lists of activities provided above.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
				<p>activities<sup>21</sup> (see pp 3-12); welcomed by BC-13/18, para 1.</p> <p><b>Linkages between the Basel and Stockholm agendas on POPs waste issues:</b> SC-8/7: <i>Measures to reduce or eliminate releases from wastes</i><sup>22</sup> references BC-13/4,<sup>23</sup> which adopted several technical guidelines on POPs; BC-13/17: <i>Work programme of the Open-ended Working Group for the biennium 2018-19</i>, section II.A.2 on POPs listed by decisions SC-8/10, 8/11 and 8/12.</p> <p><b>-Capacity-building and training activities conducted by the secretariat</b> (2011-2012): UNEP/CHW.11/INF/31; most recent: UNEP/CHW.13/INF/34: activities conducted and planned 2016-2017; for COP-14 in 2019, similar document, and in 2020 secretariat data to that point</p>	<p>Deals directly with a joint activity on a substantive policy and technical issue between the Basel and Stockholm on POPs wastes that should be counted as one of the activities relevant to the indicator.</p> <p>This provides a list of activities from which a numerical count of common activities can be extracted.</p>	<p>compare for 2011.</p> <p>None.</p> <p>There is a large degree of subjectivity in the selection of activities from these long lists.</p>	<p>Relevant source.</p> <p>Data relevant to the indicator is possible if the lists are screened using the words in the Goal that the focus should be on those common activities that</p>

<sup>21</sup> For purposes of that review, joint managerial functions were considered different from “joint activities” and the same interpretation was therefore given to the word “activities” in the indicator.

<sup>22</sup> Para. 6 of the decision invites the appropriate bodies of the Basel Convention to undertake a number of tasks related to newly listed chemicals under the Stockholm Convention at its COP during the Triple-COP, including considering whether to update or develop specific new technical guidelines under the Basel Convention.

<sup>23</sup> UNEP/CHW.13/6/Add.1/Rev.1.

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>	Corresponding questions in the questionnaire <sup>2</sup>	Additional sources of information	Data availability/ Applicability to indicator	Data limitations	Conclusions about the Source
							promote the implementation of the ESM of hazardous wastes and other wastes