



BASEL CONVENTION

**Small Intersessional Working Group on the
strategic framework for the implementation
of the Basel Convention
Fourth meeting**

Online, 11, 13 and 14 December 2023 and 26–28 March 2024*
Agenda item 3

**Development of a renewed strategic framework
for the implementation of the Basel Convention**

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implementation of the Basel Convention¹**

Note by the Secretariat

I. Introduction

1. In paragraph 6 of its decision BC-16/1, on the strategic framework, the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal decided that a draft renewed strategic framework should be developed, taking into account the recommendations to improve the strategic framework for the period 2012–2021 developed by the small intersessional working group established in paragraph 6 of decision BC-13/1².
2. In paragraphs 7, 8 and 9 of decision BC-16/1, the Conference of the Parties respectively decided that the small intersessional working group would continue to work and be open to all Parties, inviting representation of the five regional groups of the United Nations, and to observers, including the Basel Convention regional and coordinating centres; invited Parties to nominate additional members to the small intersessional working group with specific knowledge and expertise in the evaluation of strategic plans, programmes, treaties or the national implementation of the Basel Convention; and invited Parties to consider serving as lead country in the development of the renewed strategic framework.
3. In paragraph 11 of decision BC-16/1, the Conference of the Parties requested the small intersessional working group to:
 - (a) Prepare a draft renewed strategic framework for consideration by the Open-ended Working Group at its fourteenth meeting;
 - (b) Prepare a revised renewed strategic framework, for consideration and possible adoption by the Conference of the Parties at its seventeenth meeting, taking into account the outcome of the fourteenth meeting of the Open-ended Working Group.

* Supplementary sessions may take place as agreed by the small intersessional working group.

¹ This document has not been formally edited.

² UNEP/CHW.16/INF/5.

II. Implementation

4. Subsequent to the sixteenth meeting of the Conference of the Parties, additional members and observers were nominated to the small intersessional working group. Information on the current participation in the working group is available on the Basel Convention website³. Additionally, the Government of Canada offered to serve as lead country in the development of the renewed strategic framework. The Government of Japan generously provided financial support for a face-to-face meeting of the working group.

5. The small intersessional working group held informal consultations online on 11 October 2023 to launch its work and discuss its work plan. Following discussion at the first part of its fourth meeting taking place online on 11, 13 and 13 December 2023, the working group agreed to the work plan as set out in document UNEP/CHW/SF_SIWG.4/3/Rev.1.

6. A first draft of the renewed strategic framework plan was developed by Canada as the lead country in a table format including information for section III of the framework on the strategic goals and objectives and section V on indicators, as well as proposed sources of information and additional background information. Along with a timetable setting out dates and key milestones of a renewed strategic framework, the first draft was shared with working group members and observers on 18 October 2023 for comments by 10 November 2023. Comments were submitted by the member from France on behalf of the European Union and its member States, and by the observer from the Basel Convention Regional Centre for Training and Technology Transfer for Central Europe, Slovakia.

7. Subsequently a second draft of the renewed strategic framework was prepared by the lead country taking into account comments received on the first draft for consideration at the first part of the fourth meeting of the small intersessional working group in December 2023. The second draft was revised during the meeting as set out in annex I to document UNEP/CHW/SF_SIWG.4/2/Rev.1. In response to an invitation at the meeting, written comments on Strategic Goal 4 were submitted by 5 January 2024 by the members from China and Kenya and the observer from the Basel Convention Regional Centre for Training and Technology Transfer for Central Europe, Slovakia.

8. Subsequent to the first part of the fourth meeting of the working group, the lead country prepared a third version of the draft renewed framework which was sent to working group members and observers on 16 January 2024 for comments by 2 February 2024. Comments were submitted by the members from Argentina, China, France on behalf of the European Union and its member States and the United Kingdom of Great Britain and Northern Ireland.

9. The lead country subsequently prepared a fourth version of the draft renewed framework in table format for consideration at the second part of the fourth meeting of the working group taking place online on 26–28 March 2024, as set out in annex I to the present note. As per the submission from the lead country, this version identifies in comments the proponent of the textual proposals, and includes some comments from the lead country for consideration by the working group. The lead country also prepared the fourth draft of the renewed framework in the format of the original strategic framework, including sections I on vision, section II on guiding principles, section IV on means of implementation and section VI on evaluation, as set out in Annex II to the present note. A revised timetable of dates and key milestones of a renewed strategic framework, submitted by the lead country, to support the discussions on the renewed strategic framework is set out in the annex to document UNEP/CHW/SF_SIWG.4/INF/3.

III. Proposed action

10. The small intersessional working group may wish to consider the fourth draft of the renewed strategic framework set out in annexes I and II to the present note, taking into account the revised timetable of dates and key milestones set out in the annex to document UNEP/CHW/SF_SIWG.4/INF/3.

³ <https://www.basel.int/tabid/9695/Default.aspx>.

Annex I

Information for sections III and IV of the renewed strategic framework for the implementation of the Basel Convention in table format (fourth draft)

- III. Strategic goals and objectives
 IV. Means of implementation
 V. Indicators
 VI. Evaluation

III. Strategic goals and objectives and V. Indicators

Goal 1: Parties' implement their general overarching obligations			Note by the lead country to SIWG
Objectives	Indicators	Source of information	
Objective 1.1: National legislation to implement the obligations of the Basel Convention are in place and made available to all Parties.	1. <u>Number of Parties</u> that have legislation in place to implement the Convention available on the website of the Convention. 2. <u>Number of Parties, that have legislation in place to implement the ban, plastic waste, e-waste amendments, where applicable.</u>	National report ICC report Basel Convention website	The higher number of Parties is an indication of success.
Objective 1.2: National definitions of hazardous wastes, and prohibitions and other control measures for hazardous wastes and other wastes are made available to all Parties.	1. Number of Parties that have national definitions of hazardous wastes available on the Basel Convention website. 2. Number of Parties with prohibitions and other control measures of hazardous wastes and other wastes that has this information available on the Basel Convention website.	National report ICC report Basel Convention website	Article 3, Article 4.1a 1. The higher number of Parties is an indication of success. 2. The higher number of Parties is an indication of success. The number is measured among Parties that have prohibitions and other measures in place.
Objective 1.3: Competent authorities and focal points are designated and their information is made available to all Parties.	1. Number of Parties that have made available their competent authority information to all Parties.	National report ICC report Basel Convention website	Article 5

Commented [LC1]: Based on our analysis, percentages and numbers would convey similar information, as the number of Parties to the Convention is not expected to change significantly in the future. Generally, percentages are easier to interpret when numbers are subject to change, e.g. how many complete national reports submitted per year. To be discussed further amongst the SIWG if there is a desire to use numbers or percentages.

Commented [LC2]: Proposal based on comments submitted from Argentina and the EU.

Notes for consideration by SIWG:

- There was also a proposal to include the Liability Protocol, but as that has not entered into force it is not included.

-What would the sources of information be for these? The national report does not specifically ask about implementing legislation for these indicators. The implementing legislation for the amendments is not reported separately from the other legislation.

-Would the legislation for these amendments be covered by Indicator 1, as this applies to all legislation to implement the Convention. How can we remove this duplication?

-These would only be applicable to Parties who have ratified them.

	<p>2. Number of Parties that have made available their focal point information to all Parties.</p> <p>3. Number of Parties that have confirmed their contact information is up-to-date for their competent authority and focal point (between 2025–2031 or 2025–2035).</p>		<p>The higher number of Parties for both indicators is an indication of success.</p>
<p>Objective 1.4: National reports are transmitted and made available to all Parties.</p>	<p>1. Number of Parties that have transmitted their national report for each year (between 2025–2031 or 2025–2035).</p> <p>2. Number of Parties that have transmitted a complete and on-time national report for each year (between 2025–2031 or 2025–2035).</p>	<p>National report ICC report</p>	<p>Article 13</p> <p>The higher number of Parties for both indicators is an indication of success.</p>
<p>Objective 1.6: Guidance on the implementation of the Convention is available to all Parties.</p>	<p>1. Number of documents adopted providing guidance on the implementation of the Convention (e.g.illegal traffic, transit, national reporting) <u>available on the website of the Convention.</u></p> <p>2. Number of documents adopted providing guidance on definitions, interpretation and terminology of wastes covered by the Convention <u>available on the website of the Convention.</u></p>	<p>COP Decisions - Documents adopted by the Convention</p> <p>Basel Convention website</p>	<p>The higher number of documents is an indication of <u>success.</u></p>
<p>Objective 1.7: Measures to reduce the generation of hazardous wastes and other wastes are implemented.</p>	<p>1. Number of Parties that have measures in place to reduce the generation of hazardous wastes.</p> <p>2. Number of Parties that have measures in place to reduce the generation of other wastes.</p> <p>3. Amount of hazardous wastes and other wastes generated <u>per capita</u> between 2025–2031 or 2025–2035.</p>	<p>National report, question 5.</p> <p>National report, Table 6.</p>	<p>Article 4.2.a</p> <p>The higher number of Parties is an indication of success.</p> <p>A reduction in the amount of hazardous wastes and other wastes generated is an indication of success.</p>

Commented [LC3]: The UK as made the following proposal to indicator 1 and 2: insert "containing up to standard guidance " before adopted. We welcome more details from the UK on the meaning of this and how it would be assessed.

Commented [LC4]: Proposal by the EU+MS.
Consideration for the SIWG: What would the sources of information be? How would this be calculated, as this information is not contained in Table 6 of the national report.

Goal 2: Parties implement their obligations on transboundary movements of hazardous and other wastes			Note by the lead country to SIWG
Objectives	Indicators	Source of info	
Objective 2.1: PLACEHOLDER for a new or multiple objectives linked to the PIC process based on the outcome of the work conducted by the SIWG on PIC.	1. Number of transit Parties that respond to notifications within 60 days.		The higher number of Parties is an indication of success. A new source of information would be needed.
Objective 2.2: To prevent and [combat] [punish] illegal traffic in hazardous and other wastes.	1. Number of Parties with legislation in place to prevent illegal traffic. 2. Number of cases that have been closed. 3. Number of Parties with legislation in place to [combat] [punish] illegal traffic. 3-4. Number of capacity building activities conducted to prevent and combat illegal traffic. 5. Number of discrepancies detected in the number of cases of illegal traffic closed by Parties	Indicators 1, 2, 3: ICC National report, question 1c(ii) (currently optional), table 9, question 1c(iii) (currently optional), Indicator 4: ICC reports BCRC reports Plastic Waste Partnership Household Waste Partnership PACE II E-notification SIWG ENFORCE Indicator 5: Table 9 between the implicated Parties.	Article 4.3, 4.4, and 9.5 Question for SIWG - Would a higher amount of closed cases be a positive indicator? Would a low number of cases be a negative indicator? Some countries may have no cases and therefore report nothing.
Objective 2.3:	1. Number of exports occurring each year by Parties to the Convention between 2025–2031 or 2025–2035.	National report, Table 4.	Article 4.2.d

Commented [LC5]: Response based on comments received: Please note that the objectives are not in order of priority.

Commented [LC6]: Comments were submitted on this indicator. However, given that the work of the PIC SIWG is still ongoing and that they have yet to meet, it is proposed to leave this blank as a placeholder until the PIC SIWG advances its work.

Commented [LC7]: Proposal by the UK to add “combat” and keep both in brackets.

Commented [LC8]: Proposal by Argentina.

Commented [LC9]: Proposal by Argentina.

Consideration for SIWG: How does discrepancies in Table 9 showcase illegal traffic? Parties are also only required to report a case once it is “closed”, and some countries may close a case quicker than others. How can double counting be avoided, e.g. when a country reports a closed case years after the other country involved did?

To reduce transboundary movements of hazardous wastes and other wastes.	2. Number of Parties that have measures in place to reduce transboundary movements of hazardous wastes and other wastes.	National report, question 6	A reduction of the overall volumes of waste exported is an indication of success. <u>Indicator 2: The higher number of Parties that have measures in place to reduce transboundary movements of hazardous waste and other waste should be considered a success.</u>
Goal 3: Hazardous wastes and other wastes are managed in an environmentally sound manner by Parties			Note by the lead country to SIWG
Objectives	Indicators	Source of info	
Objective 3.1: Parties have legislation and other measures in place to require <u>ing</u> e that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere.	1. Number of Parties that have legislation to require <u>requiring</u> that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere in place. 2. Number of Parties that have measures in place at the national level to require that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere (e.g. protocol, guidance, procedure).	Not available	<u>Article 4.2</u> Article 4.8 The higher number of Parties is an indication of success for both indicators.
Objective 3.2: 3.2 Parties have access to disposal facilities for the environmentally sound management of hazardous wastes and other wastes.	1 bis Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (A). 1 ter Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (B). 1. Number of Parties that do not have disposal facilities as per Annex IV (A) or Annex IV (B) in their national jurisdiction, and export hazardous wastes and other wastes.	Not available National report, Table 2 and 3 Not available National report, Table 4 and 5	Article 4.2.b The higher number of Parties is an indication of success for both indicators. This objective requires further work and discussion amongst the SIWG. The lead country will prepare further documentation to support the discussions for the next virtual meeting. Comments would be welcome on this Objective.
Objective 3.3: The Convention provides guidance on the environmentally sound	1. Number of new and updated technical guidelines that have been adopted between 2025–2031/2035, or that are under development.	COP Decisions – technical guidelines adopted by the Convention.	Article 4.8 Measure for the effectiveness of the Convention.

Commented [LC10]: Proposal from UK

Commented [LC13]: Grammatical change

Commented [LC14]: Proposal by China. To be clarified how Article 4.2 applies.

Commented [LC11]: Note that China submitted the following:

Suggested revision: Parties have legislation and other measures in place to ensure require that hazardous wastes or other wastes, ~~to be exported,~~ are managed in an ESM manner in the State of import or elsewhere.

If this objective just focuses on the part that to be exported, another objective on the rest that to be disposed of domestically should be added. support the note on objective 3.1 below this table

Commented [LC12R11]: Lead Country response:

The language used in this objective is directly from 4.8, which is specifically only on exported waste. It was agreed at the previous meeting to align with the text from the Convention.

Please refer to objective 3.4, which applies more broadly and not just on exported waste.

management of wastes covered by the Convention.	<ol style="list-style-type: none"> 2. Number of new and updated technical guidelines that have been translated in the six UN language between 2025–2031/2035. 3. Number of waste streams <u>and disposal operations that have guidance-technical guidelines</u> on their environmentally sound management. 4. Number of priority waste streams that have guidance on their environmentally sound management. 5. Number of newly adopted or substantially updated technical guideline or guidance document disseminated to all Parties by the Secretariat, 6. A document or documents have been developed explaining how to use technical guidelines or guidance documents at the national level 		<ol style="list-style-type: none"> 1. The higher number of technical guidelines is an indication of success. 2. The higher number of documents translated is an indication of success. 3. The higher number of waste streams that have information is an indication of success. The number is measured relative to the total waste streams. 4. The higher number of priority waste streams is an indication of success. The number is measured relative to the total priority waste streams.
Objective 3.4: Hazardous wastes and other wastes are disposed of in an environmentally sound manner.	<ol style="list-style-type: none"> 1. The amount of hazardous wastes and other wastes that is <u>[disposed] [treated]</u> of between 2025–2031 or 2025–2035, by <u>[disposal operation] [type of treatment]</u> (SDG indicator 12.4.2 (b)). 2. <u>National recycling rate, tons of material recycled by type of treatment</u> (SDG indicator 12.5.1) 3. <u>Proportion of waste going for an operation in Annex IV.B compared to Annex IV.A between 2025–2031 or 2025–2035.</u> 4. <u>Number of reported cases of disposals that did not proceed as intended or accidents that occurred during a transboundary movement of hazardous waste or other waste between [2025-3031] [2025-2035]</u> 	<p><u>Indicator 1:</u> Partial information would be available from Tables 4 and 5 of the national reports. This would only cover hazardous wastes and other wastes subject to transboundary movement.</p> <p><u>Indicator 2:</u> Source TBD</p> <p><u>Indicator 3:</u> Tables 4 and 5</p> <p><u>Indicator 4:</u> National report, Tables 7 and 8</p>	<p>Question for SIWG: Would an increase or decrease represent success? A number may mean that more waste is generated, or it could indicate that more waste is being managed in an ESM manner, if the amount of waste generated stays constant.</p> <p><u>To be discussed if more waste going to Annex IV.B operations would be an indication of success, taking into account the waste hierarchy.</u></p>
Goal 4: Collaboration and other capacity building			Note by the lead country to SIWG
Objectives	Indicators	Source of info	
Objective 4.1: To promote cooperation with national, regional and international bodies, in particular cooperation and	1. The number of decisions adopted by the Basel Convention that call for cooperation or invite action from the Stockholm, Rotterdam, or Minamata Conventions or other relevant international bodies or instruments.	COP Decisions Basel Secretariat	

Commented [LC15]: Based on comments submitted by Argentina.

Commented [LC16]: EU proposal.
To be discussed as “treated” is a departure from Basel Convention terminology.

Commented [LC19]: Based on proposal from Argentina

Commented [LC17]: Proposal by Argentina. To be discussed if this would be captured by Indicator 1.

Commented [LC18]: Proposal by Argentina.

Commented [LC20]: Argentina suggested one indicator for synergies between BRS only and then a different indicator for all other MEAs, e.g. Minamata, Montreal protocol, etc. I think this would replace the current indicators because otherwise it would repeat itself?

<p>coordination between the Basel, Rotterdam and Stockholm conventions, to improve environmental and working conditions through the environmentally sound management of hazardous and other wastes.</p>	<p>2. The number of decisions adopted by the Stockholm, Rotterdam, or Minamata Conventions or other relevant international bodies or instruments calling for cooperation or invites action from the Basel Convention.</p>		
<p>Objective 4.2: The Convention supports developing countries, countries with economies in transitions, small island developing States and regional and coordinating centerscentres in delivering activities for the environmentally sound management of hazardous wastes and other wastes.</p>	<p>1. Number of projects and activities supporting the environmentally sound management of hazardous wastes and other wastes funded by the Convention, including pilot projects, <u>technology transfer, and technical assistance</u>, per region.</p> <p>2. Number of countries which benefit from the projects identified indicator 1, <u>by UN region</u>.</p> <p>3. Number of capacity-building activities conducted to prevent and <u>combat</u> <u>punish</u> illegal traffic.</p> <p>4. Number of COP decisions adopting a new or a substantially updated technical guideline, or guidance documents that include Secretariat cooperation with the regional and coordinating centres under the Basel Convention (BCRCs) and provide the means of dissemination, learning and use of such technical guideline or guidance document.</p>	<p>BCRC reports Plastic Waste Partnership Household Waste Partnership PACE II ENFORCE</p>	<p>Language related to Indicator 3 will be aligned with the final language elsewhere in the Strategic Framework, such as from Objective 2.2 (where this indicator originally came from).</p>
<p>Objective 4.3: The Convention supports developing countries, countries with economies in transitions, small island developing States and regional and coordinating centres in implementing the <u>PIC procedure provisions of the Basel Convention</u>.</p>	<p>1. Number of projects and activities <u>funded by the Convention and supporting implementation into national legislation of the PIC procedure provisions of the Basel Convention, such as the PIC procedure or on illegal traffic funded by the Convention</u>, per region.</p> <p>2. Number of countries which benefit from the projects identified in indicator 1, <u>by UN region</u>.</p>	<p><u>ICC reports</u> BCRC reports Plastic Waste Partnership Household Waste Partnership PACE II E-notification SIWG</p>	

Commented [LC21]: Comment from Argentina. To be discussed if this duplicates with the current indicators.

Suggested to consider a new indicator:

number of activities in synergy between the 3 Conventions.
of activities in cooperation with other bodies (for example, Montreal Protocol (BC-16/22), Minamata etc.
Source of information may be the Reports from Secretariat.

The implementation of the BC in the indicators 1 and 2 proposed should be reflected.

Commented [LC22]: Argentina proposal

Commented [LC23]: Lead country proposal

Commented [LC24]: Argentina proposal

Commented [LC26]: EU proposals

Commented [LC25]: EU proposal

Annex II

Strategic framework for the implementation of the Basel Convention for [2025–2031] [2025–2035]

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.

Commented [LC27]: Not to be modified as this is outside the COP mandate

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.

Commented [LC28]: Not to be modified as this is outside the COP mandate

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: Parties' implement their general overarching obligations

Objective 1.1: National legislation to implement the obligations of the Basel Convention are in place and made available to all Parties.

Objective 1.2: National definitions of hazardous wastes, and prohibitions and other control measures

for hazardous wastes and other wastes are made available to all Parties.

Objective 1.3: Competent authorities and focal points are designated and their information is made available to all Parties.

Objective 1.4: National reports are transmitted and made available to all Parties.

Objective 1.6: Guidance on the implementation of the Convention is available to all Parties.

Objective 1.7: Measures to reduce the **generation** of hazardous wastes and other wastes are implemented.

B. Goal 2: Parties implement their obligations on transboundary movements of hazardous and other wastes

Objective 2.1: PLACEHOLDER for a new or multiple objectives linked to the PIC process based on the outcome of the work conducted by the SIWG on PIC.

Objective 2.2: To prevent and [combat] [punish] illegal traffic in hazardous and other wastes.

Objective 2.3: To reduce transboundary movements of hazardous wastes and other wastes.

C. Goal 3: Hazardous wastes and other wastes are managed in an environmentally sound manner by Parties

Objective 3.1: Parties have legislation and other measures in place ~~to require~~ that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere.

Objective 3.2: Parties have access to **disposal facilities** for the environmentally sound management of hazardous wastes and other wastes.

Objective 3.3: The Convention provides guidance on the environmentally sound management of wastes covered by the Convention.

Objective 3.4: Hazardous wastes and other wastes are disposed of in an environmentally sound manner.

D. Goal 4: Collaboration and other capacity building

Objective 4.1: 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.

Objective 4.2: The Convention supports developing countries, countries with economies in transitions, small island developing States and regional and coordinating ~~centers~~ **centres** in delivering activities for the environmentally sound management of hazardous wastes and other wastes.

Objective 4.3: The Convention supports developing countries, countries with economies in transitions, small island developing States and regional and coordinating centres in implementing the ~~PIC procedure~~ **provisions of the Basel Convention**.

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

Commented [LC29]: General discussion at the meeting of March 26-28 on the mean of implementation.

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

Indicators:

- Number of Parties that have legislation in place to implement the Convention available on the website of the Convention.
- [Number of Parties, that have legislation in place to implement the plastic waste, e-waste, and ban amendments, where applicable.](#)

Goal 1

Objective 1.2

Indicators:

- Number of Parties that have national definitions of hazardous wastes available on the Basel Convention website.
- Number of Parties with prohibitions and other control measures of hazardous wastes and other wastes that has this information available on the Basel Convention website.

Goal 1

Objective 1.3

Indicators:

- Number of Parties that have made available their competent authority information to all Parties.
- Number of Parties that have made available their focal point information to all Parties.
- Number of Parties that have confirmed their contact information is up-to-date for their competent authority and focal point (between 2025–2031 or 2025–2035).

Goal 1

Objective 1.4

Indicators:

- Number of Parties that have transmitted their national report for each year (between 2025–2031 or 2025–2035).
- Number of Parties that have transmitted a complete and on-time national report for each year (between 2025–2031 or 2025–2035).

Goal 1

Objective 1.6

Indicators:

- Number of documents adopted providing guidance on the implementation of the Convention (e.g. illegal traffic, transit, national reporting) [available on the website of the Convention.](#)
- Number of documents adopted providing guidance on definitions, interpretation and terminology of wastes covered by the Convention [available on the website of the Convention.](#)

Goal 1**Objective 1.7**

Indicators:

- Number of Parties that have measures in place to reduce the generation of hazardous wastes.
- Number of Parties that have measures in place to reduce the generation of other wastes.
- Amount of hazardous wastes and other wastes generated per capita between 2025–2031 or 2025–2035.

Goal 2**Objective 2.1**

Indicators:

- Number of transit Parties that respond to notifications within 60 days.

Goal 2**Objective 2.2**

Indicators:

- Number of Parties with legislation in place to prevent illegal traffic.
- Number of Parties with legislation in place to combat punish illegal traffic.
- Number of cases that have been closed.
- Number of capacity building activities conducted to prevent and combat illegal traffic.
- Number of discrepancies detected in the number of cases of illegal traffic closed by Parties

Goal 2**Objective 2.3**

Indicators:

- Number of exports occurring each year by Parties to the Convention between 2025–2031 or 2025–2035.
- Number of Parties that have measures in place to reduce transboundary movements of hazardous wastes and other wastes.

Goal 3**Objective 3.1**

Indicators:

- Number of Parties that have legislation to require that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere in place.
- Number of Parties that have measures in place at the national level to require that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the State of import or elsewhere (e.g. protocol, guidance, procedure).

Goal 3**Objective 3.2**

Indicators:

- bis Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (A).
- ter Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (B).
- Number of Parties that do not have disposal facilities as per Annex IV (A) or Annex IV (B) in their national jurisdiction, and export hazardous wastes and other wastes.

Goal 3

Objective 3.3

Indicators:

- Number of new and updated technical guidelines that have been adopted between 2025–2031/2035, or that are under development.
- Number of new and updated technical guidelines that have been translated in the six UN language between 2025–2031/2035.
- Amount of hazardous wastes and other wastes generated per capita between 2025–2031 or 2025–2035.
- Number of waste streams and disposal operations that have guidance-technical guidelines on their environmentally sound management.
- Number of priority waste streams that have guidance on their environmentally sound management.
- Number newly adopted or substantially updated technical guideline or guidance document disseminated to all Parties by the Secretariat.
- A document or documents have been developed explaining how to use technical guidelines or guidance documents at the national level

Goal 3

Objective 3.4

Indicators:

- The amount of hazardous wastes and other wastes that is [disposed] [treated] of between 2025–2031 or 2025–2035, by [disposal operation] [type of treatment] (SDG indicator 12.4.2 (b)).
- National recycling rate, tons of material recycled by type of treatment (SDG indicator 12.5.1)
- Proportion of waste going for an operation in Annex IV.B compared to Annex IV.A between 2025–2031 or 2025–2035.
- Number of reported cases of disposals that did not proceed as intended or accidents that occurred during a transboundary movement of hazardous waste or other waste between [2025–3031] [2025–2035]

Goal 4

Objective 4.1

Indicators:

- The number of decisions adopted by the Basel Convention that call for cooperation or invite action from the Stockholm, Rotterdam, or Minamata Conventions or other relevant international bodies or instruments.
- The number of decisions adopted by the Stockholm, Rotterdam, or Minamata Conventions or other relevant international bodies or instruments calling for cooperation or invites action from the Basel Convention.

Goal 4

Objective 4.2

Indicators:

- Number of projects and activities supporting the environmentally sound management of hazardous wastes and other wastes funded by the Convention, including pilot projects, technology transfer, and technical assistance, per region.
- Number of countries which benefit from the projects identified indicator 1, by UN region.
- Number of capacity-building activities conducted to prevent and [combat] [punish] illegal traffic.
- Number of COP decisions adopting a new or a substantially updated technical guideline, or guidance documents that include Secretariat cooperation with the regional and coordinating centres under the Basel Convention (BCRCs) and provide the means of dissemination, learning and use of such technical guideline or guidance document.

Goal 3**Objective 4.3**

Indicators:

- Number of projects and activities funded by the Convention and supporting implementation into national legislation of the PIC procedure provisions of the Basel Convention, such as the PIC procedure or on illegal traffic funded by the Convention, per region.
- Number of countries which benefit from the projects identified in indicator 1, by UN region.

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.

Commented [LC30]: General discussion at the meeting of March 26-28 on the mean of implementation.