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

Geneva, 28 April–10 May 2013

Item 4 (a) (ii) of the provisional agenda*

**Matters related to the implementation of the Convention:
strategic issues: strategic framework**

**Report on the creation of a baseline for the mid-term and final
evaluations of the strategic framework**

Note by the Secretariat

As referred to in document UNEP/CHW.11/4 on the report on progress on the implementation of the strategic framework, the annex to the present note contains a report on the creation of a baseline for the mid-term and final evaluations of the strategic framework of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, prepared by Duncan Bury Consulting. The annex to the present note has not been formally edited.

* UNEP/CHW.11/1.

Annex

Report on the creation of a baseline for the mid-term and final evaluations of the strategic framework

**PREPARED FOR
THE SECRETARIAT OF THE BASEL CONVENTION**

18 FEBRUARY 2013



1. INTRODUCTION

The Strategic Framework for the Implementation of the Basel Convention for 2012 – 2021 was adopted by parties at the tenth meeting of the Conference of the Parties (COP 10) in October 2011 and provides a path forward for the growth and sustainability of the Basel Convention and a means to assess and improve the Convention's effectiveness.

Further to the adoption of the Framework, the Secretariat of the Basel Convention is required to prepare reports on the continued relevance of and progress in relation to the Strategic Framework for the purpose of mid-term and final evaluations of the Framework, to be considered by the Conference of the Parties at its thirteenth and fifteenth meetings respectively. The evaluations are to commence with the establishment of a baseline using information provided by parties in response to a questionnaire and by utilizing information submitted by parties as part of their national reporting obligations (as set out in Article 13 (3) of the Convention). A consultant was hired to assist the Secretariat in this undertaking and to prepare a report on the creation of a baseline for consideration by the Conference of the Parties at its eleventh meeting.

2. STRATEGIC FRAMEWORK EVALUATION

COP 10, Decision BC-10/2

The Strategic Framework was adopted through Decision BC-10/21. Parties committed to strengthening the Basel Convention's fundamental tenets regarding the protection of human health and the environment through the control of transboundary movements of hazardous and other wastes. They also committed to taking action to ensure that the necessary capacity exists to manage such wastes in an environmentally sound manner in order to meet sustainable livelihood objectives and the Millennium Development Goals.

Decision BC-10/2 and its annex articulates a clear set of principles to guide the implementation of the Strategic Framework and a roadmap for how the Basel Convention can be strengthened over time. Decision BC-10/2 was taken with due regard to building strategic partnerships as a key element in identifying and mobilizing support for the Basel Convention and with reference to the cooperation and coordination among the Basel, Rotterdam and Stockholm conventions. Implementation will be guided by the recognition that parties to the Convention are at varying levels of development and that attaining the goals and objectives requires adequate capacity and resources particularly in developing countries, countries with economies in transition and in small island states. Decision BC-10/2 also states that "the implementation of the strategic framework will require increased individual and collective efforts, including the mobilization of resources from within parties and through international cooperation" (Decision BC-10/2 Annex IV 6).

Decision BC-10/2 also requests the Secretariat, assisted by Parties, to prepare reports on the continued relevance of and progress in relation to the Strategic Framework for the purpose of mid-term and final evaluations of the Framework. To this end, the Secretariat was requested, on the basis of information submitted by Parties to the Secretariat by 31 December 2012 for the year 2011, to create a baseline for the abovementioned evaluations of the Strategic Framework.

OEWG 8, Decision OEWG-8/1

At the eighth meeting of the Open-ended Working Group, Parties were advised by the Secretariat that, due to a delay in receipt of funding, the format to collect baseline information from Parties for the evaluations of the Framework had not yet been developed. Several Parties at that meeting underlined the importance of developing a robust baseline for analysing implementation of the Strategic Framework and expressed concern that the delay in developing the format would leave Parties with limited time to provide the requisite information to the Secretariat.

OEWG-8 thus adopted decision OEWG-8/1 which requested the Secretariat, on the basis of the 2011 data provided by Parties, to prepare a report on the creation of a baseline (as opposed to a baseline report) for the mid-term and final evaluations of the Strategic Framework for consideration by the Conference of the Parties at its eleventh meeting.

¹ Decision BC-10/2 on the Strategic framework for the implementation of the Basel Convention for 2012-2021 is available at: <http://archive.basel.int/meetings/cop/cop10/documents/28e.pdf> (pp.25-30)

Strategic Framework – goals, objectives, indicators

The Strategic Framework recognizes the waste management hierarchy and the use of waste management policy tools, and establishes strategic goals and objectives. It also recognizes that regional and coordinating centres, involvement of relevant stakeholders and international cooperation as set out in Article 10 of the Basel Convention will be of particular importance in the attainment of the goals and objectives.

The Strategic Framework also establishes a number of indicators, based on the goals and objectives, to facilitate the measurement of implementation of the Framework. These indicators form the basis for the evaluation.

A summary table showing the relationship between the Strategic Framework goals, objectives and indicators is shown in Annex 1.

Report on the creation of a baseline

Decision BC-10/2 identified the need to track and evaluate the continued relevance and progress in the implementation and effectiveness of the Strategic Framework over the course of its 10 year life until 2021. The decision invited parties to provide information for the year 2011 to the Secretariat by 31 December 2012 in order to create a baseline² for the evaluation. In addition a commitment was made to a mid-term evaluation of the Framework to be considered by the Conference of the Parties at its thirteenth meeting in 2017 and a final evaluation at its fifteenth meeting in 2021.

The preparation of a report on the creation of a baseline is a critical first step and essential for allowing a subsequent measurement of progress on the goals and objectives over the 10 year period. Having an accurate picture of the situation in 2011 will facilitate an accurate tracking of implementation of the Basel Convention and the growth of capacity and performance by the parties over time. The mid-term evaluation will be able to assess progress against the baseline and possibly, if necessary, make adjustments to the Framework and biennial work programs to help ensure that the longer term goals and objectives will be met by 2021. The final evaluation will be able to cast back to the original baseline and assess the progress of the Framework from its initiation to its final year.

3. QUESTIONNAIRE DEVELOPMENT AND ADMINISTRATION

Development of the questionnaire

As noted above, the Framework contains a number of indicators which are specifically linked through the objectives to the three goals. Guided by the indicators, a number of questions were developed which were then formatted into an on-line web-based questionnaire. The questions were organized and presented with their links to the Framework objectives explicitly identified and were designed for ease of response through the use of yes/no answers. A number of questions asked for examples or more detailed responses and in a couple of cases quantitative answers were elicited. The questionnaire concluded with questions which invited open-ended responses of a more general nature.

A full copy of the questionnaire with its introductory preamble is included in Annex 2.

Questionnaire administration including reminders and deadline extensions

The questionnaire was distributed by the Basel, Rotterdam and Stockholm Conventions Secretariat to the Basel Convention focal points on 8 November, 2012 and copied to the relevant Permanent Missions to the United Nations in Geneva. A number of follow ups were made in response to out of date email addresses. The deadline of 31 December 2012 was set for reply in keeping with the direction from the COP 10 Decision BC-10/2. Parties were therefore given approximately 8 weeks to respond.

As the deadline approached a reminder notice was sent on 11 December 2012 to the focal points encouraging a response by the due date. In January the number of responses was reviewed and because of the small number received a decision was taken to extend the deadline until 31 January 2013. A reminder message and notification of the extension to the questionnaire response deadline was sent out on 4 January 2013. This notice included a clear message that responding to the questionnaire was important and that the provision of information to assist in the evaluation of the Framework was agreed to by parties at COP 10.

² Decision OEWG-8/1 requests the Secretariat to prepare a report on the creation of a baseline for consideration by the Conference of the Parties at its eleventh meeting.

In response to some difficulties attributable to the questionnaire software in answering some of the questions on-line which required data to be submitted – e.g. question 7.5, assistance was provided to respondents by the Secretariat. It is unlikely however that these difficulties had any significant influence on the total number of responses.

Number of responses and qualifications on data and interpretation of responses

Despite the efforts described above, by 13 February 2013, only 21 completed and submitted responses were received. The response rate was disappointing particularly given the decisions of the parties at COP 10 and the express invitation to submit information for the Strategic Framework exercise. The responses represented a cross section of the UN regions but the number only represents 12% of the Basel Convention parties. While the responses submitted provide valuable information, caution must be expressed in interpreting the information and deriving conclusions from them. Parties who responded to the questionnaire are listed in Annex 3.

To supplement information received through the questionnaire, information was sought from the annual country reports and specifically from 92 country fact sheets derived from them. The fact sheets were updated in January 2013. The review of the fact sheets concentrated on the summaries of information on reduction and/or elimination of hazardous waste generation and on transboundary movement reduction measures. The country reports do not address most of the issues related to the Strategic Framework which was why a special questionnaire was prepared and administered but they do provide some general insights of relevance to the Framework.

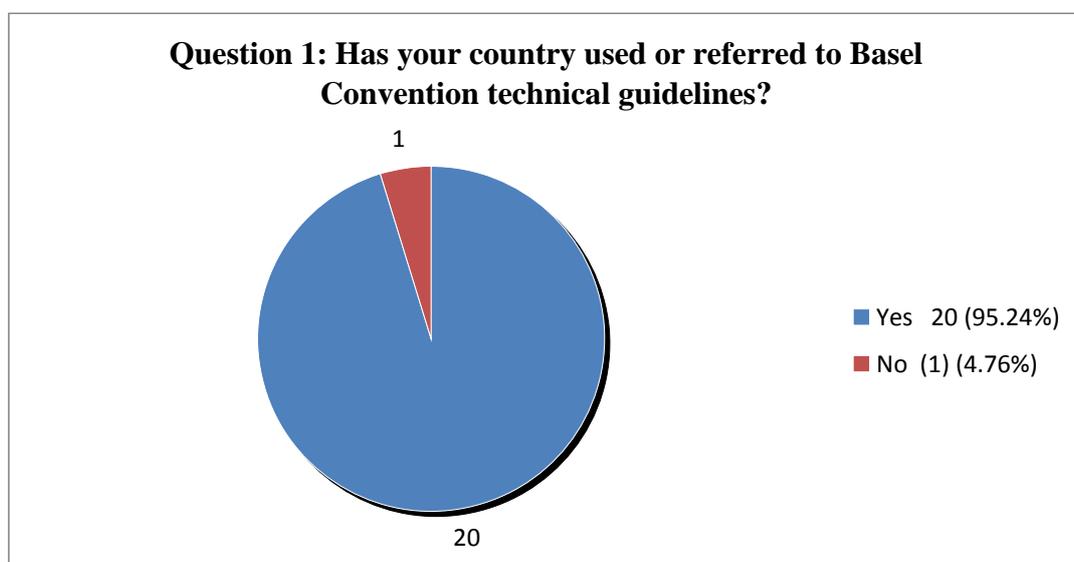
4. ANALYSIS OF QUESTIONNAIRE RESPONSES

Responses to the questionnaire were grouped and analysed according to the Strategic Framework goal that each question addressed. Particular attention was paid to the responses to the key main section questions (e.g. Questions 1., 2. etc.) which were then elaborated on by sub-questions (e.g. Questions 2.1, 2.2; 5.1.1 etc.). Responses were plotted graphically by the questionnaire software. Responses to the more open ended concluding questions were reviewed for common issues and comments.

Goal 1 – Effective implementation of obligations on transboundary movements (Questions 1 – 2)

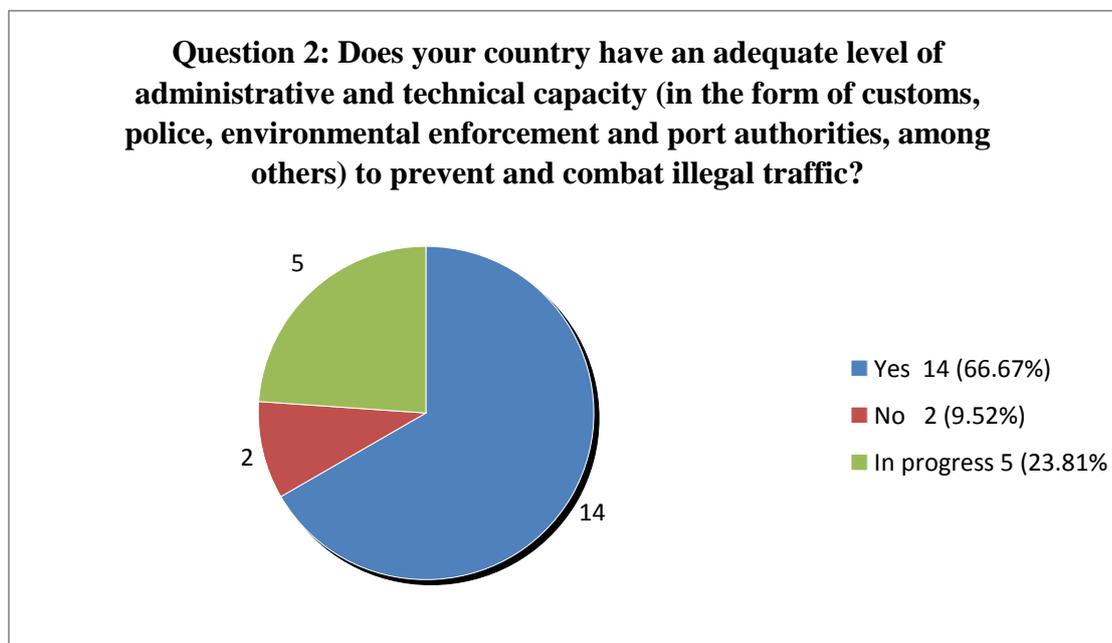
Question 1

The Basel Convention has developed and adopted a number of technical guidelines on the environmentally sound management (ESM) of wastes over the years covering a wide variety of specific waste and waste reduction issues related to particular materials and products (e.g. persistent organic pollutants wastes, mercury, used tires, and electronic wastes). The guidelines are a core part of the Basel Convention's mission to ensure ESM of hazardous and other wastes and to promote best practices. The responses to Question 1 indicate that 95% of the respondents use or refer to technical guidelines. Despite the small overall questionnaire response the fact that almost all respondents reported using the guidelines speaks well to their general usefulness.



Question 2

The ability to fully and properly undertake the obligations of the Basel Convention regarding transboundary movements is to a significant degree built upon the capacity to manage and enforce the Basel Convention and national transboundary movement regulations. Responses to Question 2 (see below) on administrative and technical capacity in the form of customs, police, environmental enforcement, port authorities and others to prevent and combat illegal traffic, show that there is a significant difference between the developing countries, economies in transition and other parties.



Seven parties from developing countries and economies in transition, representing 33% of the respondents, indicated that they did not have sufficient capacity or that the capacity building was in progress. An identical pattern of responses to those received from Question 2 was demonstrated on Question 2.1 which asked about judicial capacity to deal with cases of illegal traffic. Seven respondents representing developing countries and economies in transition indicated that they did not have judicial capacity or that the capacity building was in progress.

The distinction between the respondents in this area was also demonstrated in Question 2.4.1 which asked for the number, or estimated number of controls and inspections which were carried out in 2011. Some responding parties indicated that they had the capacity but had not actually conducted any controls or inspections during the period. The responses are summarized in the following table (Table 1.).

TABLE 1 Controls and Inspections

NUMBER/ESTIMATE OF CONTROLS AND INSPECTIONS (Q 2.4.1)			
Party	Number/estimated controls and inspections	Controls and inspections but no data	No controls and inspections
Antigua and Barbuda			x
Austria	400		
Belize			x
Canada	331		
Chad	4		
Estonia	420		
Germany	20,000		
Greece	2		
Guatemala		x	
Ireland	3,096		
Japan		x	
Kenya	20		
Lithuania	200		
Madagascar	10		
Maldives			x
Mauritius			x
Montenegro	12		
Norway	250		
Rwanda	300		
Slovakia		x	
United Kingdom		x	

Question 2.4.1 also demonstrates a wide range in the number of controls and inspections between parties although the questionnaire did not allow for an analysis of what these distinctions represent.

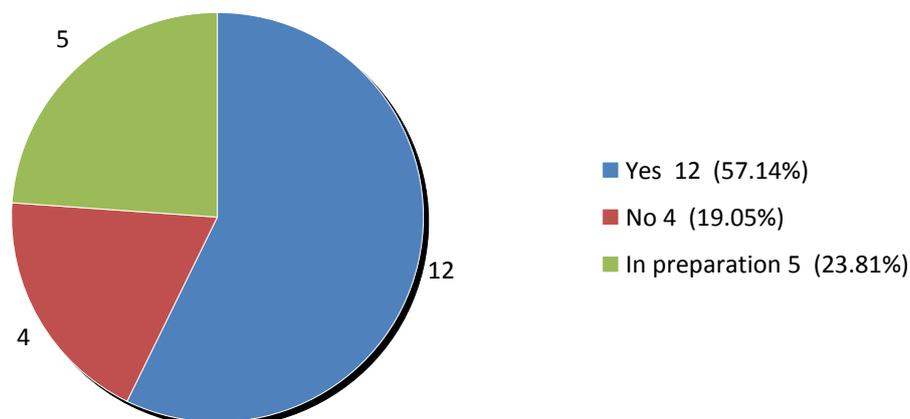
Question 2.2 asked about the development, execution or contribution to the development and implementation of training programs in support of controls and inspections. The training undertaken by respondents was varied in scope and in a number of occasions was conducted cooperatively with other parties and stakeholders on a regional basis and/ or utilized the resources available from a Basel regional centre and other such organizations. Training was often provided collectively to a range of regulatory officials and to different government agencies and departments. Responses indicated a need in this area with only 57% of respondents (12 respondents) indicating that they had such programs. Again, as with Question 2, a disproportionate number of responses indicating no training or training in progress came from the developing countries and the economies in transition.

Goal 2– Strengthening Environmentally Sound Management (ESM) **(Questions 3 – 7)**

Question 3

Question 3 looked at parties' use of national hazardous waste management strategies and plans and specifically at guidelines, programs, projects or activities aimed at the environmentally sound management of wastes. Fifty seven percent (57%) of respondents indicated that they had a national strategy in place for hazardous wastes (see below) and 5 respondents indicated that such plans are in preparation. Four respondents indicated that they had no plans in place, nor any in preparation. Despite this variation in the status of hazardous waste plans, 19 out of 21 respondents indicated in response to Question 3.1 that they had developed guidelines or carried out programs, projects or activities aimed at the environmentally sound management of wastes. As examples respondents identified a wide range of activities including guidelines on the use of PCB contaminated concrete, hazardous waste inventories, tracking of waste material flows, promotion of the leasing of chemicals, waste diversion and reduction targets, remediation of contaminated sites and financial support for hazardous waste treatment infrastructure.

Question 3: Does your country have a national hazardous waste management strategy or plan in place?



Question 4

Question 4 asked for specific information on national strategies, plans, programs or other systems for measuring hazardous waste generation and for reducing the generation and hazard potential of hazardous and other wastes. The majority of respondents indicated that work was being done in both the areas of measurement and in reducing generation and hazard potential. The responses (% and number of responses) to Question 4 are shown in Table 2 below.

TABLE 2 National Strategies

Has your country developed and implemented national strategies, plans, programmes or other systems and actions for			
	Yes	No	In preparation
Measuring hazardous waste generation?	57.14% (12)	19.05% (4)	23.81% (5)
Reducing the generation and hazard potential of hazardous and other wastes?	66.67% (14)	14.29% (3)	19.05% (4)

Question 4.1 sought information on the capacity to survey or otherwise collect information on hazardous waste generation, management and disposal. The responses are shown below in Table 3.

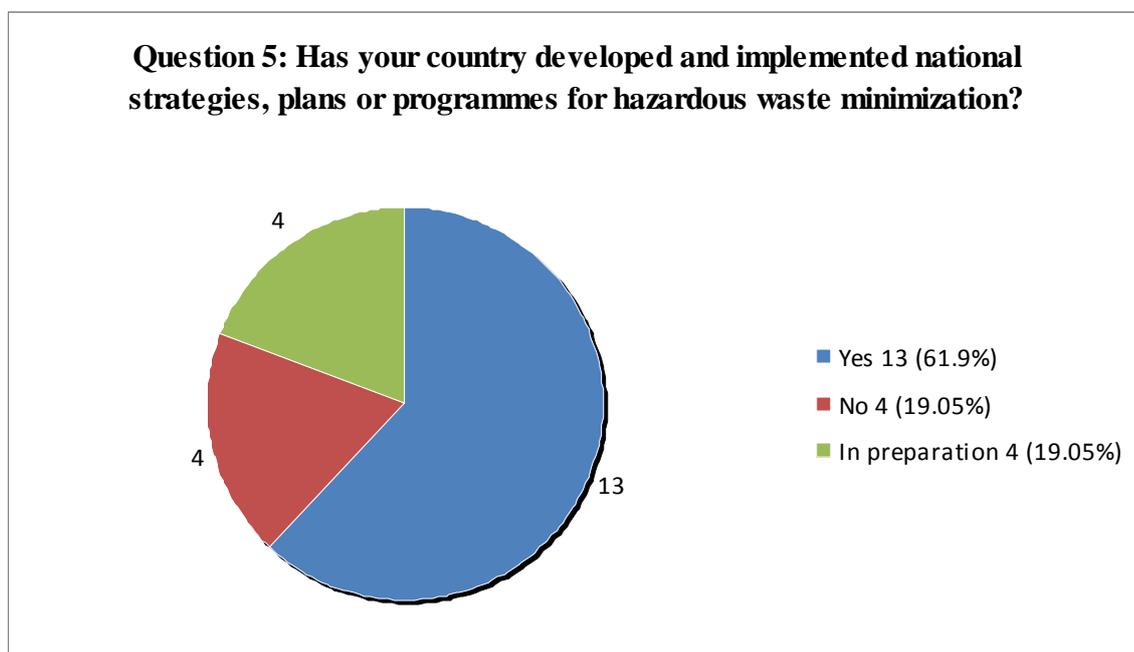
TABLE 3 Hazardous Waste Information

Does your country survey or otherwise collect information on:			
	Yes	No	In preparation
Generation of hazardous and other wastes	61.9% (13)	9.52% (2)	28.57% (6)
Management of hazardous and other wastes?	71.43% (15)	4.76% (1)	23.81% (5)
Disposal of hazardous and other wastes?	66.67% (14)	4.76% (1)	28.57% (6)

Only a small minority of respondents had no capacity or no work underway to track hazardous wastes.

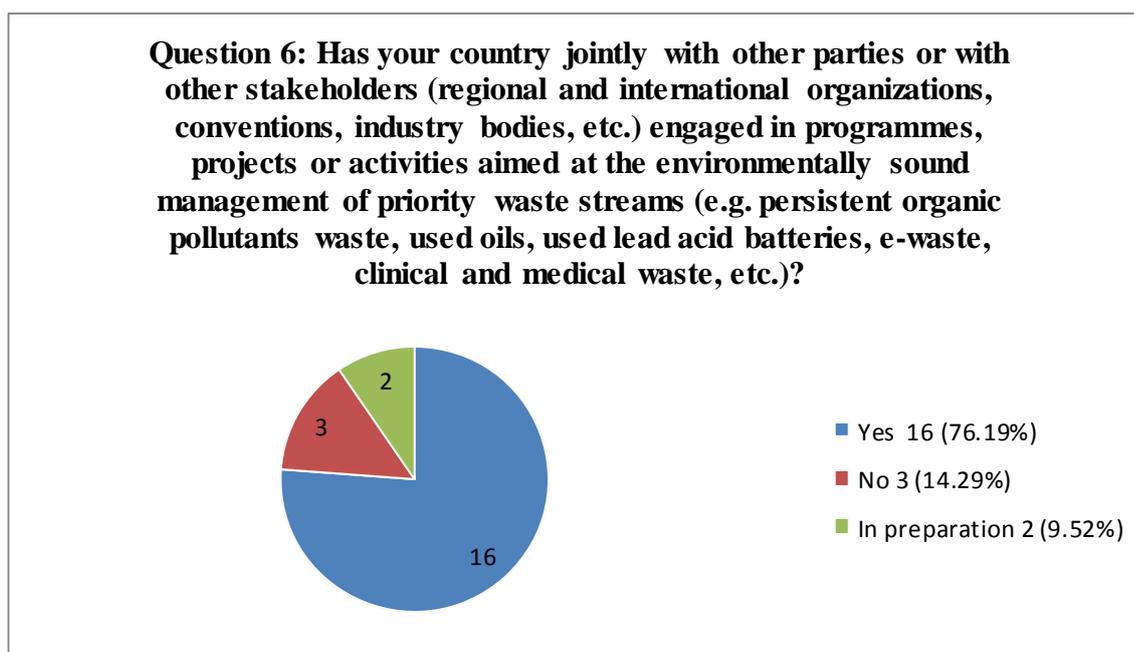
Question 5

Question 5 explored parties' development and implementation of national strategies, plans or programs for hazardous waste minimization and their use of capacity-building support in the area. The majority of respondents responded positively to having or being in the process of developing such plans (see below). Only 4 parties indicated that they had received capacity-building support and only 2 of those reported that the support had resulted in any reduction in hazardous waste generation.



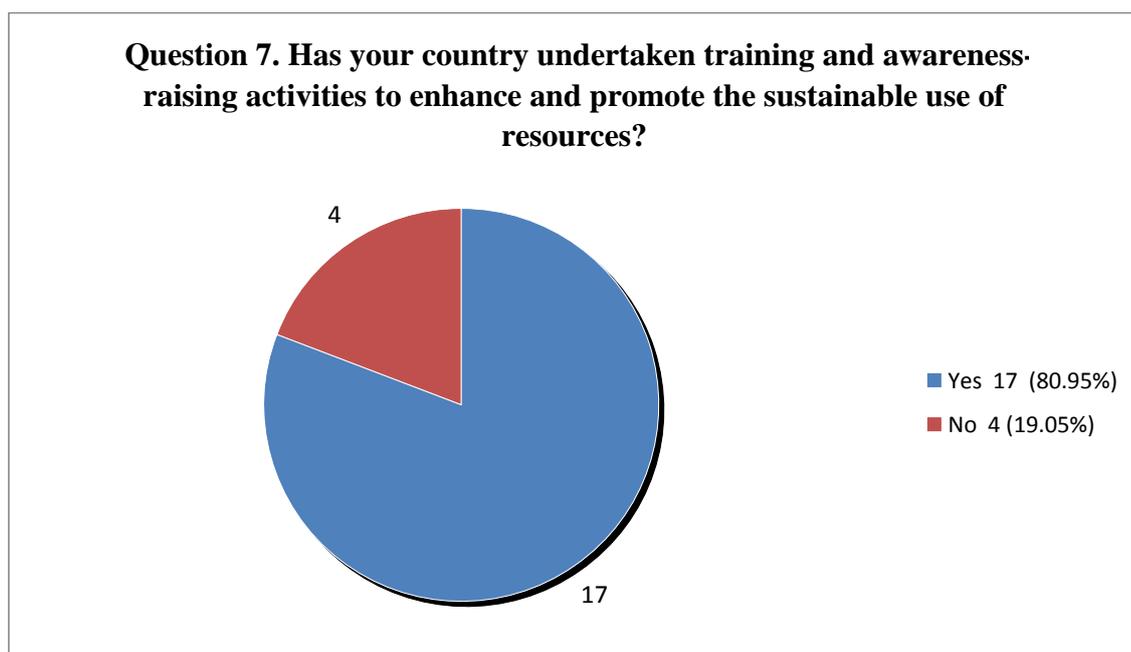
Question 6

Question 6 asked about parties' joint efforts with other parties and other stakeholders to engage in programs, projects or activities aimed at environmentally sound management of priority waste streams such as persistent organic pollutants, used oils and e-waste. A significant majority (see below) reported working or planning to cooperatively advance ESM, with only 3 indicating a lack of any cooperative international or stakeholder engagement. Two thirds of the respondents indicated that such programs were monitored and assessed or are in preparation for monitoring and assessment (Question 6.1).



Question 7

In response to Question 7 (see below) on training and awareness-raising to enhance and promote the sustainable use of resources only 4 parties stated that they had not undertaken such measures.



Eighty percent of the respondents in Question 7.1 reported that their waste management policies, regulations and programs required the separation of hazardous wastes from non-hazardous and other wastes whereas only three respondents did not have policies, regulations or programs in place. Approximately 75% of the respondents had a national inventory on the generation and disposal of hazardous and other wastes either in place or in preparation (Question 7.2) and the majority (60%) had an annual reporting requirement (Question 7.3) to gather such data. Surveys of wastes were conducted by some parties but most of these were not conducted on a regular basis.

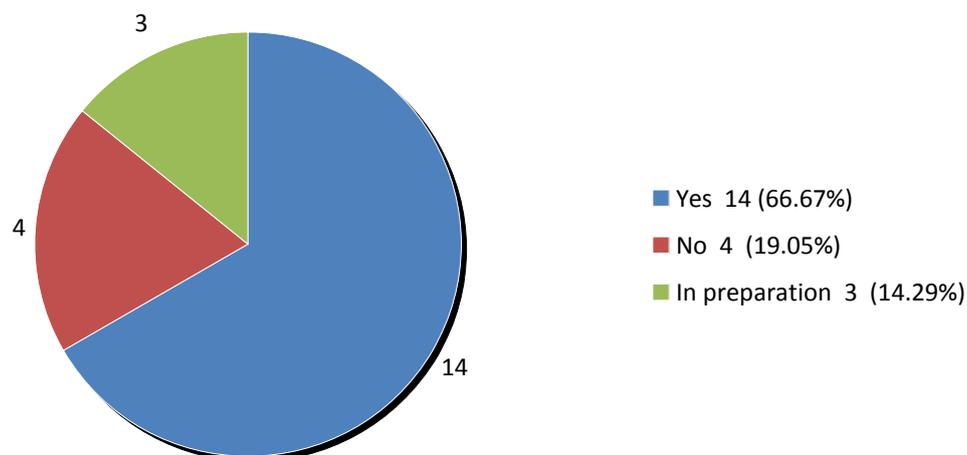
Question 7.3 sought information on data and estimates of the percentage of wastes that are reused, recycled and recovered. The availability of this more detailed data on the management and diversion from disposal was only cited by 12 respondents (Question 7.4). In addition only 7 respondents provided any examples of selected Basel Convention waste streams and their calculations of quantities reused, recycled and recovered for some selected wastes (Question 7.5) and much of this data was estimated.

Goal 3 - Promoting ESM as part of sustainable livelihood, Millennium goals etc. (Questions 8 – 9)

Question 8

In keeping with the Basel Convention's role in the broader goals and objectives of the UN, such as the Millennium Development Goals, Question 8 asked whether parties have a national sustainable development plan or strategy and in a supplementary question (Question 8.1) asked whether hazardous and other wastes have been integrated into the development plan or strategy.

Question 8: Does your country have a national sustainable development plan or strategy?



The majority of respondents (17) either had such a plan in place or were in the process of preparing such a plan. In a comparable response a similar number (16) indicated that hazardous and other wastes were integrated into these national level sustainable development plans or strategies. With the exception of one party all countries that had a sustainable development plan had included in it hazardous and other wastes.

Question 9

Question 9 asked about participating or anticipating participating in any joint activities on common issues undertaken through the synergies process of the Basel, Rotterdam and Stockholm Conventions. The majority of respondents (17) responded that they did participate or anticipated participating and specific types of engagement were listed such as synergies workshops, technical meetings and joint meetings and workshops on waste programs.

Question 9: 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. synergies workshops, training on two or more of the conventions, etc.?



Concluding questions **(Questions 10 – 12)**

Question 10 provided respondents with the opportunity provide any other information that they thought relevant for the environmentally sound management of hazardous and other wastes, including information on significant initiatives that are in preparation or are being considered to meet the obligations under the Convention.

A number of the responses centred around the need for controls and enforcement of illegal traffic and the challenges related to financial capacity that some parties had in this area. In addition reference was made to related difficulties associated with documenting and quantifying hazardous and other wastes. A number of positive statements were made on the development of waste plans, either at a national level or sub-national level, and to working cooperatively to address waste management challenges.

Question 11 was an open-ended opportunity to provide comments on steps that parties believed were important and useful for the achievement of the strategic framework principles, goals and objectives. One contribution emphasized the need for more focus on the environmentally sound management of wastes and another noted the need to pay more attention to waste minimization.

6. SUPPLEMENTARY INFORMATION FROM COUNTRY REPORTS

Information of relevance to the Strategic Framework was sought from the annual country reports filed by parties as part of their Convention Article 13 (3) obligations. This review was facilitated by the January 2013 updating of country fact sheets, provided by the secretariat. The country reports and the fact sheets do not address most of the issues or indicators set out in the Framework but through responses to requests for information on the reduction and/or elimination of hazardous wastes and information on transboundary movement reduction measures, some insights of use to the Strategic Framework were identified.

Ninety two (92) country fact sheets were reviewed. Seventeen (17) of the parties which responded to the questionnaire also were included in the list of country fact sheets. The review identified information related to the use and development of national waste strategies, plans and programs. This information supported the responses in the questionnaire to Questions 3 and 5 regarding hazardous and other waste management strategies, and strategies, plans or programs for hazardous waste minimization. In addition the review of the fact sheets related well to questionnaire Question 8 regarding national sustainable development strategies and Question 8.1 related to whether or not such plans address hazardous wastes.

Of the 92 fact sheets reviewed, 55 parties, or 60%, cited national waste legislation, strategies or plans which targeted or otherwise addressed waste management and waste reduction or in some cases specifically addressed hazardous wastes. References were made to general principles of waste minimization that guided specific waste legislation and in other cases strategies made commitments to specific waste reduction targets of both a more general nature or related to particular wastes such as PCB's. Strategies for hazardous wastes were often also integrated with other non-hazardous waste strategies.

It was not possible from the country information to determine the degree to which these higher level strategies and plans led to actual legislated programs or regulations or the degree of success of the strategies. Despite this it appears that a significant number of reporting parties have undertaken to address hazardous wastes through efforts at the reduction and minimization of impacts and have established the broad policy and regulatory frameworks to facilitate this.

7. KEY FINDINGS

Overview evaluation of the questionnaire responses

To facilitate a broad overview of the responses to the questionnaire a number of key questions and responses from the on-line questionnaire were identified and highlighted for review (see Table 4, page 17)). The questions which were selected for highlighting were those which addressed key indicators identified by the Strategic Framework. They were also the ones which would allow distinctions to be clearly made between parties' capacity to manage hazardous and other wastes and meet the goals and objectives of the Strategic Framework. All of the questions in the questionnaire had relevance but the highlighted questions served to focus particular attention on the critical elements that need to be in place to adequately address the challenges of hazardous and other wastes and to meet the objectives of the Basel Convention regarding transboundary movements and environmentally sound management. The questions selected for highlighting were as follows:

Q 2 – Does your country have 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?

Q 3 – Does your country have a national hazardous waste management strategy or plan in place?

Q 5.1 – Has your country received capacity-building support for reducing hazardous waste generation?

Q 6 – Has your country jointly with other parties or with other stakeholders (regional and international organizations, conventions, industry bodies, etc.) engaged in programs, 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 and medical wastes etc.)?

Q 7 Has your country undertaken training and awareness-raising activities to enhance and promote the sustainable use of resources?

Q 7.1 Do your national waste management policies, regulations and programs require the separation of hazardous wastes from non-hazardous other wastes?

Q 8.1 Has your country integrated waste and hazardous waste issues into your national sustainable development plan or strategy?

To help evaluate the differences between how parties responded to the questions, parties were grouped together by UN regions in the table. Under the “Region” heading in the table for each regional grouping the number of responses out the total possible number of responses and the percentage is given. The higher the number of tabulated responses, as a percentage of all possible responses, the higher the challenge the parties have of meeting the Strategic Framework goals and objectives. The parties with the most need and the most challenges reported that they did not have sufficient administrative and technical capacity, did not have hazardous waste plans, did not participate in joint supportive activities, did not promote sustainable resources use, did not require the segregation of hazardous and non-hazardous and other wastes, had not addressed hazardous wastes in their national sustainable development plans and had availed themselves of outside capacity-building support.

With the exception of Question 5.1 related to the use of capacity support, all the answers cited are in the negative. On Question 5.1 the key issue was which parties needed and availed themselves of capacity-building support, recognizing that countries in some regions do not need the support and in fact are often the countries helping to provide the capacity-building support to less well-resourced parties.

TABLE 4 Overview Evaluation – Key Questions

REGION	PARTY	Q 2	Q3	Q 5.1	Q 6	Q 7	Q 7.1	Q 8.1
Responses/ Possible responses (%)		Administra tive and technical capacity	National hazardous waste plans	Use of capacity support	Participation in joint activities	Promotion of sustainable resource use	Separation of hazardous and non- hazardous wastes	Hazardous Waste in sustainable developme nt plans
AFRICA 8/35 (23%)	Chad	No	No			No		No
	Kenya	No		Yes				
	Madagasc ar				No	No		
	Mauritius							
	Rwanda							
ASIA PACIFIC 2/14 (14%)	Japan							
	Maldives			Yes		No		
CEE 2/28 (7%)	Estonia				No			
	Lithuania							
	Montenegr o					No		
	Slovakia							
GRULAC 9/21 (42%)	Antigua and Barbuda		No	Yes			No	No
	Belize		No		No		No	No
	Guatemala			Yes			No	

REGION	PARTY	Q 2 Administra tive and technical capacity	Q3 National hazardous waste plans	Q 5.1 Use of capacity support	Q 6 Participation in joint activities	Q 7 Promotion of sustainable resource use	Q 7.1 Separation of hazardous and non- hazardous wastes	Q 8.1 Hazardous Waste in sustainable developme nt plans
WEO 3/49 (6%)	Austria							No
	Canada		No					No
	Germany							
	Greece							
	Ireland							
	Norway							
	UK							

Although, as noted earlier, the number of responses to the questionnaire was poor, the above table does demonstrate a wide variation in capacity between the regions to meet Basel Convention obligations and the goals and objectives of the Strategic Framework. The regions of Western Europe and Others (WEO) and Central and Eastern Europe (CEE) with the lowest number of responses to these questions (WEO 3 out of 49 possible responses; CEE 2 out of 28) clearly have a better overall capacity to meet the Strategic Framework goals and objectives than those countries in the other regions. In contrast, countries of the GRULAC region had more challenges in these key question areas (9 out of 21 possible responses) with obvious issues also demonstrated in the African region (8 out of 35 possible responses). With only 2 respondents in the Asia Pacific region and the differences between them it is not possible to come to any conclusions.

Evaluation of specific indicator areas

In addition to the above analysis and using the goals, objectives and indicators of the Strategic Framework as a guide, there are five key areas under which the Framework evaluation was further undertaken. In each of the five areas the evaluation below draws on the questionnaire responses and in some cases on the review of the country report fact sheets.

Use and promotion of ESM technical guidelines

It appears that there is good uptake and use of the Basel ESM technical guidelines although the Framework indicators and the questionnaire did not permit any more detailed evaluation of which ESM guidelines are being used, how the guidelines are used and to what effect. In addition a large majority of respondents indicated that they developed their own guidelines and used them to carry out programs, projects or activities aimed at the environmentally sound management of wastes.

Administrative and technical capacity, enforcement and training

A significant number of parties face serious challenges in combating illegal traffic and do not have adequate administrative, technical or judicial capacity to manage their obligations to control transboundary movements. Training programs are being used to address needs in this area but a number of respondents demonstrated that more needs to be done. In addition to the overall question of resources in this area, training of front line operational staff is an essential component of capacity building and is the prerequisite upon which a proper transboundary movement and enforcement regime is built. The weakness in administrative, technical and judicial capacity was also demonstrated by the number of controls and inspections undertaken. There is a significant difference in the numbers reported between the parties.

There are positive signs that some parties are using capacity-building support provided through regional centres and other sources to enhance their level of engagement but more could be done to bring all parties up to the same enforcement and training standard to ensure that the Convention is working as it should. Many of those parties with the largest challenges in meeting their Basel obligations and promoting environmentally sound management do avail themselves of capacity-building programs such as those provided through regional centres and other centres of expertise. It is equally the case however that a significant number of parties do not avail themselves or use such programs and expertise when they could potentially benefit from such services.

Plans and strategies for hazardous waste management, reduction and minimization

According to responses to the questionnaire, plans and strategies for hazardous waste management, reduction and minimization of hazard are either fairly widely used by parties or are in preparation. This is reinforced by the review of country report fact sheets where a significant number of such plans were cited and in some cases details given. In some countries with federal systems of governance and shared waste and environmental responsibilities such plans are sometimes the responsibility of sub-national governments and in addition some parties have indicated important roles for local governments and municipalities. In the cases where sustainable development plans exist most also include sections on hazardous and other wastes in recognition that the health and environmental impacts of wastes are important in reaching sustainable development goals such as the Millennium Development goals.

As recognized by the Strategic Framework, national documents which focus on wastes are a key element of meeting Basel Convention goals and objectives over the next decade. Addressing the goals and objectives of the Strategic Framework could be problematic in the absence of such plans which are essential for guiding waste policy and waste regulation and for addressing resource and operational needs.

Hazardous waste data – collection, monitoring

While many parties indicated that they had the capacity to measure the generation of hazardous and other wastes, or were preparing it, the actual generation of such data on a regular basis appears more problematic. A few parties had regular reporting requirements, although the frequency might only be on a cycle of three years or more. A significant number appeared to rely on infrequent surveys only.

This suggests that although the commitment to good data and the quantification hazardous waste quantities and reduction was in place, the capacity to actually generate useful data was often not in place. This was particularly obvious in the responses to the Question 7.5 which asked for more detailed information on reuse, recycling, recovery and final disposal numbers for waste streams that parties could select. Sixty percent (60%) of questionnaire respondents did not collect such data and those who did respond positively appeared to provide general estimates rather than more precise data which suggested that in many cases reporting programs are not sufficiently sophisticated to allow better data generation or analysis. These deficiencies are also in some cases linked to the capacity to conduct controls and inspections and more generally to undertake the reporting obligations and enforcement on transboundary movements in general.

While good controls on transboundary movements are an essential obligation under the Basel Convention, waste reduction and minimization of hazard and environmentally sound management rely to a significant extent on good monitoring and measurement and are equally important. Without such monitoring and measurement the ability to undertake waste minimization initiatives and waste diversion from disposal in general and the ability to confirm the success of programs in the area, cannot be accurately done and results will not be clear.

Working cooperatively

There is a demonstrated willingness to work cooperatively on common issues through activities undertaken by bodies under the Basel, Rotterdam and Stockholm Conventions and through other national, regional and international organizations. The country report fact sheets documented cooperative activities of a wide variety on both waste policy and more technical areas. Sharing expertise and experience appears to be valued and are seen as a means to advance the goals and objectives of the Strategic Framework.

8. CONCLUSIONS AND RECOMMENDATIONS

The poor response to the questionnaire of 12%, even when supplemented with the review of the country report fact sheets, suggests that conclusions regarding the Strategic Framework and its promotion by parties can only be tentative at the present time. The relatively short time of two months for completing and submitting the questionnaire and some software difficulties completing the on-line responses might have influenced the response rate to some degree, but even accounting for this, not enough parties have participated in the evaluation exercise to date³.

³ For this reason, decision OEWG-8/1 requested the Secretariat prepare a report on the creation of a baseline (as opposed to a final baseline report). At COP11, Parties may wish to consider allowing more time for the provision of baseline data to the Secretariat.

The baseline evaluation that has been conducted has provided a preliminary view of the status of the Strategic Framework and highlighted a number of issues based on the available information. It would be premature however to extend this evaluation too broadly to all parties in the absence of information from a significantly larger number of parties than presently available.

The approval at COP 10 of the Strategic Framework and the associated baseline evaluation envisioned a more robust analysis and robust action to promote and implement the Framework than has been demonstrated to date. The data that has been generated from the questionnaire is a useful starting point in the Strategic Framework evaluation and does have some merit but fundamentally the baseline evaluation needs more information and better response from parties to allow the process of evaluation to work as planned. Information from the country reports provided some insights but only on a few elements of the Framework.

In view of the tentative conclusions that can be drawn from the baseline evaluation that has been conducted, efforts should focus on the necessity for more information and better party participation in the evaluation. The following steps are recommended for consideration:

- The baseline evaluation completed as part of this exercise will at the moment be described as a “report on the creation of a baseline⁴” until such time as more information can be gathered.
- The current Strategic Framework questionnaire should be kept on-line and available for Parties to respond to until a date shortly after the conclusion of the upcoming COP 11 (this should be determined by Parties at COP 11).
- Parties should be encouraged as part of the lead up to COP 11 to participate in the Strategic Framework evaluation and complete and submit responses to the questionnaire. Holding a special side event during COP 11 could be considered to enhance awareness about the importance of the Strategic Framework and the questionnaire and to facilitate responses.
- Under paragraph 3. i) of Article 13 of the Convention parties can be requested as part of their annual reporting obligations to report on “such other matters as the Conference of the Parties shall deem relevant”. To ensure that good and consistent data is provided to allow the necessary evaluation of the Strategic Framework consideration should be given to requesting that as part of the annual reports parties submit information on a selected number of key Strategic Framework indicators. To ensure that this additional reporting burden is manageable, consideration will need to be given to which indicators are the most useful and easiest to respond to.
- The regional coordinating centres could be enlisted to help encourage and assist with reporting on key indicators for the Strategic Framework.
- As part of all outreach and engagement by the Secretariat with parties and all other Basel Convention activities, on-going promotion of the Strategic Framework should be undertaken.

⁴ As requested in decision OEWG-8/1.

ANNEX 1

RELATIONSHIP BETWEEN THE STRATEGIC FRAMEWORK GOALS, OBJECTIVES AND INDICATORS⁵

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>
Goal 1 Effective implementation of parties' obligations on transboundary movements of hazardous and other wastes	1.1 To reach a common understanding among parties of the definition, interpretation and terminology of wastes covered by the Convention, including the distinction between wastes and non-wastes	The number of agreed technical guidelines that assist Parties in reaching a common understanding on definitions, interpretations and terminologies covered by the Basel Convention
	1.2 To prevent and combat illegal traffic in hazardous and other wastes	Parties have reached an adequate level of administrative and technical capacity (in the form of Customs, police, environmental enforcement and port authorities, among others) to prevent and combat illegal traffic and judicial capacity to deal with cases of illegal traffic
	1.3 To improve performance in meeting requirements pertaining to, among other things, notifications of national definitions of hazardous and other wastes, prohibitions and other control measures	Percentage of parties that have notified national definitions of hazardous wastes to the Secretariat in accordance with Article 3 of the Basel Convention
	1.4 To generate, provide, collect, transmit and use reliable qualitative and quantitative information and data regarding export, import and generation as required under Article 13 of the Convention.	Percentage of parties reporting information to the Secretariat under Article 13.

⁵ Information extracted from the annex to decision BC-10/2 on the Strategic framework for the implementation of the Basel Convention for 2012-2021

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>
<p style="text-align: center;">Goal 2 Strengthening the environmentally sound management of hazardous and other wastes</p>	<p>2.1 To pursue the development of environmentally sound management of hazardous and other wastes, especially through the preparation of technical guidelines, and to promote its implementation in national legislation</p>	<p>Number of parties with national hazardous waste management strategies or plans in place.</p>
	<p>2.2 To pursue the prevention and minimization of hazardous waste and other waste generation at source, especially through supporting and promoting activities designed to reduce at the national level the generation and hazard potential of hazardous and other wastes</p>	<p>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>2.3 To support and promote capacity-building for parties, including technological capability, through technology needs assessments and technology transfer, so as to reduce the generation and hazard potential of hazardous and other wastes</p>	<p>Number of parties that have developed and implemented national strategies, plans or programmes for hazardous waste minimization</p>
	<p>2.4 To facilitate national, regional and international commitment with regard to the management of priority waste streams, as identified in the programme of work of the Convention, taking into consideration the priorities of developing countries and countries with economies in transition and in accordance with the requirements of the Convention</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 that have been monitored and assessed to achieve this goal</p>
	<p>2.5 To enhance and promote the sustainable use of resources by improving the management of hazardous and other wastes and to encourage the recognition of wastes as a resource, where appropriate</p>	<p>Percentage of parties that collect information on the generation, management and disposal of hazardous and other wastes.</p>

<u>GOALS</u>	<u>OBJECTIVES</u>	<u>INDICATORS</u>
<p style="text-align: center;">Goal 3</p> <p>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>3.1</p> <p>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>3.2</p> <p>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.</p>	<p>Number of activities on common issues undertaken by the bodies under the three Conventions.</p>

ANNEX 2

STRATEGIC FRAMEWORK QUESTIONNAIRE

Basel Convention Strategic Framework Evaluation

Introduction

At its tenth meeting in October 2011, the Conference of the Parties to the Basel Convention adopted decision BC-10/2 (pages 25-30) on the Strategic Framework for the implementation of the Basel Convention for 2012 – 2021, the annex of which contains the Strategic Framework. Section VI of the annex makes provision for mid-term and final evaluations of the Strategic Framework by the Conference of the Parties and reports by the Secretariat. Decision OEWG-8/1 adopted by the eighth meeting of the Open-ended Working Group subsequently mandated the Secretariat to develop a format to enable it to prepare a report for the creation of a baseline for the evaluations.

This questionnaire was developed by the Secretariat to assist parties in providing information relevant to the indicators contained in section V of the annex to decision BC – 10/2 (see also paragraph 2 of decision OEWG-8/1). As a first step, information will be collected and used to prepare a report for the creation of a baseline for the mid-term and final evaluations of the strategic framework. The Secretariat, assisted by Parties, will then 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 (2017);
- b. A final evaluation of the Strategic Framework to be considered by the Conference of the Parties at its fifteenth meeting (2021).

In preparing the initial report for the creation of a baseline, additional information will be drawn from that already available within annual reports submitted by parties in accordance with article 13 of the Convention (see paragraph 3 of decision OEWG-8/1). All efforts have been made to streamline data collection as far as possible, however please be aware that there may be some duplication of information between that submitted in annual reports and information requested for submission in this questionnaire.

In completing this questionnaire, parties are invited to provide information for the year 2011 to the Secretariat. The questions are organised by relevance to the objectives and indicators in section V of decision BC-10/2. For those objectives for which there is no related question, information will be collected through the other available information e.g. national reports.

Basel Convention Strategic Framework Evaluation

Instructions for completing and submitting the questionnaire

Parties are requested to complete the questionnaire using data for the year 2011 and to submit it to the Secretariat by 31 December 2012. This will enable the Secretariat to prepare a report for the creation of a baseline for the mid-term and final evaluations of the Strategic Framework for consideration by the eleventh meeting of the Conference of the Parties.

To allow access to the questionnaire, the Secretariat has provided a user name and password to each Party's Focal Point, designated in accordance with Articles 2 and 5 of the Basel Convention. It is recognised that various entities may be involved in the implementation and enforcement of the Basel Convention at the national level. Please note, however, that only the Party's Focal Point, has been provided with access to submit the questionnaire to the Secretariat. As such, the Focal Point may wish to ensure coordination with and compile input from relevant stakeholders in completing the questionnaire.

How to save and submit the questionnaire:

Click "Save progress" at the top or at the bottom of each page to save the information at any time. You can log out by closing the browser and return later to make changes or complete the questionnaire. To be able to "Save progress" your browser cookies must be activated.

Once completed the questionnaire, click "Review and submit" at the top or at the bottom of the last page. Review the answers. If necessary, click "Back to survey" to modify or complete the answers. Finally, submit the questionnaire by clicking "Submit form" at the top or at the bottom of the last page. On the next page that will be displayed you will be able to download a Word document containing a copy of your answers by clicking on "download answers" hyperlink.

Technical support and questions:

Please contact the Secretariat of the Basel Convention should you require any assistance:

E-mail: carla.valle@unep.org

Tel.: +41-22-917-86-86

Contact information:

First Name: _____
 Last Name: _____
 Job Title _____
 Email: _____
 Phone Number: _____
 Institution Name: _____

Basel Convention Strategic Framework Evaluation**Goal 1: Effective implementation of parties' obligations on transboundary movements of hazardous and other wastes****Objective 1.1****1. Has your country used or referred to Basel Convention technical guidelines?**

Yes
 No

Objective 1.2**2. Does your country have 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?**

Yes
 No
 In progress

2.1. Does your country have an adequate judicial capacity to deal with cases of illegal traffic?

Yes
 No
 In progress

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?

Yes
 No
 In preparation

2.3 Please identify specific training programmes your country has developed and executed or to which it has contributed.

For administrative, technical and judicial staff: _____
 For customs, police, environmental enforcement, port authorities or other officials: _____

2.4. Does your country carry out controls and inspections on hazardous waste and other waste facilities?

Yes
 No

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?

Number/Estimate of controls and inspections: _____

Basel Convention Strategic Framework Evaluation

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

Objective 2.1

3. Does your country have a national hazardous waste management strategy or plan in place?

Yes
 No
 In preparation

3.1. Has your country developed guidelines or carried out programmes, projects or activities aimed at the environmentally sound management of wastes?

Yes
 No

3.1.1. If yes, please provide an example:

Example _____

Objective 2.2**4. Has your country developed and implemented national strategies, plans, programmes or other systems and actions for:**

	Yes	No	In preparation
(i) measuring hazardous waste generation?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(ii) reducing the generation and hazard potential of hazardous and other wastes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4.1. Does your country survey or otherwise collect information on:

	Yes	No	In preparation
(i) Generation of hazardous and other wastes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(ii) Management of hazardous and other wastes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
(iii) Disposal of hazardous and other wastes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Objective 2.3**5. Has your country developed and implemented national strategies, plans or programmes for hazardous waste minimization?**

- Yes
- No
- In preparation

5.1. Has your country received capacity-building support for reducing hazardous waste generation?

- Yes
- No

5.1.1. If your country has received capacity-building support, have you identified any reductions in hazardous waste generation?

- Yes
- No

5.2. Has your country received capacity-building support for hazardous waste minimization?

- Yes
- No

Objective 2.4**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 and medical waste, etc.)?**

- Yes
- No
- In preparation

6.1. Have these programmes been monitored and assessed?

- Yes
- No
- In preparation

Objective 2.5**7. Has your country undertaken training and awareness-raising activities to enhance and promote the sustainable use of resources?**

- Yes
- No
- In preparation

7.1. Do your national waste management policies, regulations and programmes require the separation of hazardous wastes from non-hazardous other wastes?

- Yes
- No

7.2. Does your country have a national inventory or inventories on the generation and disposal of hazardous wastes and other wastes?

- Yes
- No
- In preparation

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?

	At least once a year	Once every two years	Once every three or more years	Not regularly
Regular reporting requirement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Survey	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

7.4. Does your country collect data or prepare estimates of the percentage of Basel 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)?

- Yes
- No
- In preparation

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 reused, recycled, recovered (including energy recovery) and/or finally disposed of.**How to add a waste stream:**

1. Enter the waste stream name on the box "Selected waste stream"
2. Enter the corresponding percentage number in each of the four waste treatment options (% reuse, % recycling, % recovery, % final disposal).
3. Click "Add waste stream" button to register the waste stream and its treatment distribution.

4. To add a new waste stream click on the "Add waste stream" hyperlink at the right of the waste stream row added through step 3.
5. You can edit, delete or add any waste stream before submitting the questionnaire, up to six waste streams.

Selected waste stream: _____

% of reuse _____

% of recycling _____

% of recovery _____

% of final disposal _____

Basel Convention Strategic Framework Evaluation

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

Objective 3.1

8. Does your country have a national sustainable development plan or strategy ?

Yes

No

In preparation

8.1. Has your country integrated waste and hazardous waste issues into this plan or strategy?

Yes

No

In preparation

Objective 3.2

9. 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. synergies workshops, training on two or more of the conventions, etc.?

Yes

No

If yes, please identify which activities:

Activities _____

Basel Convention Strategic Framework Evaluation

Concluding questions

10. Please provide any other information that you consider relevant for the environmentally sound management of hazardous and other wastes during the period of the strategic framework (2012 – 2021), including information on significant initiatives that are in preparation or being considered so as to meet obligations under the Convention.

Additional information

11. Please provide any additional comments on steps that you believe are important and could be useful for the successful achievement of the strategic framework principles, strategic goals and objectives.

Additional comments

12. Should you wish to submit information in support of the answers provided in the questionnaire (e.g. examples of national hazardous waste management strategies or plans, details of programmes, projects or activities aimed at promoting the environmentally sound management of priority waste streams), please upload the relevant files. You are allowed to upload up to three files of 10 MB each.

The Secretariat shall, with the permission of the Party concerned, make such information available on the Basel Convention website.

Press button to choose the file:

**End of the questionnaire
Thank you for your collaboration**

ANNEX 3

PARTIES WHO RESPONDED TO THE QUESTIONNAIRE

REGION	PARTY
AFRICA	Chad
	Kenya
	Madagascar
	Mauritius
	Rwanda
ASIA PACIFIC	Japan
	Maldives
CEE	Estonia
	Lithuania
	Montenegro
	Slovakia
GRULAC	Antigua and Barbuda
	Belize
	Guatemala
WEO	Austria
	Canada
	Germany
	Greece
	Ireland
	Norway
	Switzerland *
	UK

* Switzerland's response to the questionnaire was received after the deadline and drafting of the report was done; its input was therefore not included in the present evaluation.