



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

Fourth meeting

Online, 11, 13 and 14 December 2023

Agenda item 3

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

Development of a renewed strategic framework for the implementation of the Basel Convention¹

Note by the Secretariat

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.
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

¹ This document has not been formally edited.

² UNEP/CHW.16/INF/5.

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

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. Further information on the work plan of the group is 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, along with a timetable setting out dates and key milestones of a renewed strategic framework, and shared with working group members and observers on 18 October 2023 for comments by 10 November 2023. Comments were submitted by France on behalf of the European Union and its member States, and by 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 Canada 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 taking place online on 11, 13 and 14 December 2023. Annex I to the present note sets out the renewed strategic framework as revised by the working group at that meeting. Annex II to the present note contains a timetable of dates and key milestones of a renewed strategic framework, submitted by Canada, to support the discussions on the renewed strategic framework.

Annex I

Renewed strategic framework for the implementation of the Basel Convention (second 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. Number of Parties that have legislation in place to implement the Convention available on the website of the Convention.	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, prohibitions and other control measures 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 that has this information available on the Basel Convention website.	National report ICC report Basel Convention website	Article 3 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 made available to all Parties.	1. Number of Parties that have made available their competent authority information to all Parties. 2. Number of Parties that have made available their focal point information to all Parties.	National report ICC report Basel Convention website	Article 5 The higher number of Parties for both indicators is an indication of success.
Objective 1.4:	1. Number of Parties that have transmitted their national report for each year (between 2025–2031 or 2025–2035).	National report ICC report	Article 13

Commented [A1]: Objective and indicator agreed by SIWG.

Commented [A3]: To align with Convention text. Consider using percentage instead of number.

Commented [A2]: Proposal to rephrase.

Commented [A4]: Objective and indicator agreed to by SIWG.

National reports are transmitted and made available to all Parties.	2. Number of Parties that have transmitted a complete and on-time national report for each year (between 2025–2031 or 2025–2035).		The higher number of Parties for both indicators is an indication of success.
Objective 1.5: Definition, interpretation and terminology of wastes and key terms covered by the Convention, including the distinction between wastes and non-wastes are developed.	Number of documents developed or updated under the Convention that provide information relevant to the definition, further explanation, or interpretation of the key terms covered by the Convention as well as contained in guidance documents and technical guidelines adopted by the COP that contribute to achieving this Goal.	COP Decisions - Documents adopted or welcomed by the Convention	The higher number of documents is an indication of success.
Objective 1.6: Guidance on the implementation of the Convention is available to all Parties.	Number of documents developed providing guidance on the Convention (implementation, illegal traffic, transit, national reporting).		The higher number of documents is an indication of success.
Objective 1.7: Option 1: Measures to reduce the generation of hazardous wastes and other wastes are implemented. Option 2: To reduce amount of hazardous waste and other waste generated.	Option 1: 1. Number of Parties that have measures in place to reduce the generation of hazardous wastes. 2. Number of Parties that have measures in place to reduce the generation of other wastes. Option 2: 3. Amount of hazardous waste _s and other waste _s generated between 2025–2031 or 2025–2035.	National report, question 5. Option 2: National report, Table 6.	Article 4.2.a The higher number of Parties is an indication of success. Option 2: A reduction in the amount of hazardous waste _s and other waste _s generated is an indication of success.
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: <i>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.</i>	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.

Commented [A5]: To consider further 1.5 and 1.6, whether these are standalone objectives or enabling feature of other objectives in the framework.

Commented [A6]: Goal 2 agreed by the SIWG.

<p>Objective 2.2: To prevent and [combat] [punish] illegal traffic in hazardous and other wastes.</p>	<p>1. Number of Parties with legislation in place to prevent illegal traffic.</p> <p>2. —</p> <p>3. Number of cases that have been closed, through a court decision.</p> <p>2. —</p> <p>3. Number of capacity-building activities conducted to prevent and combat illegal traffic.</p> <p>4. Number of Parties with legislation in place to punish illegal traffic.</p> <p>Number of cases that have been closed through an administrative fine.</p>	<p>ICC</p> <p>National report, question 1c(ii) (currently optional-), table 9, question 1c(iii) (currently optional)</p>	<p>Article 4.3 and 4.4</p> <p>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.</p> <p>See Article 9, paragraph 5 of the Convention</p>
<p>Objective 2.3: To reduce transboundary movements of hazardous wastes and other wastes.</p>	<p>1. Number of exports occurring each year by Parties to the Convention between 2025–2031 or 2025–2035.</p> <p>1-2. — Number of Parties that have measures in place to reduce transboundary movements of hazardous wastes and other wastes.</p>	<p>National report, Table 4.</p> <p>National report, question 6</p>	<p>Article 4.2.d</p> <p>A reduction of the overall volumes of waste exported is an indication of success.</p>
<p>Goal 3: Hazardous wastes and other wastes are managed in an environmentally sound manner by Parties</p>			<p>Note by the lead country to SIWG</p>
<p>Objectives</p>	<p>Indicators</p>	<p>Source of info</p>	<p>Note by the lead country to SIWG</p>
<p>Objective 3.1: Parties have legislation and other measures in place to ensure that hazardous wastes or other wastes, to be exported, are managed in an ESM manner in the sState of import or elsewhere.</p>	<p>1. Number of Parties that have legislation to ensure that hazardous wastes or other wastes are managed in an ESM manner in the State of import or elsewhere in place.</p> <p>2. Number of Parties that have measures in place guidance at the national level to ensure 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).</p>	<p>Not available</p>	<p>Article 4.8</p> <p>The higher number of Parties is an indication of success for both indicators.</p>
<p>Objective 3.2: Disposal facilities for the environmentally sound management of hazardous wastes and other wastes are identified, available and accessible to Parties.</p>	<p>1. Number of Parties that have access to adequate disposal facilities for hazardous wastes.</p> <p>1 bis Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (A).</p>	<p>Not available</p> <p>National report, Table 2 and 3</p>	<p>Article 4.2.b</p> <p>The higher number of Parties is an indication of success for both indicators.</p>

Commented [A7]: Location of the indicator (here or under goal 4) to be further considered.

Commented [A8]: Possible synergies with goal 3.

Commented [A9]: Goal agreed by the SIWG.

Commented [A11]: Indicator 3.1 needs to be aligned with final wording of objective 3.1.

Commented [A10]: An objective could be prepared for the ESM of domestic treatment of hazardous wastes and other wastes (in line with the scope of the Convention). Lead country mandated to adjust objective 3.1 in line with the wording of Article 4.8 of the Convention.

Commented [A12]: For lead country to further reflect on the objective and related indicators.

<p><u>3.2 ter Parties have access to disposal facilities for the environmentally sound management of hazardous wastes and other wastes.</u></p>	<p><u>1 ter Number of Parties that have disposal facilities for hazardous wastes and other wastes as per Annex IV (B).</u></p> <p><u>2. Number of Parties that have access to adequate disposal facilities for other wastes.</u></p> <p><u>4. Number of Parties that import hazardous wastes and other wastes.</u></p> <p><u>2,3. Number of Parties that export hazardous wastes and other wastes.</u></p>	<p><u>Not available</u></p> <p><u>National report, Table 4 and 5</u></p>	
<p>Objective 3.3: The Convention provides <u>information-guidance</u> on the environmentally sound management of wastes covered by the Convention.</p>	<ol style="list-style-type: none"> 1. Number of new and updated technical guidelines that have been adopted between 2025–2031/2035, or that are under development. 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 that have <u>information-guidance</u> on their environmentally sound management. 4. Number of priority waste streams that have <u>information-guidance</u> on their environmentally sound management. 5. 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. 6. Number of newly adopted or substantially updated technical guideline or guidance document disseminated to all Parties by the Secretariat, including one short document developed by the Secretariat explaining how such technical guideline or guidance document can be used at the national level. 	<p>COP Decisions – technical guidelines adopted by the Convention.</p>	<p>Article 4.8 Measure for the effectiveness of the Convention.</p> <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.
<p>Objective 3.4: Hazardous wastes and other wastes <u>is/are</u> disposed of in an environmentally sound manner.</p>	<ol style="list-style-type: none"> 1. The amount of hazardous wastes and other wastes that is disposed of between 2025–2031 or 2025–2035, by disposal operation. 	<p>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</p>	<p>Question for SIWG: Would an increase or decrease represent success? An 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>

Commented [A13]: Objective agreed by SIWG.

Commented [A14]: Lead country to further work on this.

Commented [A15]: Lead country to further work on objective 3.4 and related indicators.

		transboundary movement.	
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 coordination between the Basel, Rotterdam and Stockholm conventions, to improve environmental and working conditions through the environmentally sound management of hazardous and other wastes.	<i>In development</i>		
Objective 4.2 The Convention supports developing countries, countries with economies in transitions, small island developing sSates and regional and coordinating centers in delivering activities for the environmentally sound management of hazardous wastes and other wastes.	<i>In development</i>		
Objective 4.3 The Convention supports developing countries, countries with economies in transitions, small island developing sSates and regional and coordinating centres in implementing the PIC procedure.	<i>In development</i>		

Commented [A16]: Members and observers invited to submit comments on goal 4, its related objectives, indicators and source of information to the lead country in writing.

Comments received as of November 2023 that have yet to be integrated:

EU and its member states:

We would find it useful to also pinpoint the SDGs targets and related indicators that are relevant to the Basel convention:

- **Target 12.5: By 2030, substantially reduce waste generation through prevention, reduction, recycling and reuse**

And its related indicator

Indicator 12.5.1: National recycling rate, tons of material recycled

Annex II**Timetable of dates and key milestones of a renewed strategic framework**

3 COPs cycle - 6 years 2025–2031		5 COPs cycle - 10 years 2025–2035	
Adoption of a New Strategic Framework at COP17 in 2025			
COP17-COP18 2025–2027	Cycle 1 Baseline establishment	COP17-COP18 2025–2027	Cycle 1 Baseline establishment
COP18-COP19 2027–2029	Cycle 2	COP18-COP19 2027–2029	Cycle 2
COP19-COP20 2029–2031	Cycle 3	COP19-COP20 2029–2031	Cycle 3 Mid-term evaluation
		COP20-COP21 2031–2033	Cycle 4
		COP21-COP22 2033–2035	Cycle 5
Final evaluation of the Strategic framework			
COP20-COP21 2031–2033 Adoption of report at COP21 in 2033		COP22-COP23 2035–2037 Adoption of report at COP23 in 2037	