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**Intergovernmental negotiating committee to develop  
an international legally binding instrument on plastic  
pollution, including in the marine environment  
First session**

Punta del Este, Uruguay, 28 November–2 December 2022  
Item 4 of the provisional agenda

**Information from the Basel, Rotterdam and Stockholm conventions,  
as requested by the Conference of the Parties and other information  
that could be of relevance to the consideration by the  
intergovernmental negotiating committee**

**Note by the secretariat**

1. The Basel, Rotterdam and Stockholm conventions have submitted information that could be of relevance to the intergovernmental negotiating committee in the form of three annexes:
  - a. information from the Basel, Rotterdam and Stockholm conventions, as requested by the conferences of the Parties and other information that could be of relevance to the consideration by the intergovernmental negotiating committee (annex I);
  - b. a reproduction of decision BC-15/10 on the technical guidelines on the environmentally sound management of plastic wastes (annex II); and
  - c. a list of documents, reports, guidance and decisions of the Basel, Rotterdam and Stockholm conventions with an indication of relevance to paragraphs 3 and 4 of UNEA resolution 5/14 (annex III).
2. The information is presented as received and has not been edited by the secretariat.

## Annex I

### **Information from the Basel, Rotterdam and Stockholm conventions, as requested by the Conference of the Parties and other information that could be of relevance to the consideration by the intergovernmental negotiating committee**

#### **I. Introduction**

1. The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal,<sup>1</sup> the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade<sup>2</sup> and the Stockholm Convention on Persistent Organic Pollutants<sup>3</sup> have the objective to protect human health and the environment from hazardous chemicals and waste and have provisions related to, among others, objectives, definitions, national action plans, national reports, effectiveness evaluation, global monitoring plan, technical assistance, financial mechanism, mechanism to assess scientific and socio-economic information, awareness-raising, education and information exchange, international cooperation and coordination, stakeholder engagement, research and development, compliance, Conference of the Parties and Secretariat.

2. The Basel Convention requires Parties to reduce the generation of hazardous wastes and other wastes requiring special consideration, to promote their environmentally sound management, to restrict transboundary movements of such wastes except where it is perceived to be in accordance with the principles of environmentally sound management; and to apply a prior informed consent regulatory system for cases where transboundary movements are permissible. It is currently the only legally-binding global instrument that specifically addresses plastic waste since the adoption of the Plastic Waste Amendments in 2019. There are a number of guidance documents under the Convention that support upstream efforts to promote sustainable production and consumption of plastics, including product design, and that guide Parties to ensure the environmentally sound waste management of plastic wastes, including through resource efficiency and circular economy approaches.<sup>4</sup>

3. The Rotterdam Convention promotes shared responsibility and cooperative efforts among Parties in the international trade of certain hazardous chemicals contributes to the environmentally sound use of those hazardous chemicals. Some of the chemicals listed in Annex III to the Convention are plastic additives.

4. The Stockholm Convention requires the reduction or elimination of releases of persistent organic pollutants from intentional production and use, unintentional production, and stockpiles and wastes. Currently the Convention lists 31 chemicals or groups of chemicals identified as persistent organic pollutants, of which 15 are used in plastic production, used as plastic additives, contained in plastic products as contaminants or unintentionally released as by-products or as a result of unsound management of plastic waste such as open burning.

#### **II. Cross-cutting outcomes of the meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions relevant to the consideration by the intergovernmental negotiating committee**

5. The fifteenth meeting of the Conference of the Parties to the Basel Convention,<sup>5</sup> the tenth meeting of the Conference of the Parties to the Rotterdam Convention<sup>6</sup> and the tenth meeting of the Conference of the Parties to the Stockholm Convention<sup>7</sup> were held in two segments: the first online from 26 to 30 July 2021 and the second face to face from 6 to 17 June 2022 in Geneva as well as their high-level segment on 1 June 2022 in Stockholm. The reports of the meetings are available in

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<sup>1</sup> <http://www.basel.int/>.

<sup>2</sup> <http://www.pic.int/>.

<sup>3</sup> <http://www.pops.int/>.

<sup>4</sup> <http://www.basel.int/tabid/8333/Default.aspx>.

<sup>5</sup> <http://www.basel.int/tabid/8392/Default.aspx>.

<sup>6</sup> <http://www.pic.int/tabid/8398/Default.aspx>.

<sup>7</sup> <http://chm.pops.int/tabid/8397/Default.aspx>.

documents UNEP/CHW.15/31, UNEP/CHW.15/31/Add.1, UNEP/FAO/RC/COP.10/28, UNEP/FAO/RC/COP.10/28/Add.1, UNEP/POPS/COP.10/33 and UNEP/POPS/COP.10/33/Add.1.<sup>8</sup>

6. Noting that the resumed fifth session of the United Nations Environment Assembly of the United Nations Environment Programme in 2022 adopted resolution 5/14, in which the Environment Assembly had decided that an intergovernmental negotiating committee would develop an international legally binding instrument on plastic pollution, including in the marine environment, the conferences of the Parties, among other things, noted the considerable expertise available within the Secretariat and among Parties to the Basel, Rotterdam and Stockholm conventions relevant to this issue and requested the Executive Secretary to ensure that the expertise of the Secretariat and the Parties and the experience built up in implementing the conventions would be fully shared to help the intergovernmental negotiating committee in its deliberations.

## A. Technical assistance

7. According to Article 10 of the Basel Convention, Parties shall cooperate with each another in order to improve and achieve environmentally sound management of hazardous wastes and other wastes. Article 16 of the Rotterdam Convention and Article 12 of the Stockholm Convention provides mandates for the Secretariat related to technical assistance. The Basel and Stockholm Conventions have established a number of regional and subregional centres under both conventions to provide technical assistance, capacity building and to promote the transfer of technology to Parties that are developing countries or countries with economies in transition in order to enable them to implement their obligations under these conventions. Currently there are a total of 23 regional centres.<sup>9</sup>

8. At their meetings in 2022, the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions considered, among others, the note by the Secretariat on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions;<sup>10</sup> the report on the technical assistance needs of developing country Parties and Parties with economies in transition for the implementation of the Basel, Rotterdam and Stockholm conventions and the technical assistance available from developed country Parties and others;<sup>11</sup> the report on the implementation of the technical assistance plan for the period 2018–2021 in the biennium 2020–2021;<sup>12</sup> the technical assistance plan for the implementation of the Basel, Rotterdam and Stockholm conventions for the period 2022–2025;<sup>13</sup> and the report on the activities of the regional centres of the Basel and Stockholm conventions;<sup>14</sup> and adopted decisions BC-15/21, RC-10/12 and SC-10/15, on technical assistance, requesting the Secretariat, among other things, to implement, in cooperation with relevant actors, the technical assistance plan for the period 2022–2025 in accordance with relevant decisions adopted by the Conference of the Parties.

9. The technical assistance plan for the period 2022–2025<sup>15</sup> provides a general framework for supporting Parties, particularly developing-country Parties and Parties with economies in transition, in their implementation of the conventions. For the preparation of this document, the Secretariat considered the technical assistance needs expressed Parties to the conventions. With respect to the Basel Convention, the highest priority indicated by Parties was the environmentally sound management of hazardous and other wastes, followed by the prevention and control of illegal traffic, waste prevention and minimization, and control procedures for the transboundary movements of waste. Parties stressed the importance of addressing emerging priority waste streams under the Basel Convention such as e-waste and plastic waste.

10. In line with the technical assistance plan,<sup>16</sup> more than 50 Parties are currently receiving technical assistance, a number of them through regional centres, to strengthen the Parties' capacities for the environmentally sound management of plastic waste, control of transboundary movements of plastic waste, and prevention and minimization of the generation of plastic waste.<sup>17</sup>

<sup>8</sup> <http://www.brsmeas.org/tabid/8395/Default.aspx>.

<sup>9</sup> <http://www.brsmeas.org/tabid/2636/Default.aspx>.

<sup>10</sup> UNEP/CHW.15/16–UNEP/FAO/RC/COP.10/15–UNEP/POPS/COP.10/13.

<sup>11</sup> UNEP/CHW.15/INF/30–UNEP/FAO/RC/COP.10/INF/18–UNEP/POPS/COP.10/INF/30.

<sup>12</sup> UNEP/CHW.15/INF/28–UNEP/FAO/RC/COP.10/INF/16–UNEP/POPS/COP.10/INF/28.

<sup>13</sup> UNEP/CHW.15/INF/29–UNEP/FAO/RC/COP.10/INF/17–UNEP/POPS/COP.10/INF/29.

<sup>14</sup> UNEP/CHW.15/INF/32–UNEP/POPS/COP.10/INF/31.

<sup>15</sup> UNEP/CHW.15/INF/29–UNEP/FAO/RC/COP.10/INF/17–UNEP/POPS/COP.10/INF/29.

<sup>16</sup> *Ibid.*

<sup>17</sup> <http://www.basel.int/tabid/8772/Default.aspx>.

## B. International cooperation

11. The Rotterdam Convention and the Stockholm Convention provide an express legal basis for their conferences of the Parties to cooperate with international organizations and intergovernmental and non-governmental bodies.<sup>18</sup> Under the Basel Convention, international cooperation falls under the scope of the general functions of the Conference of the Parties.<sup>19</sup> Each convention also provides for the Secretariat to cooperate with international bodies.<sup>20</sup> At each meeting, the conferences of the Parties adopt substantively similar decisions guiding the various international cooperative activities to be undertaken by the Secretariat with a range of other organizations and stakeholders with a view to enhance consistency and coherence between the requirements and processes of the conventions and those of others, and promote their mutual supportiveness; share experiences, approaches and policies with respect to the implementation of the conventions; and increase efficiency, resources and expertise for the implementation of the mandates and programmes of work of the conventions. In addition, the bodies of the three conventions work closely together on areas of common interest through enhanced coordination and cooperation.

12. At their meetings in 2022, the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions considered, among others, the note by the Secretariat on international cooperation and coordination with other organizations,<sup>21</sup> the report by the Secretariat on international cooperation and coordination for the period 1 January 2019–31 December 2021,<sup>22</sup> the update provided by the secretariat of the Strategic Approach to International Chemicals Management on the intersessional process considering the Strategic Approach and the sound management of chemicals and wastes beyond 2020,<sup>23</sup> and the information on activities undertaken by the United Nations Environment Programme on programmatic matters pertaining to the Basel, Rotterdam and Stockholm conventions.<sup>24</sup>

13. In their decisions BC-15/25, RC-10/14 and SC-10/21, on international cooperation and coordination with other organizations, the conferences of the Parties requested the Secretariat, among other things, to continue to work closely with other international organizations, within their mandates, on activities related to marine plastic litter and microplastics.

14. Furthermore, in the same decisions, the conferences of the Parties requested the Executive Secretary to participate in the intergovernmental negotiating committee itself, mentioned in paragraph 1 of Environment Assembly resolution 5/14, and to closely cooperate and coordinate with the Executive Director of the United Nations Environment Programme in the context of the mandate of the intergovernmental negotiating committee; and invited Parties participating in the intergovernmental negotiating committee to ensure that the international legally binding instrument is fully coherent with and complementary to the Basel, Rotterdam and the Stockholm conventions, that it avoids the duplication of actions set out in the relevant provisions of those conventions, and that it promotes cooperation and coordination with those conventions, and to ensure that the expertise of the Secretariat and the Parties and the experience built up in implementing the conventions is fully shared to help the intergovernmental negotiating committee in its deliberations.

15. The conferences of the Parties also encouraged the regional centres of the Basel and Stockholm conventions to participate in the work of the intergovernmental negotiating committee and share their expertise.

## C. Information exchange and clearing-house mechanism

16. Article 9 of the Stockholm Convention and Article 14 of the Rotterdam Convention provide specific requirements relating to information exchange. Articles 3, 4, 5, 6, 10, 11, 13 and 16 of the Basel Convention provide details about transmission of information. The joint clearing-house mechanism under the Basel, Rotterdam and Stockholm conventions is a multi-stakeholder global system that facilitates the exchange of information and expertise relevant for the conventions.<sup>25</sup>

<sup>18</sup> Rotterdam Convention, Article 18.5 (b); Stockholm Convention, Article 19.5 (b).

<sup>19</sup> Basel Convention, Article 15.5 (c).

<sup>20</sup> Basel Convention, Article 16.1 (d); Rotterdam Convention, Article 19.2 (c); and Stockholm Convention, Article 20.2 (c).

<sup>21</sup> UNEP/CHW.15/21/Rev.1–UNEP/FAO/RC/COP.10/17/Rev.1–UNEP/POPS/COP.10/21/Rev.1.

<sup>22</sup> UNEP/CHW.15/INF/41–UNEP/FAO/RC/COP.10/INF/24–UNEP/POPS/COP.10/INF/45.

<sup>23</sup> UNEP/CHW.15/INF/43–UNEP/FAO/RC/COP.10/INF/28–UNEP/POPS/COP.10/INF/47.

<sup>24</sup> See UNEP/CHW.15/INF/56–UNEP/FAO/RC/COP.10/INF/25–UNEP/POPS/COP.10/INF/46.

<sup>25</sup> <http://www.brsmeas.org/tabid/5382/Default.aspx>.

17. At their meetings in 2017, the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions welcomed the strategy for the joint clearing-house mechanism.<sup>26</sup> The strategy serves as the underlying framework and guidance for the further development of the joint clearing-house mechanism for information exchange and is used by the Secretariat to develop, every two years, a draft biennial workplan outlining proposed activities and their associated costs for consideration by the Conferences of the Parties.

18. At their meetings in 2022, the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions considered, among others, took note of the progress made by the Secretariat in the implementation of the joint clearing-house mechanism for information exchange<sup>27</sup> and welcomed the workplan for the implementation of the joint clearing-house mechanism for the biennium 2022–2023.<sup>28</sup>

19. In their decisions BC-15/26, RC-10/15 and SC-10/22, on clearing-house mechanism for information exchange, the conferences of the Parties welcomed the progress made in the implementation of the joint clearing-house mechanism,<sup>29</sup> and requested the Secretariat, among other things, to continue to enhance cooperation and coordination activities with existing partners in the area of information exchange, to explore possible cooperative activities with new partners, as appropriate, and to ensure complementarity with and avoid duplication of existing and future activities, tools and mechanisms.

#### **D. From Science to Action**

20. The Basel, Rotterdam and Stockholm conventions are science-based, legally binding global treaties aimed at the protection of human health and the environment from hazardous chemicals and wastes, and for other wastes requiring special consideration such as certain plastic wastes. Policy decisions taken by their governing bodies, the Conferences of the Parties, are underpinned by various scientific assessments. Since 2015, the conventions have a Programme of Work to enhance science-based decision making through enhanced science-policy interactions.<sup>30</sup> The conferences of the Parties, in their decisions BC-13/22, RC-8/15 and SC-8/25, emphasized that, through its subsidiary bodies, expert groups and other related mechanisms, including with other partners, the necessary processes are in place to ensure science-based work and decision-making under the Basel, Rotterdam and Stockholm conventions.

21. At their meetings in 2022, the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions took note of the information on progress in the action by Parties and others to promote the implementation of the road map for further engaging Parties and other stakeholders in informed dialogue for enhanced science-based action in the implementation of the Basel, Rotterdam and Stockholm conventions<sup>31</sup> as provided in the note by the Secretariat on “From science to action”,<sup>32</sup> and encouraged Parties and others to continue to undertake action that promotes the implementation of the road map.

22. In their decisions BC-15/28, RC-10/17 and SC-10/24, the conferences of the Parties requested the Secretariat, among other things, to continue to cooperate and coordinate with the United Nations Environment Programme and, as appropriate, other relevant organizations, scientific bodies and stakeholders towards strengthening the science-policy interface, including in the context of the implementation of United Nations Environment Assembly resolution 5/8 on a science-policy panel to contribute further to the sound management of chemicals and waste and to prevent pollution.

23. Thanks to the generous financial support provided by the Governments of Norway and Sweden and in cooperation with the Stockholm Convention Regional Centre in Spain (MedWaves), the Secretariat organized the workshop on “From Science to Action” for the BRS and industrial chemicals guidance for the Stockholm Convention from 17 to 20 October 2022 in Barcelona.<sup>33</sup>

<sup>26</sup> UNEP/CHW.13/INF/47–UNEP/FAO/RC/COP.8/INF/33–UNEP/POPS/COP.8/INF/50.

<sup>27</sup> UNEP/CHW.15/22–UNEP/FAO/RC/COP.10/18–UNEP/POPS/COP.10/22.

<sup>28</sup> UNEP/CHW.15/INF/46–UNEP/FAO/RC/COP.10/INF/30–UNEP/POPS/COP.10/INF/50.

<sup>29</sup> UNEP/CHW.13/INF/47–UNEP/FAO/RC/COP.8/INF/33–UNEP/POPS/COP.8/INF/50.

<sup>30</sup> <http://www.brsmeas.org/tabid/4749/Default.aspx>.

<sup>31</sup> UNEP/CHW.14/INF/40–UNEP/FAO/RC/COP.9/INF/35–UNEP/POPS/COP.9/INF/44.

<sup>32</sup> UNEP/CHW.15/25–UNEP/FAO/RC/COP.10/21–UNEP/POPS/COP.10/25.

<sup>33</sup> <http://www.brsmeas.org/tabid/9348/Default.aspx>.

## II. Matters specific to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal

### A. Plastic waste amendments and further consideration of plastic waste

24. Adopted in decision BC-14/12 in 2019, the amendments to the entries in Annexes II, VIII and IX to the Basel Convention relating to plastic waste became effective 1 January 2021.<sup>34</sup> Taking into consideration those amendments, the Secretariat is cooperating with the World Customs Organization on amendments to the Harmonized System with respect to plastic waste.<sup>35</sup>

25. Further to decision BC-14/13, on further actions to address plastic waste under the Basel Convention, the Conference of the Parties at its fifteenth meeting considered: whether, how and when it should assess the effectiveness of the measures taken under the Convention to address the plastic waste contributing to marine plastic litter and microplastics; and which further activities could possibly be conducted under the Convention in response to developments in scientific knowledge and environmental information related to plastic waste as a source of land pollution, marine plastic litter and microplastics.

26. The Conference of the Parties, in its decision BC-15/15, on further consideration of plastic waste, taking note of the background information related to a possible future assessment of the effectiveness of the measures taken under the Basel Convention to address plastic waste and to possible further activities that could be conducted under the Convention,<sup>36</sup> requested the Secretariat to suggest possible further activities that could be conducted under the Convention in response to developments in scientific knowledge and environmental information and health impacts related to plastic waste as a source of land pollution, marine plastic litter and microplastics, taking into consideration the comments received from Parties and others on document UNEP/CHW.15/INF/10 and the work undertaken in follow-up to UNEA resolution 5/14, as appropriate.

27. The possible further areas of work presented to the Conference of the Parties to the Basel Convention included the following:

- (a) Information collection, monitoring and reporting:
  - (i) Transmission of information on generation and management of plastic waste and the transboundary movement of plastic waste not subject to the prior informed consent procedure, including statistical information collected through national plastic waste inventory; status of implementation of the plastic waste amendments including through national legislation, action plans and other measures;
  - (ii) Development of database for sharing information relating to plastic waste;
  - (iii) Support for Parties to quantify or estimate the quantities of plastic waste managed or leaked into the environment;
  - (iv) Establishment of a global monitoring programme taking into account the global monitoring plan for persistent organic pollutants;
  - (v) Establishment of links for data with sustainable development goal (SDG) indicators in particular SDG 14 and 12;
- (b) Implementation of the Basel Convention provisions relevant to plastics:
  - (i) Establishment of an expert group to develop practical guidance for the implementation of the Basel Convention provisions relevant to plastics and microplastics, for example:
    - a. On waste prevention and minimization;
    - b. On the environmentally sound management of specific waste streams where plastic is relevant;

<sup>34</sup> <http://www.basel.int/tabid/8426/Default.aspx>.

<sup>35</sup> UNEP/CHW.15/INF/8.

<sup>36</sup> UNEP/CHW.15/INF/10.

- c. On the various types of recycling technologies;
  - d. On measures on health and safety;
  - e. On the development of suitable policy instruments and actions at the national level to address plastic pollution;
  - f. On targets, indicators, monitoring and assessment on plastics waste and on microplastics on land and in the marine environment;
  - g. On environment and trade in plastics, including information on legal and illegal trade;
  - h. On prevention and minimization of hazardous constituents of plastic waste, including plastic additives;
- (ii) Support for Parties to address plastic pollution;
  - (iii) Activities to address waste containing microplastics and nanomaterials;
  - (iv) Basel and Stockholm conventions regional centres to continue their activities relevant to addressing plastic pollution.

28. Possible further activities that could be conducted under the Basel Convention will be considered by the Open-ended Working Group at its thirteenth meeting to take place from 21 to 23 February 2023 in Geneva.

## **B. Adoption of the e-waste amendments to the Basel Convention**

29. At its fifteenth meeting, the Conference of the Parties adopted decision BC-15/18, by which it amended the entries in Annexes II, VIII and IX to the Basel Convention, making all e-waste subject to the prior informed consent procedure. The amendments will become effective on 1 January 2025.

30. E-waste is one of the fastest growing waste streams, both in developed and developing countries. This growth is directly related to the higher consumption and the rate of replacement of electrical and electronic equipment (EEE) by companies, businesses, public institutions, governments and individuals. Plastics constitute around the 20% of all e-waste.

## **C. Technical guidelines on the environmentally sound management**

### **1. Technical guidelines on the environmentally sound management of plastic waste**

31. At its fifteenth meeting, the Conference of the Parties adopted decision BC-15/10, on technical guidelines on the environmentally sound management of plastic wastes, by which it requested the Secretariat to transmit that decision, and to report on the progress regarding the draft updated technical guidelines on the environmentally sound management of plastic wastes,<sup>37</sup> to the Executive Director of the United Nations Environment Programme and to the intergovernmental negotiating committee established pursuant to United Nations Environment Assembly resolution 5/14, entitled “End plastic pollution: towards an international legally binding instrument”. The decision is reproduced in annex II to the present note.

32. In paragraph 6 of decision BC-15/10, the Conference of the Parties invited the Governments of China, Japan and the United Kingdom of Great Britain and Northern Ireland, as co-lead countries, in consultation with the small intersessional working group established pursuant to paragraph 20 of decision BC-14/13 and its mandate extended in paragraph 3 of the same decision, to prepare a further updated version of the technical guidelines on the environmentally sound management of plastic wastes taking into account the discussion during the fifteenth meeting of the Conference of the Parties and the general comments and textual proposals received from Parties and observers by 16 September 2022, for consideration by the Open-ended Working Group at its thirteenth meeting to be held from 21 to 23 February 2023 in Geneva.

33. The small intersessional working group on the technical guidelines on plastic wastes is scheduled to meet from 8 to 10 December 2022 in Geneva to advance the negotiations on the document, with the expectation that the Conference of the Parties at its sixteenth meeting in May 2023

<sup>37</sup> UNEP/CHW.15/6/Add.7/Rev.1.

to adopt the updated guidelines. More information on the work of the group is available on the Convention website.<sup>38</sup>

## 2. Technical guidelines on the environmentally sound management of used and waste pneumatic tyres

34. At its fifteenth meeting, the Conference of the Parties discussed merit in launching a new work stream under the Convention to address leakages of rubber and rubber waste to the environment, for example by updating the technical guidelines for the environmentally sound management of used and waste pneumatic tyres,<sup>39</sup> adopted by the Conference of the Parties at its tenth meeting in decision BC-10/6, and considering how to address leakages from other sources.

35. In paragraphs 3–5 of decision BC-15/15, on further consideration of plastic waste, the Conference of the Parties decided to update the technical guidelines on the environmentally sound management of used and waste pneumatic tyres, invited Parties to consider serving as lead countries for the updating of the guidelines and to inform the Secretariat by 31 July 2022 of their willingness to do so, and decided to establish a small intersessional working group to undertake the updating of the guidelines.

36. Furthermore, in paragraph 8 of the same decision, the Conference of the Parties invited Parties and others to provide comments to the Secretariat, by 31 October 2022, on whether technical guidelines on the environmentally sound management of rubber wastes (entry B3040) and waste parings and scrap of rubber (entry B3080) should be developed.

37. The Open-ended Working Group at its thirteenth meeting in February 2023 is scheduled to consider the scope of work for updating the guidelines as well as whether technical guidelines on the environmentally sound management of rubber wastes (entry B3040) and waste parings and scrap of rubber (entry B3080) should be developed.

## 4. Technical guidelines on the environmentally sound management of persistent organic pollutants

38. In line with entry A3210 in Annex VIII to the Basel Convention, as adopted in decision BC-15/12, plastic waste, including mixtures of such waste, containing or contaminated with Annex I constituents, to an extent that it exhibits an Annex III characteristic, is characterized as hazardous pursuant to Article 1, paragraph 1 (a). This includes plastic waste containing or contaminated with persistent organic pollutants such as certain brominated flame retardants.

39. At its fifteenth meeting, in decision BC-15/6, on technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants, the Conference of the Parties adopted the following technical guidelines:

(a) General technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants;<sup>40</sup>

(b) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF) and perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds;<sup>41</sup>

(c) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with the pesticides aldrin, alpha hexachlorocyclohexane, beta hexachlorocyclohexane, chlordane, chlordecone, dicofol, dieldrin, endrin, heptachlor, hexachlorobenzene, hexachlorobutadiene, lindane, mirex, pentachlorobenzene, pentachlorophenol and its salts, perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride, technical endosulfan and its related isomers or toxaphene or with hexachlorobenzene as an industrial chemical.<sup>42</sup>

40. In the same decision, the Conference of the Parties decided to continue working towards a review of provisional low persistent organic pollutant content values in the technical guidelines referred to in paragraph 2 (a) of the present decision, and other technical guidelines, as appropriate, before the sixteenth meeting of the Conference of the Parties, with a view to establishing low

<sup>38</sup> <http://www.basel.int/tabid/7992/Default.aspx>.

<sup>39</sup> UNEP/CHW.10/6/Add.1/Rev.1.

<sup>40</sup> UNEP/CHW.15/6/Add.1/Rev.1.

<sup>41</sup> UNEP/CHW.15/6/Add.2/Rev.1.

<sup>42</sup> UNEP/CHW.15/6/Add.3/Rev.1.



persistent organic pollutant content values for persistent organic pollutants for which no single value has been established.

41. Furthermore, the Conference of the Parties had adopted other relevant technical guidelines, in particular on waste streams relevant to plastic waste. Among them are the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexabromocyclododecane (HBCD) and the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexabromodiphenyl ether and heptabromodiphenyl ether, or tetrabromodiphenyl ether and pentabromodiphenyl ether (POP-PBDEs), which are available on the Convention website.<sup>43</sup>

#### **5. Technical guidelines on transboundary movements of electrical and electronic waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-waste under the Basel Convention**

42. Having amended Annexes II, VIII and IX to the Basel Convention, relating to electrical and electronic waste, the Conference of the Parties, in its decision BC-15/7, decided to extend the mandate of the expert working group on the technical guidelines on transboundary movements of electrical and electronic waste and used electrical and electronic equipment,<sup>44</sup> established by paragraph 4 of decision BC-13/5, and invited each regional group to reconsider their nomination and nominate, as appropriate, through its Bureau representatives, by 15 August 2022, members of the expert working group with relevant knowledge and expertise.

43. In the same decision, the Conference of the Parties requested the expert working group, taking into account the comments received from Parties and others and the amendments to Annexes II, VIII and IX to the Basel Convention adopted in decision BC-15/18 as well as paragraph 4 of decision BC-14/5, to prepare updated technical guidelines and submit them for the consideration of the Conference of the Parties at its sixteenth meeting. In addition, the Conference of the Parties included in the programme of work of the Open-ended Working Group for the biennium 2022–2023 to consider the need to update existing guidance, technical guidelines and factsheets in order to reflect adjustments consequential to the adoption of the e-waste amendments.

#### **6. Technical guidelines on incineration on land (D10) and on specially engineered landfill (D5)**

44. At its fifteenth meeting, the Conference of the Parties adopted the technical guidelines on the environmentally sound incineration of hazardous wastes and other wastes as covered by disposal operations D10 and R1<sup>45</sup> and the technical guidelines on the environmentally sound disposal of hazardous wastes and other wastes in specially engineered landfill (D5).<sup>46</sup>

45. The Conference of the Parties requested the Secretariat, among other things, to prepare, subject to the availability of resources, short documents that explain how the technical guidelines can be used at the national level, with a view to facilitating the dissemination and use of the technical guidelines, as part of its technical assistance activities.

### **D. Plastic Waste Partnership**

46. Established in 2019 in decision BC-14/13 by the Conference of the Parties, the Plastic Waste Partnership is a multi-stakeholder partnership encompassing more than 265 representatives from Parties, regional centres, the private sector, civil society and intergovernmental organisations.<sup>47</sup> The Partnership seeks to mobilise its broad stakeholder base to tackle the issue of plastic pollution on multiple fronts. Its activities are divided into 4 projects groups:

- (a) Plastic waste prevention and minimization;
- (b) Plastic waste collection, recycling and other recovery including financing and related markets;
- (c) Transboundary movements of plastic waste;
- (d) Outreach, education and awareness-raising.

<sup>43</sup> <http://www.basel.int/tabid/8025/Default.aspx>.

<sup>44</sup> UNEP/CHW.14/7/Add.6/Rev.1.

<sup>45</sup> UNEP/CHW.15/6/Add.4/Rev.1.

<sup>46</sup> UNEP/CHW.15/6/Add.5/Rev.1.

<sup>47</sup> <http://www.basel.int/tabid/8096/Default.aspx>.

47. Since its establishment, the Plastic Waste Partnership pilot programme has financed 23 pilot projects to be implemented by governments, the private sector, civil society, and the Basel and Stockholm conventions regional centres to operationalize the work of the Partnership on the ground and be replicated in other countries and regions.

48. A second call for pilot project proposals was issued in January 2022 with a submission deadline of April 2022. With 100 proposals received, the Plastic Waste Partnership steering group will announce its selection in December 2022. The third meeting of the working group,<sup>48</sup> being held back to back with the first session of the intergovernmental negotiating committee to develop an international legally binding instrument on plastic pollution, will be an opportunity for the group to take stock of the developments in its project groups and to plan for upcoming activities. Specifically, the meeting is expected to:

- (a) Discuss working modalities of the Plastic Waste Partnership, including the membership and financial arrangements;
- (b) Receive updates on key developments of relevance to the work of the Plastic Waste Partnership;
- (c) Track progress in the implementation of project group workplans and consider available outputs;
- (d) Consider a report on the Plastic Waste Partnership pilot project programme;
- (e) Develop the Plastic Waste Partnership working group workplan for the biennium 2024–2025;
- (f) Discuss activities that can promote working group cooperation and coordination.

## **E. Committee Administering the Mechanism for Promoting Implementation and Compliance**

49. Established in 2002, the Committee has the mandate to review both specific submissions regarding individual Parties' implementation and compliance, and general issues of implementation and compliance under the Convention. Over the years the Committee has helped 19 Parties resolve their compliance difficulties and promoted implementation by all Parties of their obligations under the Convention.

50. Under its 2022-2023 work programme, the Committee will continue to support 14 Parties in restoring compliance with their obligations under the Convention and was entrusted to undertake a range of activities to improve national reporting, the designation of country contacts, the development of legal frameworks, preventing and combating illegal traffic, and how to better integrate the implementation of the Convention in United Nations sustainable development cooperation frameworks. The Committee will meet for its fifteenth meeting in Geneva on 14-17 November 2022, and is also expected to convene a joint session with the first meeting of the Rotterdam Convention Compliance Committee to discuss issues of common interest.

## **F. Providing further legal clarity**

51. In decision BC-15/19, the Conference of the Parties took note of the progress made in the work of the expert working group on the review of Annexes that was mandated, among others, to consider whether any additional constituents or hazardous characteristic in relation to plastic wastes should be added to Annex I or III, respectively, to the Convention.<sup>49</sup>

52. The expert working group has developed draft recommendations on the matter<sup>50</sup> which will be submitted to the consideration of the Conference of the Parties at its sixteenth meeting.

## **G. National reporting and plastic waste inventory guidance**

53. Article 13 of the Basel Convention provides that each Party is to transmit, before the end of each calendar year, a report on the previous calendar year, containing relevant information, e.g. on generation of waste, imports and exports, availability of disposal facilities).

<sup>48</sup> <http://www.basel.int/pwp3>.

<sup>49</sup> UNEP/CHW.15/INF/21.

<sup>50</sup> <http://www.basel.int/tabid/9334/Default.aspx>.

54. In decision BC-15/13, the Conference of the Parties took note of the practical guidance on the development of inventories of plastic waste and encouraged Parties and others to make use of it and inform the Secretariat of their experience in doing so.<sup>51</sup> Pilot testing of the guidance is in progress in several countries. On the basis of feedback received from Parties and others and the results of pilot testing, the Secretariat is to present a revised guidance for consideration by the Conference of the Parties at its seventeenth meeting in 2025.

55. The Basel Convention national reports include reporting on plastic waste as it falls under the Convention. As the new global treaty is to specify national reporting, the experience of the Basel Convention and the information to be available under the national reporting may be of relevance to the committee.

## **H. Strategic framework for the implementation of the Basel Convention**

56. The strategic framework for the implementation of the Basel Convention for 2012–2021 was adopted at the tenth meeting of the Conference of the Parties in 2011 through decision BC-10/2. It is intended to evaluate the implementation of the Convention, rather than the Convention itself.

57. The strategic framework includes goals, objectives and indicators, such as the number of Parties with national strategies or plans in place to reduce the generation and ensure the environmentally sound management of hazardous and other wastes.

58. In decision BC-15/3 adopted in 2022, the Conference of the Parties welcomed the report on the final evaluation of the strategic framework for the implementation of the Basel Convention (UNEP/CHW.15/INF/5), and decided, among others, to improve, as appropriate, the strategic framework for 2012–2021, taking into account the main findings, conclusions and recommendations of the report on the final evaluation of the strategic framework as reflected in the decisions adopted at its fifteenth meeting and on the lessons learned in the preparation of the report,<sup>52</sup> especially those pertaining to technical assistance, capacity-building, technology transfer and cooperation, including through strengthened and coordinated actions of regional centres.

## **I. Other framework, guidance and tools available under the Basel Convention**

59. Other framework, guidance and tools available under the Basel Convention are listed below:

- (a) Framework for the ESM of hazardous wastes and other wastes (decision BC-11/1, UNEP/CHW.11/3/Add.1/Rev.1);
- (b) Set of practical manuals for the promotion of the environmentally sound management of wastes (UNEP/CHW.13/4/Add.1/Rev.1);
- (c) Guidance to assist Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal (UNEP/CHW.13/INF/11/Rev.1);
- (d) Guidance manual on how to improve the sea-land interface (UNEP/CHW.13/INF/37/Rev.1);
- (e) Practical manuals on extended producer responsibility and financing systems for environmentally sound management (UNEP/CHW.14/5/Add.1);
- (f) Practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.14/INF/6);
- (g) Guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of hazardous and other wastes (UNEP/CHW.14/INF/7);
- (h) Guidance on how to address the environmentally sound management of wastes in the informal sector (UNEP/CHW.14/INF/8);
- (i) Overall guidance document on the environmentally sound management of household waste (UNEP/CHW.14/INF/32);

<sup>51</sup> UNEP/CHW.15/INF/19/Rev.1.

<sup>52</sup> For example, the reports of meetings of the small intersessional working group and submissions from Parties, which are available at <http://www.basel.int/tabid/3807/Default.aspx>.

- (j) Environmentally sound management (ESM) toolkit (encompassing the guidance documents listed above);<sup>53</sup>
- (k) Guide to the control system;<sup>54</sup>
- (l) Guide for the development of national legal frameworks to implement the Basel Convention;<sup>55</sup>
- (m) Guidance developed by the Mobile Phone Partnership Initiative (MPPI) and by the Partnership for Action on Computing Equipment (PACE).<sup>56</sup>

### **III. Matters specific to the Rotterdam Convention**

#### **A. Compliance**

60. In 2019, more than 20 years after the adoption of the Rotterdam Convention, the ninth meeting of the Conference of the Parties gave effect to the legal basis set out in Article 17 for it to develop and approve, as soon as practicable, procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance. The Committee has the mandate to review both specific submissions regarding individual Parties' implementation and compliance, and systemic issues of implementation and compliance under the Convention. At its tenth meeting, in its decision RC-10/11, the Conference of the Parties adopted the work programme for 2022–2023 of the Committee.

61. The Committee will convene its first meeting in Geneva on 16-18 November 2022. The Committee is expected to consider its mandate related to specific submissions regarding Party implementation and compliance, and initiate its work on the review of systemic issues of general compliance based on the work programme for 2022-2023 adopted by the Conference of the Parties. It will also consider its draft 2024-2025 work programme, as well as the date and venue of its second meeting. The Committee is also expected to convene a joint session with the fifteenth meeting of the Basel Convention Implementation and Compliance Committee to discuss issues of common interest.

#### **B. Listing of chemicals in Annex III to the Rotterdam Convention**

62. At its tenth meeting, the Conference of the Parties adopted decisions RC-10/6 and RC-10/7, by which it decided to list decabromodiphenyl ether and perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds in Annex III to the Convention, respectively. Of the 54 chemicals listed in Annex III to the Convention, 15 chemicals are plastic additives and are subject to prior informed consent procedure.

### **IV. Matters specific to the Stockholm Convention on Persistent Organic Pollutants**

#### **A. Listing of chemicals in Annexes A, B and/or C to the Convention**

63. At its tenth meeting, the Conference of the Parties adopted decision SC-10/13, by which it decided to list perfluorohexane sulfonic acid (PFHxS), its salts and PFHxS-related compounds in Annex A to the Convention. Of the 31 persistent organic pollutants listed under the Stockholm Convention, 15 are either plastic additives or by-products, such as brominated flame retardants.

64. In addition, at its eighteenth meeting, the Persistent Organic Pollutants Review Committee, a subsidiary body mandated to review new chemicals proposed for listing under the Stockholm Convention, recommended to the Conference of the Parties that it consider listing two industrial chemicals, Dechlorane Plus and UV-328, in Annex A to the Convention. A flame retardant and a UV absorbent respectively, both chemicals are heavily used as plastic additives, including for uses that require time to be phased out, such as for motor vehicles, industrial machines and in medical devices. For that reason, the Committee's recommendations included time-limited specific exemptions.

<sup>53</sup> <http://www.basel.int/tabid/5839/Default.aspx>.

<sup>54</sup> <http://www.basel.int/tabid/2364/Default.aspx>.

<sup>55</sup> Ibid.

<sup>56</sup> <http://www.basel.int/tabid/8982/Default.aspx>.

65. Furthermore, the Committee at its eighteenth meeting decided that the following two groups of chemicals are likely, as a result of their long-range environmental transport, to lead to significant adverse human health and/or environmental effects such that global action is warranted: “chlorinated paraffins with carbon chain lengths in the range C<sub>14-17</sub> and chlorination levels at or exceeding 45% chlorine by weight” and “long-chain perfluorocarboxylic acids, their salts and related compounds”. Those chemicals are both relevant to plastics.

66. In order to further support its consideration on long-range environmental transport, in particular in view of chemicals transported via plastics in the environment and biota, the Committee is preparing a revised draft document on long-range environmental transport,<sup>57</sup> for consideration at its nineteenth meeting to be held from 8 to 13 October 2023 in Rome.

67. The Committee’s recommendations on the listing of Dechlorane Plus and UV-328, among others, will be considered at the next meeting of the Conference of the Parties to the Stockholm Convention to be held from 1 to 12 May 2023 in Geneva.

## **B. National implementation plans**

68. Article 7 of the Stockholm Convention requires each Party to transmit national implementation plans within 2 years from the date of entry into force and to review and update the plans. At its tenth meeting, the Conference of the Parties considered the note by the Secretariat on implementation plan<sup>58</sup> and took note of the revised guidance on developing and updating national implementation plans for the Stockholm Convention<sup>59</sup> and the draft guidance prepared by the Secretariat.<sup>60</sup>

## **C. Financial mechanism**

69. Article 13 of the Stockholm Convention states that each Party undertakes to provide, within its capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objective of this Convention in accordance with its national plans, priorities and programmes.<sup>61</sup> Article 14 of the Stockholm Convention establishes the interim financial arrangements.<sup>62</sup> The institutional structure of the Global Environment Facility (GEF)<sup>63</sup> is entrusted with the operations of the financial mechanism referred to in Article 13.

## **D. National reporting**

70. Article 15 of the Stockholm Convention provides each Party to report on the implementation of the Convention every four years. The questionnaire used for Parties to provide their reports is made available online through the Electronic Reporting System and it contains questions and tables covering multiple aspects of relevance to the implementation of the Convention. There are qualitative and quantitative information expected to be provided by each Party, which includes, among other things, statistical information on total quantities of production, import and export of chemicals listed in Annexes A and B, and measures taken to implement the provisions. The information provided in the national reports is used in various evaluation processes such as the effectiveness evaluation pursuant to Article 16, evaluation of progress in the elimination of PCB.

## **E. Effectiveness evaluation**

71. Article 16 of the Stockholm Convention provides that commencing four years after the date of entry into force of the Convention, and periodically thereafter at intervals decided by the Conference of the Parties, the Conference shall evaluate the effectiveness of the Convention.<sup>64</sup> In line with the

<sup>57</sup> UNEP/POPS/POPRC.18/INF/22.

<sup>58</sup> UNEP/POPS/COP.10/10.

<sup>59</sup> <http://www.pops.int/tabid/7730/Default.aspx>.

<sup>60</sup> UNEP/POPS/COP.10/INF/22, UNEP/POPS/COP.10/INF/23, UNEP/POPS/COP.10/INF/24, UNEP/POPS/COP.10/INF/25 and UNEP/POPS/COP.10/INF/55.

<sup>61</sup> <http://chm.pops.int/tabid/677/Default.aspx>.

<sup>62</sup> <http://chm.pops.int/tabid/681/Default.aspx>.

<sup>63</sup> <https://www.thegef.org/>.

<sup>64</sup> <http://chm.pops.int/tabid/369/Default.aspx>.

framework for effectiveness evaluation adopted in decision SC-6/22,<sup>65</sup> the first effectiveness evaluation took place at the eighth meeting of the Conference of the Parties in 2017.<sup>66</sup>

72. The next effectiveness evaluation is set to take place at the eleventh meeting of the Conference of the Parties in 2023. The effectiveness evaluation committee established in decision SC-10/1 is currently preparing the report and recommendations for consideration by the Conference of the Parties.

73. Furthermore, in order to facilitate such evaluation, the Conference of the Parties established the global monitoring plan for persistent organic pollutants as arrangements to provide itself with comparable monitoring data on the presence of the chemicals listed in Annexes A, B and C as well as their regional and global environmental transport.<sup>67</sup> The global coordination group of the global monitoring plan is currently preparing the third global monitoring report for submission to the Conference of the Parties at its eleventh meeting.

## **F. Compliance**

74. At its next meeting in 2023, the Conference of the Parties will continue to consider giving effect to the legal basis set out in Article 17 for it to develop and approve, as soon as practicable, procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance.

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<sup>65</sup> UNEP/POPS/COP.6/27/Add.1/Rev.1.

<sup>66</sup> UNEP/POPS/COP.8/22, UNEP/POPS/COP.8/22.Add.1, UNEP/POPS/COP.8/INF/40.

<sup>67</sup> <http://chm.pops.int/tabid/83/Default.aspx>.

## Annex II

### BC-15/10: Technical guidelines on the environmentally sound management of plastic wastes

#### *The Conference of the Parties*

1. *Welcomes with appreciation* the contributions made by the Governments of China, Japan and the United Kingdom of Great Britain and Northern Ireland, as co-lead countries, and the small intersessional working group established pursuant to paragraph 20 of decision BC-14/13 to the tasks pertaining to the technical guidelines for the identification and environmentally sound management of plastic wastes and for their disposal;
2. *Underscores* the importance of the timely updating of the technical guidelines referred to in paragraph 1 of the present decision and notes the progress achieved during the fifteenth meeting of the Conference of the Parties towards their finalization, as reflected in the draft updated technical guidelines on the environmentally sound management of plastic wastes;<sup>68</sup>
3. *Decides* to extend the mandate of the small intersessional working group established pursuant to paragraph 20 of decision BC-14/13;
4. *Invites* Parties and observers to nominate additional experts to participate in the small intersessional working group, and to inform the Secretariat of their nominations, by 31 July 2022;
5. *Also invites* Parties and observers to submit to the Secretariat, by 16 September 2022, general comments and textual proposals on the draft updated technical guidelines referred to in paragraph 2 of the present decision, referring to specific paragraphs and tables, together with related rationales, if possible, and as appropriate, and requests the Secretariat to make the general comments and the proposals available on the Convention website;
6. *Invites* the Governments of China, Japan and the United Kingdom of Great Britain and Northern Ireland, as co-lead countries, in consultation with the small intersessional working group, to prepare a further updated version of the technical guidelines on the environmentally sound management of plastic wastes taking into account the discussion during the fifteenth meeting of the Conference of the Parties and the general comments and textual proposals received pursuant to paragraph 5 of the present decision, for consideration by the Open-ended Working Group at its thirteenth meeting;
7. *Decides* that the small intersessional working group will operate by electronic means and, subject to the availability of resources, will also hold face-to-face meetings;
8. *Requests* the Secretariat to transmit the present decision, and to report on the progress regarding the draft updated technical guidelines on the environmentally sound management of plastic wastes, to the Executive Director of the United Nations Environment Programme and to the intergovernmental negotiating committee established pursuant to United Nations Environment Assembly resolution 5/14, entitled “End plastic pollution: towards an international legally binding instrument”;
9. *Also requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its thirteenth meeting and to the Conference of the Parties at its sixteenth meeting.

<sup>68</sup> UNEP/CHW.15/6/Add.7/Rev.1.

## Annex III

**List of documents, reports, guidance and decisions of the Basel, Rotterdam and Stockholm conventions with indication of relevance to paragraphs 3 and 4 of UNEA resolution 5/14**

Document name	Release date/planned release date	Link to document	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
Text of the Basel Convention	2 March 1989	<a href="http://www.basel.int/tabid/1275">http://www.basel.int/tabid/1275</a>	Article 1 and 4 of the Convention provides scope and general obligations of the Convention, respectively. Article 10 provide international cooperation. Article 11 addresses consideration of bilateral, multilateral and regional agreements. Article 13 provides transmission of information including national reporting. Article 14 provides financial aspects. Articles 15 and 16 are on the Conference of the Parties and the Secretariat, respectively.	3 (a), (b), (c), (f), (g), (h), (i), (j), (k), (l), (m), (n), (o), (p)  4 (a), (b), (c), (d), (e), (f), (g)
Text of the Rotterdam Convention	10 September 1998	<a href="http://www.pic.int/tabid/1048">http://www.pic.int/tabid/1048</a>	Article 1 of the Convention provides objective of the Convention. Annex III to the Convention lists chemicals subject to the prior informed consent procedure, including those plastic additives and by-products. Article 14 provides information exchange. Article 16 provides technical assistance. Article 17 is on compliance. Articles 18 and 19 are on the Conference of the Parties and the Secretariat, respectively.	3 (a), (c), (d), (e), (j), (k), (n), (p)  4 (a), (g)
Text of the Stockholm Convention	22 May 2001	<a href="http://chm.pops.int/tabid/2232">http://chm.pops.int/tabid/2232</a>	Article 1 of the Convention provides objective of the Convention Annex A, B and C to the Convention lists POPs including plastic additives and by-products. Article 3 of the Convention provides measures to reduce or eliminate releases from intentional production and use of POPs and Article 4 provides specific exemptions. Other exemptions are also available in relevant parts of Annexes A and B. Article 6 of the Convention provides measures to reduce or eliminate releases from stockpiles and wastes. Article 7 of the Convention requires Parties to develop and implement a plan for the implementation of the Convention (national implementation plans). Article 8 provides a process for listing new chemicals in Annexes A, B and C to the Convention. Article 9 provides information exchange. Article 10 provides public information, awareness and education. Article 11 provides research, development and monitoring. Article 12 provides technical assistance. Articles 13 and 14 are provisions relating to financial resources. Article 15 provides national reporting. Article 16 provides effectiveness evaluation. Article 17 is on compliance. Articles	3 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k), (l), (m), (n), (o), (p)  4 (a), (b), (c), (d), (e), (f), (g)



Document name	Release date/planned release date	Link to document	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
			19 and 20 are on the Conference of the Parties and the Secretariat, respectively.	
Draft updated technical guidelines on the identification and environmentally sound management of plastic wastes and for their disposal (UNEP/CHW.15/6/Add.7; UNEP/CHW/OEWG.12/INF/14/Rev.1)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a>	The technical guidelines provide guidance on the environmentally sound management of plastic wastes. Plastic wastes, in the context of the guidelines, covers plastic wastes classified by entries Y48 in Annex II, A3210 in Annex VIII and B3011 in Annex IX to the Basel Convention. Furthermore, the guidelines cover plastic wastes extracted and/or separated from other waste streams that have plastic components or consist partially or fully of plastic (e.g., waste electrical and electronic equipment (WEEE), waste vehicles, waste cables, waste lead-acid batteries and waste textiles for which there are separate related entries in Annexes VIII and IX).	3 (b)
Practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.15/5/Add.1; UNEP/CHW/OEWG.12/INF/5/Rev.1)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a>	In accordance with the Basel Convention, a Prior Informed Consent procedure must be followed for transboundary movements (TBM) of hazardous wastes and other wastes. This means that planned TBMs must be notified in advance by the exporter to all competent authorities of the States involved and can only be undertaken if all competent authorities have given their consent to the movement. In addition, it must be ensured that the wastes will be managed in an environmentally sound manner. This practical manual serves as a reference for decision-making related to the consent of a TBM of hazardous wastes and other wastes. The manual identifies elements of information useful in determining whether the wastes subject to a TBM will be managed in an environmentally sound manner.	3 (b)
Basel Convention Partnership Programme (UNEP/CHW.15/18/Rev.1) Report on the activities of the Plastic Waste Partnership working group, which includes progress made by the respective project groups (UNEP/COP.15/INF/36)	2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a>	The working group agreed to establish four project groups, on prevention and minimization; plastic waste collection, recycling and other recovery, including financing and related markets; transboundary movements of plastic waste; and outreach, education and awareness-raising. Following the meeting, each project group worked to develop its respective workplan. The report contains information on activities of the project groups.	3 (b), (l), (m), (o)
National reporting (UNEP/CHW.15/8) and practical guidance on the development of inventories of plastic waste (UNEP/CHW.15/INF/19; UNEP/CHW/OEWG.12/INF/15/Rev.1)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a> <a href="http://www.basel.int/tabid/2314">http://www.basel.int/tabid/2314</a> <a href="http://www.basel.int/tabid/8755">http://www.basel.int/tabid/8755</a>	The guidance aims to provide practical instructions to assist Parties and others in developing inventories of plastic waste. The main objective of developing a plastic waste inventory is to obtain information on the amount of plastic waste generated at a country level, as well as its disposal and transboundary movement. Having a clear picture as to which wastes are generated and the quantities that need to be managed provides the basis for their environmentally sound management. The guidance proposes methodologies for estimating plastic waste	3 (f)

Document name	Release date/planned release date	Link to document	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
			generation at the national level as well as the flow of such waste through the waste management system and to the environment.	
Committee Administering the Mechanism for Promoting Implementation and Compliance (UNEP/CHW.15/12/Rev.1; UNEP/CHW.15/INF/14, 15, 16, 17)	2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a>	The document provides information on the Committee Administering the Mechanism for Promoting Implementation and Compliance under the Basel Convention.	3 (g), (p)
Providing further legal clarity (UNEP/CHW.15/13; UNEP/CHW.15/INF/21)	2021	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a>	The document provides information on the work under the Basel Convention to provide further legal clarity. INF/21 sets out information on the work of the expert working group in relation to the review of Annexes I and III, including with respect to constituents and characteristics of plastic wastes..	3 (b)
Further consideration of plastic waste (UNEP/CHW.15/10; UNEP/CHW.15/INF/10; UNEP/CHW.15/INF/11)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a>	The Basel Convention Open-ended Working Group was tasked to consider whether, how and when the Conference of the Parties should assess the effectiveness of the measures taken under the Convention to address the plastic waste contributing to marine plastic litter and microplastics; and which further activities could possibly be conducted under the Convention. INF/10 contains recommendations for consideration by the Conference of the Parties. INF/11 is the report by UNEP on implementation of UNEA resolutions on marine litter and microplastics.	3 (g), (h), (k)
Draft report on the final evaluation of the strategic framework for the implementation of the Basel Convention for 2012–2021 (UNEP/CHW.15/3; UNEP/CHW.15/3/Add.1; UNEP/CHW.15/INF/5; UNEP/CHW/OEWG.12/INF/4/Rev.1)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a>	The document contains the report on the final evaluation of the strategic framework for the implementation of the Basel Convention for 2012–2021 adopted in decision BC-10/2.	3 (g), (h)
Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System (UNEP/CHW.15/7; UNEP/CHW/OEWG.12/INF/10)	2021/2022	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a> <a href="http://www.basel.int/tabid/8264">http://www.basel.int/tabid/8264</a>	Information on the cooperation with the World Customs Organization can be found in document UNEP/CHW.15/7. Annex III to document UNEP/CHW/OEWG.12/INF/10 contains draft proposal on amendments to the Harmonized Commodity Description and Coding System with respect to plastic waste.	3 (c)
Framework for the environmentally sound management of hazardous wastes and other wastes (UNEP/CHW.11/3/Add.1/Rev.1)	2013	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The framework for the environmentally sound management of hazardous wastes and other wastes was developed to identify what countries should do at the national level and collectively as parties to the Convention to address the challenges of implementing the	3 (b)

Document name	Release date/planned release date	Link to document	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
			environmentally sound management of wastes in a systematic and comprehensive manner.	
Glossary of terms (UNEP/CHW.13/4/Add.2)	2013	<a href="http://www.basel.int/tabid/3622">http://www.basel.int/tabid/3622</a>	The general purpose of the glossary of terms is the clarification of certain terms in order to improve the implementation of the Convention and the application of technical guidelines and guidance documents developed under the Convention. It provides definitions of terms such as wastes, non-wastes, hazardous wastes, hazardous characteristics, disposal, final disposal, recovery, recycling, repair, refurbishment, reuse and direct reuse.	3 (b)
Set of practical manuals for the promotion of the environmentally sound management of wastes (UNEP/CHW.13/4/Add.1/Rev.1)	2013	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The document provides practical manuals for the promotion of the environmentally sound management of wastes.	3 (b)
Guidance to assist Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal (UNEP/CHW.13/INF/11/Rev.1)	2017	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The guidance assists Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal.	3 (b)
Guidance manual on how to improve the sea-land interface (UNEP/CHW.13/INF/37/Rev.1)	2017	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The objective of the manual is to provide guidance through an overview of tools, practices, procedures and measures in order to ensure that wastes and residues falling within the scope of the MARPOL Convention, once offloaded from a ship, are managed in an environmentally sound manner.	3 (b), (c), (k)
Revised draft practical manuals on extended producer responsibility and financing systems for environmentally sound management (UNEP/CHW.14/5/Add.1)	2019	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The manual provides stakeholders with general guidance on extended producer responsibility and financing systems for environmentally sound management.	3 (b)
Revised draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.14/INF/6)	2019	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The manual serves as a reference for decision-making related to the consent of a transboundary movements of hazardous wastes and other wastes. The manual identifies elements of information useful in determining whether the wastes subject to a transboundary movements will be managed in an environmentally sound manner.	3 (b)
Revised draft guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of	2019	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The guidance is to assist Parties in developing strategies and instruments, both mandatory and voluntary, to promote the recycling	3 (b)

Document name	Release date/planned release date	Link to document	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
hazardous and other wastes (UNEP/CHW.14/INF/7)			and other recovery of hazardous wastes and other wastes where it has not been possible to prevent their generation.	
Revised draft guidance on how to address the environmentally sound management of wastes in the informal sector (UNEP/CHW.14/INF/8)	2019	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The guidance provides information on how to address the environmentally sound management of wastes in the informal sector.	3 (b) 4 (e)
Revised draft overall guidance document on the environmentally sound management of household waste (UNEP/CHW.14/INF/32)	2019	<a href="http://www.basel.int/tabid/8333">http://www.basel.int/tabid/8333</a>	The objective of the guidance is to promote and share existing practical and concrete solutions in order to assist stakeholders on the environmentally sound management of household waste.	3 (b)
Environmentally sound management (ESM) toolkit	2019	<a href="http://www.basel.int/tabid/5839">http://www.basel.int/tabid/5839</a>	The ESM toolkit is a collection of practical tools to assist Parties and other stakeholders in ensuring environmentally sound management of hazardous and other wastes.	3 (b) 4 (e)
Guidance developed by the Mobile Phone Partnership Initiative (MPPI) and by the Partnership for Action on Computing Equipment (PACE)	2006/2017	<a href="http://www.basel.int/tabid/8282">http://www.basel.int/tabid/8282</a>	PACE and MPPI guidance document provides guidance for the prevention, collection, recycling and final disposal of mobile phones and computing equipment, including the identification and the treatment of plastic fractions.	3 (b) 4 (e)
Handbook for effective participation in the work of the POPs Review Committee	2009	<a href="http://chm.pops.int/tabid/345">http://chm.pops.int/tabid/345</a>	The POPs Review Committee is a subsidiary body established to review new chemicals proposed for listing under the Stockholm Convention. The document explains how the process works.	3 (i) 4 (f)
Draft guidance on long-range environmental transport (UNEP/POPS/POPRC.17/INF/15)	2022	<a href="http://chm.pops.int/tabid/8900">http://chm.pops.int/tabid/8900</a>	The guidance is to aid the POPs Review Committee in their future evaluations in relation to long-range environmental transport in the context of Annexes D and E to the Stockholm Convention.	3 (i)
Implementation plans (UNEP/POPS/COP.10/10; UNEP/POPS/COP.10/INF/21)	2021/2022	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a>	The documents provide, among others, information on the status of the transmission of implementation plans, including revised and updated plans pursuant to Article 7 of the Stockholm Convention.	3 (d), (e)
Reporting pursuant to Article 15 of the Stockholm Convention (UNEP/POPS/COP.10/16)	2021/2022	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a> <a href="http://chm.pops.int/tabid/3668">http://chm.pops.int/tabid/3668</a>	The document provides information on reporting pursuant to Article 15 of the Stockholm Convention. The deadline for the fifth national reporting is 31 August 2022.	3 (f)
Effectiveness evaluation (UNEP/POPS/COP.10/17)	2021/2022	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a> <a href="http://chm.pops.int/tabid/369">http://chm.pops.int/tabid/369</a>	The document provides information on the effectiveness evaluation pursuant to Article 16 of the Stockholm Convention. The next evaluation will take place at the COP-11 in 2023.	3 (g), (h)
Global monitoring plan for effectiveness evaluation (UNEP/POPS/COP.10/18; UNEP/POPS/COP.10/INF/41)	2021/2022	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a> <a href="http://chm.pops.int/tabid/83">http://chm.pops.int/tabid/83</a>	The document provides information on the Global Monitoring Plan that supports the effectiveness evaluation of the Stockholm Convention and the third regional reports of the POPs monitoring.	3 (i)

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Technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions (UNEP/CHW.15/16–UNEP/FAO/RC/COP.10/15–UNEP/POPS/COP.10/13)	2021	<a href="http://www.brsmeas.org/tabid/8810">http://www.brsmeas.org/tabid/8810</a>	The document provides information on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions.	3 (c), (n)
Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology (UNEP/POPS/COP.10/14)	2021	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a>	The documents provide information on regional centres under the Stockholm Convention.	3 (c), (n)
Basel Convention regional and coordinating centres (UNEP/CHW.15/17; UNEP/CHW.15/INF/32)	2021	<a href="http://www.basel.int/tabid/8392">http://www.basel.int/tabid/8392</a>	The documents provide information on regional centres under the Basel Convention.	3 (c), (n)
Financial mechanism (UNEP/POPS/COP.10/15/Rev.1)	2022	<a href="http://chm.pops.int/tabid/8397">http://chm.pops.int/tabid/8397</a>	The document provides information on financial mechanism under the Stockholm Convention.	3 (c), (n) 4 (b)
International cooperation and coordination with other organizations (UNEP/CHW.15/21/Rev.1–UNEP/FAO/RC/COP.10/17/Rev.1–UNEP/POPS/COP.10/21/Rev.1)	2022	<a href="http://www.brsmeas.org/tabid/8810">http://www.brsmeas.org/tabid/8810</a>	The document provides information on international cooperation and coordination with other organizations.	3 (c), (k)
Clearing-house mechanism for information exchange (UNEP/CHW.15/22–UNEP/FAO/RC/COP.10/18–UNEP/POPS/COP.10/22)	2021	<a href="http://www.brsmeas.org/tabid/8810">http://www.brsmeas.org/tabid/8810</a>	The document provides information on clearing-house mechanism for information exchange under the Basel, Rotterdam and Stockholm conventions.	3 (j) 4 (d)
From science to action (UNEP/CHW.15/25–UNEP/FAO/RC/COP.10/21–UNEP/POPS/COP.10/25; UNEP/CHW.15/INF/49/Rev.1–UNEP/FAO/RC/COP.10/INF/36/Rev.1–UNEP/POPS/COP.10/INF/54/Rev.1)	2021/2022	<a href="http://www.brsmeas.org/tabid/8810">http://www.brsmeas.org/tabid/8810</a>	The documents provide information on activities related to enhancing science-policy interaction and strengthening science-based decision making	3 (i), (o) 4 (d)