

## Annex I Additional information sources provided by the Secretariat of the Basel, Rotterdam and Stockholm Conventions

Document name	Release date/planned release date	Summary of content	Relevance to operative paragraphs 3 and 4 of resolution 5/14
<a href="#">Text of the Basel Convention</a>	2 March 1989	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)
<a href="#">Text of the Rotterdam Convention</a>	10 September 1998	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)
<a href="#">Text of the Stockholm Convention</a>	22 May 2001	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	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)

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		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 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 ( <a href="#">UNEP/CHW.15/6/Add.7</a> ; <a href="#">UNEP/CHW/OEWG.12/INF/14/Rev.1</a> )	2021/2022	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 ( <a href="#">UNEP/CHW.15/5/Add.1</a> ; <a href="#">UNEP/CHW/OEWG.12/INF/5/Rev.1</a> )	2021/2022	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	3 (b)

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		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.	
Basel Convention Partnership Programme ( <a href="#">UNEP/CHW.15/18/Rev.1</a> )  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  INF/36 to be available in May 2022	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 ( <a href="#">UNEP/CHW.15/8</a> ) and draft practical guidance on the development of inventories of plastic waste ( <a href="#">UNEP/CHW.15/INF/19</a> ; <a href="#">UNEP/CHW/OEWG.12/INF/15/Rev.1</a> )	2021/2022	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. This guidance aims to provide practical instructions to assist Parties and others in developing inventories of plastic waste.	3 (f)
<a href="#">Committee Administering the Mechanism for Promoting Implementation and Compliance</a> (UNEP/CHW.15/12/Rev.1; UNEP/CHW.15/INF/14, 15, 16, 17)	2022	The document provides information on the Committee Administering the Mechanism for Promoting Implementation and Compliance under the Basel Convention.	3 (g), (p)
<a href="#">Providing further legal clarity</a> (UNEP/CHW.15/13; UNEP/CHW.15/INF/21)	2021	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)

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Further consideration of plastic waste ( <a href="#">UNEP/CHW.15/10</a> ; <a href="#">UNEP/CHW.15/INF/10</a> ; <a href="#">UNEP/CHW.15/INF/11</a> )	2021/2022	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 ( <a href="#">UNEP/CHW.15/3</a> ; <a href="#">UNEP/CHW.15/3/Add.1</a> ; <a href="#">UNEP/CHW.15/INF/5</a> ; <a href="#">UNEP/CHW/OEWG.12/INF/4/Rev.1</a> )	2021/2022	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 ( <a href="#">UNEP/CHW.15/7</a> ; <a href="#">UNEP/CHW/OEWG.12/INF/10</a> )	2021/2022	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)
<a href="#">Framework for the environmentally sound management of hazardous wastes and other wastes</a> (UNEP/CHW.11/3/Add.1/Rev. 1)	2013	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 environmentally sound management of wastes in a systematic and comprehensive manner.	3 (b)

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<a href="#">Glossary of terms</a> (UNEP/CHW.13/4/Add.2)	2013	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)
<a href="#">Set of practical manuals for the promotion of the environmentally sound management of wastes</a> (UNEP/CHW.13/4/Add.1/Rev. 1)	2013	The document provides practical manuals for the promotion of the environmentally sound management of wastes.	3 (b)
<a href="#">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</a> (UNEP/CHW.13/INF/11/Rev.1 )	2017	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)
<a href="#">Guidance manual on how to improve the sea-land interface</a> (UNEP/CHW.13/INF/37/Rev.1 )	2017	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)
<a href="#">Revised draft practical manuals on extended producer responsibility and financing systems for environmentally sound management</a> (UNEP/CHW.14/5/Add.1)	2019	The manual provides stakeholders with general guidance on extended producer responsibility and financing systems for environmentally sound management.	3 (b)
<a href="#">Revised draft practical manual for stakeholders to ensure that</a>	2019	The manual serves as a reference for decision-making related to the consent of a transboundary movements of	3 (b)

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<a href="#">notifications of transboundary movements meet environmentally sound management requirements</a> (UNEP/CHW.14/INF/6)		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.	
<a href="#">Revised draft guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of hazardous and other wastes</a> (UNEP/CHW.14/INF/7)	2019	The guidance is to assist Parties in developing strategies and instruments, both mandatory and voluntary, to promote the recycling and other recovery of hazardous wastes and other wastes where it has not been possible to prevent their generation.	3 (b)
<a href="#">Revised draft guidance on how to address the environmentally sound management of wastes in the informal sector</a> (UNEP/CHW.14/INF/8)	2019	The guidance provides information on how to address the environmentally sound management of wastes in the informal sector.	3 (b) 4 (e)
<a href="#">Revised draft overall guidance document on the environmentally sound management of household waste</a> (UNEP/CHW.14/INF/32)	2019	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)
<a href="#">Environmentally sound management (ESM) toolkit</a>	2019	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)
<a href="#">Handbook for effective participation in the work of the POPs Review Committee</a>	2009	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)
<a href="#">Draft guidance on long-range environmental transport</a> (UNEP/POPS/POPRC.17/INF/15)	2022	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)

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<a href="#">Implementation plans</a> (UNEP/POPS/COP.10/10; UNEP/POPS/COP.10/INF/21)	2021/2022	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)  ( <a href="#">here</a> and <a href="#">here</a> )	2021/2022	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)  ( <a href="#">here</a> and <a href="#">here</a> )	2021/2022	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 ( <a href="#">UNEP/POPS/COP.10/18</a> ; <a href="#">UNEP/POPS/COP.10/INF/41</a> )	2021/2022	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)
<a href="#">Technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions</a> (UNEP/CHW.15/16– UNEP/FAO/RC/COP.10/15– UNEP/POPS/COP.10/13)	2021	The document provides information on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions.	3 (c), (n)
<a href="#">Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology</a> (UNEP/POPS/COP.10/14)	2021	The documents provide information on regional centres under the Stockholm Convention.	3 (c), (n)
<a href="#">Basel Convention regional and coordinating centres</a> (UNEP/CHW.15/17; UNEP/CHW.15/INF/32)	2021	The documents provide information on regional centres under the Basel Convention.	3 (c), (n)

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<a href="#">Financial mechanism</a> (UNEP/POPS/COP.10/15/Rev.1)	2022	The document provides information on financial mechanism under the Stockholm Convention.	3 (c), (n) 4 (b)
<a href="#">International cooperation and coordination with other organizations</a> (UNEP/CHW.15/21/Rev.1– UNEP/FAO/RC/COP.10/17/Rev.1– UNEP/POPS/COP.10/21/Rev.1)	2022	The document provides information on international cooperation and coordination with other organizations.	3 (c), (k)
<a href="#">Clearing-house mechanism for information exchange</a> (UNEP/CHW.15/22– UNEP/FAO/RC/COP.10/18– UNEP/POPS/COP.10/22)	2021	The document provides information on clearing-house mechanism for information exchange under the Basel, Rotterdam and Stockholm conventions.	3 (j) 4 (d)
<a href="#">From science to action</a> (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	The documents provide information on activities related to enhancing science-policy interaction and strengthening science-based decision making	3 (i), (o) 4 (d)



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### **Additional information:**

Under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and Stockholm Convention on Persistent Organic pollutants, following work/activities that might be of relevance to the committee:<sup>1</sup>

#### Basel Convention:

- (a) Technical guidelines for the identification and environmentally sound management (ESM) of plastic wastes and for their disposal: In response to decision BC-14/13, the technical guidelines on plastic waste are being revised for possible adoption at the face-face segment of the fifteenth meeting of the Conference of the Parties (UNEP/CHW.15/6/Add.1). Furthermore, in response to decision BC-14/10, the Secretariat developed a revised draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.15/5/Add.1), for possible adoption by the Conference of the Parties. Other guidance documents relevant to plastic waste are available at the Basel Convention website.<sup>2</sup> As the new global treaty is to promote, among others, environmentally sound waste management,<sup>3</sup> the development of the technical guidelines under the Basel Convention as well as other relevant guidance documents may be of relevance to the committee;
- (b) Plastic Waste Partnership: Established in 2019 by the Conference of the Parties to the Basel Convention, the Partnership is delivering its activities through 4 project groups: plastic waste prevention and minimization; plastic waste collection, recycling and other recovery including financing and related markets; transboundary movements of plastic waste; outreach, education and awareness-raising. 23 pilot projects are being implemented. As the new global treaty is to promote sustainable production and consumption of plastics, including, among others, product design, and environmentally sound waste management, including through resource efficiency and circular economy approaches;<sup>4</sup> to encourage action by all stakeholders, including the private sector, and to promote cooperation at the global, regional, national and local levels;<sup>5</sup> to initiate a multi-stakeholder action agenda;<sup>6</sup> and to promote research and development of sustainable, affordable, innovative and cost-efficient approaches the work undertaken by the Plastic Waste Partnership may be of relevance to the committee<sup>7</sup>.

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<sup>1</sup> The documents for consideration at the face-to-face segment of the 2021/2022 meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions to take place from 6 to 17 June 2022 in Geneva are available at: <http://www.brsmeas.org/tabid/8395>.

<sup>2</sup> <http://www.basel.int/tabid/8333>.

<sup>3</sup> Paragraph 3 (b) of UNEA resolution 5/14.

<sup>4</sup> Paragraph 3 (b) of UNEA resolution 5/14.

<sup>5</sup> Paragraph 3 (l) of UNEA resolution 5/14.

<sup>6</sup> Paragraph 3 (m) of UNEA resolution 5/14.

<sup>7</sup> Paragraph 3 (o) of UNEA resolution 5/14.

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- (c) National reporting and plastic waste inventory guidance: 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.<sup>8</sup> In response to decision BC-14/10, the Secretariat developed draft practical guidance on the development of inventories of plastic waste (UNEP/CHW.15/INF/19). 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,<sup>9</sup> the experience of the Basel Convention and the information to be available under the national reporting may be of relevance to the committee.
- (d) Committee Administering the Mechanism for Promoting Implementation and Compliance: 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 18 Parties resolve their compliance difficulties and monitored progress achieved by all Parties with their implementation of the Convention in relation to country contacts, reporting, legislation, illegal traffic and control measures. As the new global treaty is to periodically assess the progress of implementation of the instrument<sup>10</sup> and to address compliance,<sup>11</sup> the experience of the Committee Administering the Mechanism for Promoting Implementation and Compliance may be of relevance to the committee.
- (e) Providing further legal clarity: Pursuant to decision BC-14/13, the expert working group on the review of Annexes is 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. Information on the progress achieved by the group is set out in document UNEP/CHW.15/INF/21 for consideration by the Conference of the Parties at its fifteenth meeting. As the new global treaty is to promote among others, environmentally sound waste management<sup>12</sup>, the findings of the expert working group may be of relevance to the committee.
- (f) Plastic Waste Amendments: Adopted in 2019, the amendments to the entries in Annexes II, VIII and IX to the Basel Convention became effective 1 January 2021.<sup>13</sup> The amendments refer to changes to the scope of the plastic waste covered by the following provisions of the Basel Convention:
- a. Control procedure for transboundary movements (Prior informed Consent (PIC); procedure) and the conditions under which this procedure applies or not;
  - b. Provisions pertaining to waste minimization;
  - c. Provisions pertaining to the environmentally sound management of wastes.

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<sup>8</sup> <http://www.basel.int/tabid/2314>; <http://www.basel.int/tabid/8989>.

<sup>9</sup> Paragraph 3 (f) of UNEA resolution 5/14.

<sup>10</sup> Paragraph 3 (g) of UNEA resolution 5/14.

<sup>11</sup> Paragraph 3 (p) of UNEA resolution 5/14.

<sup>12</sup> Paragraph 3 (b) of UNEA resolution 5/14.

<sup>13</sup> <http://www.basel.int/tabid/8426>.

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- (g) Further consideration of plastic waste: In decision BC-14/13, 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. The background information, including recommendations for consideration by the Conference of the Parties at its fifteenth meeting can be found in documents UNEP/CHW.15/INF/10 and UNEP/CHW.15/INF/11. Annex II to document INF/10 includes proposal for further areas of work as follows:
- a. Information collection, monitoring and reporting: (1) 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; (2) development of database for sharing information relating to plastic waste; (3) support for Parties to quantify or estimate the quantities of plastic waste managed or leaked into the environment; (4) establishment of a global monitoring programme taking into account the global monitoring plan for POPs; (5) establish links for data with SDG indicators in particular SDG 14 and 12;
  - b. Implementation of the Basel Convention provisions relevant to plastics: (1) establish an expert group to develop practical guidance for the implementation of the Basel Convention provisions relevant to plastics and microplastics, for example: on waste prevention and minimization; on the environmentally sound management of specific waste streams where plastic is relevant; on the various types of recycling technologies; on measures on health and safety; on the development of suitable policy instruments and actions at the national level to address plastic pollution; on targets, indicators, monitoring and assessment on plastics waste and on microplastics on land and in the marine environment; on environment and trade in plastics, including information on legal and illegal trade; on prevention and minimization of hazardous constituents of plastic waste, including plastic additives; (2) support for Parties to address plastic pollution; (3) activities to address waste containing microplastics and nanomaterials; (4) Basel and Stockholm conventions regional centres to continue their activities relevant to addressing plastic pollution.

As the global treaty is to promote cooperation and coordination with relevant regional and international conventions, instruments and organizations, while recognizing their respective mandates, avoiding duplication, and promoting complementarity of action,<sup>14</sup> the consideration of further activities that could be conducted under the Basel Convention may be of relevance to the committee;

- (h) Strategic framework: 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 through decision BC-10/2. It is intended to evaluate the implementation of the Convention, rather than the Convention itself. 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. The framework foresaw an evaluation, to be conducted through reports prepared by the Secretariat, assisted by Parties, on the continued relevance of and progress in relation to the strategic framework, through the creation of a baseline, as well as a mid-term evaluation considered by the Conference of the Parties at its thirteenth meeting and final evaluation to be considered by the Conference of the Parties

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<sup>14</sup> Paragraph 3 (k) of UNEA resolution 5/14.

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at its fifteenth meeting. At its fifteenth meeting, the Conference of the Parties will also consider whether a future strategic framework and/or an effectiveness evaluation pursuant to paragraph 7 of Article 15 of the Convention should be developed. As the new global treaty is to periodically assess the progress of implementation of the instrument<sup>15</sup> and to periodically assess the effectiveness of the instrument in achieving its objectives,<sup>16</sup> the experience of the Basel Convention may be of relevance to the committee.

- (i) Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System: In response to decision BC-14/13, the Secretariat developed a draft proposal on amendments to the Harmonized System with respect to plastic waste, taking into consideration the amendments to annexes to the Basel Convention adopted by decision BC-14/12. The draft proposal is set out in annex III to document UNEP/CHW/OEWG.12/INF/10. As the global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution,<sup>17</sup> the cooperation with WCO and HS codes relating to plastic waste may be of relevance to the committee;
- (j) Other framework, guidance and tools available under the Basel Convention:<sup>18</sup>
  - a. Framework for the ESM of hazardous wastes and other wastes (decision BC-11/1, UNEP/CHW.11/3/Add.1/Rev.1);
  - b. Glossary of terms (UNEP/CHW.13/4/Add.2);
  - c. Set of practical manuals for the promotion of the environmentally sound management of wastes (UNEP/CHW.13/4/Add.1/Rev.1);
  - d. 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);
  - e. Guidance manual on how to improve the sea-land interface (UNEP/CHW.13/INF/37/Rev.1);
  - f. Revised draft practical manuals on extended producer responsibility and financing systems for environmentally sound management (UNEP/CHW.14/5/Add.1);
  - g. Revised draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.14/INF/6);
  - h. Revised draft guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of hazardous and other wastes (UNEP/CHW.14/INF/7);
  - i. Revised draft guidance on how to address the environmentally sound management of wastes in the informal sector (UNEP/CHW.14/INF/8);

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<sup>15</sup> Paragraph 3 (g) of UNEA resolution 5/14.

<sup>16</sup> Paragraph 3 (h) of UNEA resolution 5/14.

<sup>17</sup> Paragraph 3 (c) of UNEA resolution 5/14.

<sup>18</sup> <http://www.basel.int/tabid/8810>.

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- j. Revised draft overall guidance document on the environmentally sound management of household waste (UNEP/CHW.14/INF/32);
- k. Environmentally sound management (ESM) toolkit.<sup>19</sup>

### Rotterdam Convention:

- (a) Compliance: 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. As the global treaty is to include provisions to address compliance<sup>20</sup>, the experience under the Rotterdam Convention may be of relevance to the committee;
- (b) Chemicals listed under the Rotterdam Convention that are plastic additives: Of the 52 chemicals listed in Annex III to the Convention, 14 chemicals are plastic additives and are subject to prior informed consent procedure. The tenth meeting of the Conference of the Parties will consider, among others, listing of perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds recommended by the Chemical Review Committee for listing in Annex III to the Convention. As the new global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution,<sup>21</sup> the plastic additives subject to prior informed consent procedure under the Rotterdam Convention may be of relevance to the committee.

### Stockholm Convention:

- (a) Document on long-range environmental transport: The POPs Review Committee, a subsidiary body to the Stockholm Convention, is currently developing a document on long-range environment transport, including consideration on chemicals transported via plastics in the environment and biota (UNEP/POPS/POPRC.17/INF/15). As the global treaty is to provide scientific and socio-economic assessments related to plastic pollution,<sup>22</sup> the consideration under the POPs Review Committee may be of relevance to the committee;
- (b) Proposals for listing chemicals under the Stockholm Convention that are plastic additives and POPs listed under the Stockholm Convention that are plastic additives or by-products: Of the 30 POPs listed under the Stockholm Convention, 15 are either plastic additives or by-products, such as brominated flame retardants. Furthermore, of the 7 chemicals proposed for listing, 5 are plastic additives. The POPs Review Committee is a subsidiary body established to review new chemicals proposed for listing under the Stockholm Convention. As the new global treaty is to promote, among others, sustainable production and consumption of plastics<sup>23</sup> and to provide scientific and

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<sup>19</sup> <http://www.basel.int/tabid/5839>.

<sup>20</sup> Paragraph 3 (p) of UNEA resolution 5/14.

<sup>21</sup> Paragraph 3 (c) of UNEA resolution 5/14.

<sup>22</sup> Paragraph 3 (i) of UNEA resolution 5/14.

<sup>23</sup> Paragraph 3 (c) of UNEA resolution 5/14.

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socio-economic assessments related to plastic pollution,<sup>24</sup> and to consider the possibility of a mechanism to provide policy relevant scientific and socio-economic information and assessment related to plastic pollution,<sup>25</sup> the experience and the ongoing consideration under the POPs Review Committee may be of relevance to the committee. The Basel Convention also has expert groups considering such aspects;

- (c) National implementation plans: Article 7 of the Stockholm Convention requires each Party to transmit national implementation plans (NIPs) within 2 years from the date of entry into force and to review and update the plans. As the new global treaty is to include the development, implementation and updating of national action plans<sup>26</sup> and promotion thereof,<sup>27</sup> the experience of the Stockholm Convention in relation to its NIPs may be of relevance to the committee;
- (d) National reporting: Article 15 of the Stockholm Convention provides each Party to report on the implementation of the Convention every four years.<sup>28</sup> As the new global treaty is to specify national reporting,<sup>29</sup> the experience of the Stockholm Convention may be of relevance to the committee;
- (e) Compliance: At its next meeting in 2022, the tenth meeting of 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. As the global treaty is to include provisions to address compliance,<sup>30</sup> the experience under the Stockholm Convention may be of relevance to the committee;
- (f) Effectiveness evaluation: 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>31</sup> The next effectiveness evaluation will take place at the eleventh meeting of the Conference of the Parties to take place in 2023. The effectiveness evaluation committee established under the Convention is currently preparing the report. In order to facilitate such evaluation, the Conference of the Parties established 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 (Global Monitoring Plan (GMP)).<sup>32</sup> As the new global treaty is to periodically assess the progress of implementation of the instrument;<sup>33</sup> to

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<sup>24</sup> Paragraph 3 (i) of UNEA resolution 5/14.

<sup>25</sup> Paragraph 4 (f) of UNEA resolution 5/14

<sup>26</sup> Paragraph 3 (d) of UNEA resolution 5/14.

<sup>27</sup> Paragraph 3 (e) of UNEA resolution 5/14.

<sup>28</sup> <http://chm.pops.int/tabid/3668>.

<sup>29</sup> Paragraph 3 (f) of UNEA resolution 5/14.

<sup>30</sup> Paragraph 3 (p) of UNEA resolution 5/14.

<sup>31</sup> <http://chm.pops.int/tabid/369>.

<sup>32</sup> <http://chm.pops.int/tabid/83>.

<sup>33</sup> Paragraph 3 (g) of UNEA resolution 5/14

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periodically assess the effectiveness of the instrument in achieving its objectives,<sup>34</sup> and to provide scientific and socio-economic assessments related to plastic pollution;<sup>35</sup> the experience of the Stockholm Convention may be of relevance to the committee;

- (g) Research, development and monitoring: Article 11 of the Stockholm Convention provides requirements related to research, development and monitoring. As the new global treaty is to promote research and development of sustainable, affordable, innovative and cost-efficient approaches, the experience of the Stockholm Convention may be of relevance to the committee.

Cross-cutting:

- (a) Technical assistance and financial mechanism:

- a. Article 10 of the Basel Convention provides for Parties to cooperate with one another 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 obligations related to technical assistance. On plastics, more than 50 countries are currently receiving technical assistance to strengthen the country's capacity for addressing plastic pollution;<sup>36</sup>
- b. 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>37</sup> Article 14 of the Stockholm Convention establishes the interim financial arrangements.<sup>38</sup> The institutional structure of the Global Environment Facility (GEF)<sup>39</sup> is entrusted with the operations of the financial mechanism referred to in Article 13;
- c. 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. There are a total of 23 regional centres;<sup>40</sup>
- d. As the new global treaty is to specify arrangements for capacity-building and technical assistance, technology transfer on mutually agreed terms, and financial assistance, recognizing that the effective implementation of some legal obligations under the instrument is dependent on the availability of capacity building and technical and adequate financial assistance;<sup>41</sup> and to consider the need for a financial mechanism to support the implementation of the instrument, including the option of a dedicated

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<sup>34</sup> Paragraph 3 (h) of UNEA resolution 5/14.

<sup>35</sup> Paragraph 3 (i) of UNEA resolution 5/14.

<sup>36</sup> <http://www.basel.int/tabid/8772>.

<sup>37</sup> <http://chm.pops.int/tabid/677>.

<sup>38</sup> <http://chm.pops.int/tabid/681>.

<sup>39</sup> <https://www.thegef.org/>.

<sup>40</sup> <http://www.brsmeas.org/tabid/2636>.

<sup>41</sup> Paragraph 3 (n) of UNEA resolution 5/14.

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multilateral fund,<sup>42</sup> the experience of technical assistance, financial mechanism under the BRS conventions may be of relevance to the committee;

(b) International cooperation:

- a. The Rotterdam Convention and the Stockholm Convention provide an express legal basis for their Conference of the Parties to cooperate with international organizations and intergovernmental and non-governmental bodies.<sup>43</sup> Under the Basel Convention, international cooperation falls under the scope of the general functions of the Conference of the Parties.<sup>44</sup> Each convention also provides for the Secretariat to cooperate with international bodies.<sup>45</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. Document UNEP/CHW.15/INF/41- UNEP/FAO/RC/COP.10/INF/24- UNEP/POPS/COP.10/INF/45 provides an overview of the broad scope of international cooperative activities undertaken by the Secretariat;
- b. In addition, the bodies of the three conventions work closely together on areas of common interest through enhanced coordination and cooperation (the so-called “synergies process”);
- c. As the new global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution;<sup>46</sup> to promote cooperation and coordination with relevant regional and international conventions, instruments and organizations, while recognizing their respective mandates, avoiding duplication, and promoting complementarity of action<sup>47</sup>, the experience on cooperation and coordination under the BRS conventions may be of relevance to the committee;

- (c) Information exchange and clearing-house mechanism: Article 9 of the Stockholm Convention and Article 14 of the Rotterdam Convention provide requirements relating to information exchange. The joint clearing-house mechanism under the Basel, Rotterdam and Stockholm conventions is a multi-stakeholder global system that facilitate the exchange of information and expertise relevant for the conventions.<sup>48</sup>

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<sup>42</sup> Paragraph 4 (b) of UNEA resolution 5/14

<sup>43</sup> Rotterdam Convention, Article 18.5 (b); Stockholm Convention, Article 19.5 (b).

<sup>44</sup> Basel Convention, Article 15.5 (c).

<sup>45</sup> Basel Convention, Article 16.1 (d); Rotterdam Convention, Article 19.2 (c); and Stockholm Convention, Article 20.2 (c).

<sup>46</sup> Paragraph 3 (c) of UNEA resolution 5/14.

<sup>47</sup> Paragraph 3 (k) of UNEA resolution 5/14.

<sup>48</sup> <http://www.brsmeas.org/tabid/5382>.



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As the global treaty is to increase knowledge through awareness-raising, education and information exchange,<sup>49</sup> the experience of the Basel, Rotterdam and Stockholm conventions may be of relevance to the committee;

- (d) From Science to Action: 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. 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>50</sup> As the new global treaty is to provide scientific and socio-economic assessments related to plastic pollution;<sup>51</sup> and to promote research and development of sustainable, affordable, innovative and cost-efficient approaches and to provide scientific and socio-economic assessments related to plastic pollution,<sup>52</sup> the experience of the Basel, Rotterdam and Stockholm conventions may be of relevance to the committee.

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<sup>49</sup> Paragraph 3 (j) of UNEA resolution 5/14.

<sup>50</sup> <http://www.brsmeas.org/tabid/4749>.

<sup>51</sup> Paragraph 3 (i) of UNEA resolution 5/14.

<sup>52</sup> Paragraph 3 (o) of UNEA resolution 5/14.