



**Basel Convention on the Control of
Transboundary Movements of
Hazardous Wastes and their Disposal**

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**Rotterdam Convention on the Prior
Informed Consent Procedure for
Certain Hazardous Chemicals and
Pesticides in International Trade**



**Stockholm Convention on
Persistent Organic Pollutants**

**Ad hoc joint working group on enhancing cooperation and
coordination among the Basel, Rotterdam and Stockholm conventions**

Second meeting

Vienna, 10–13 December 2007

Item 3 of the provisional agenda*

**Consideration of the intersessional work undertaken by the
members of the ad hoc joint working group and by the
Secretariats of the Basel, Rotterdam and Stockholm Convention**

Areas for further cooperation and coordination

Note by the secretariats

1. Paragraph 33 of the report of the first meeting¹ of the ad hoc joint working group on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions, held in Helsinki, 26–28 March 2007, states that:

“the co-chairs would prepare a document incorporating the objectives and guiding principles, the list of national needs and the table of areas for further cooperation and coordination, taking into account comments made by members of the group. The document would be circulated to members for comment during the inter-sessional period. The document and a compilation of the comments received will be made available for the second meeting of the joint working group. It will provide a framework for the inter-sessional work of the joint working group and a context for the discussions at the second meeting.”

2. As a follow up to the above-mentioned paragraph, the attached is a document compiled by the co-chairs, containing the objectives and guiding principles (annex I of document UNEP/FAO/CHW/RC/POPS/JWG.1/4); the list of national needs (annex II); the table on further

* UNEP/FAO/CHW/RC/POPS/JWG.2/1.

¹ Document UNEP/FAO/CHW/RC/POPS/JWG.1/4.

cooperation and coordination (annex III) revised to incorporate the list of 'national needs' and annex IV was circulated to the members of the ad hoc joint working group for comments.

3. A compilation of comments received by the secretariat are set out in document UNEP/FAO/CHW/RC/POPS/JWG.2/INF/1.

Annex I

Objectives and guiding principles

1. Overarching goal of the three conventions:

Protection of human health and the environment for the promotion of sustainable development

2. Overall objectives of coordination and cooperation among the three conventions, with a view to contributing to achievement of the overarching goal:

- (a) Strengthening the three conventions, with particular focus on strengthening implementation at the national, regional and international levels;
- (b) Coherent policy guidance, including through coherent and coordinated decision-making, taking into account relevant intergovernmentally agreed goals such as the 2020 target contained in the Plan of Implementation of the World Summit on Sustainable Development;²
- (c) Enhanced efficiency in the provision of support to Parties with a view to reducing their administrative burden;
- (d) Maximizing the effective and efficient use of resources at all levels.

3. Principles guiding the work of the joint working group in the achievement of the above objectives:

- (a) Promoting implementation and enforcement of the three conventions at all levels, especially at the national level;
- (b) Respecting the legal autonomy of each convention;
- (c) Seeking ways to promote coherent and coordinated decision-making on cooperation and coordination;
- (d) Ensuring that institutional structures are defined by functions that should be identified beforehand;
- (e) Ensuring that processes for enhancing cooperation and coordination are driven by Parties and take into account global concerns (e.g., the Millennium Development Goals);
- (g) Responding to the specific needs of developing countries and countries with economies in transition;
- (h) Encouraging and strengthening international cooperation and partnerships;
- (i) Promoting programmatic cooperation and coordination;
- (j) Adopting a phased, step-by-step approach;
- (k) Avoiding additional bureaucratic layers.

² *Report of the World Summit on Sustainable Development*, Johannesburg, South Africa, 26 August–4 September 2002 (United Nations publication, Sales No. E.03.II.A.1 and corrigendum), chap. I, resolution 2, annex.

Annex II

National needs

National needs to be addressed in the promotion of cooperation and coordination between the three conventions might include the following:

1. Improvement of cooperation and coordination at the national level:
 - (a) Strengthening the networking of the national focal points of the three conventions;
 - (b) Establishing or strengthening intersectoral mechanisms to address collaboration and cooperation at the national level;
 - (c) Engaging all relevant stakeholders;
2. Development and implementation of proactive environmental management tools, such as:
 - (a) A regulatory infrastructure;
 - (b) Standards;
 - (c) Tool kits;
 - (d) Audits;
 - (e) Monitoring and enforcement measures;
 - (f) Policies and strategies, including national development strategies;
 - (g) Voluntary compliance, including use of economic instruments;
3. Identification, adaptation and use of environmentally sound technologies and practices:
 - (a) Waste minimization and management technologies;
 - (b) Best available techniques and best environmental practices;
 - (c) Practices such as integrated pest management and vector control, including alternatives;
 - (d) Indigenous and traditional knowledge;
 - (e) Set-up and management of production facilities;
4. Capacity-building, training, environmental education and awareness:
 - (a) Institutional capacity-building, including laboratory capacity;
 - (b) Training and building the capacity of enforcement and regulatory authorities such as customs officers, laboratory personnel and others, paying special attention to the needs of small island developing States and land-locked countries;
 - (c) Training of relevant personnel in meeting obligations under the conventions including reporting, preparation of notifications of final regulatory actions, etc.;
 - (d) Capacity-building in chemicals management, including risk assessment/evaluation methodologies, risk management, etc.;
 - (e) Training of trainers in chemical safety;
5. Public education and awareness-raising:
 - (a) Empowering local communities;
 - (b) Informing decision and policy makers to encourage political commitment;
 - (c) Educating the general population, in particular vulnerable populations;
 - (d) Developing environmental education programmes;
 - (e) Disseminating information materials;
 - (f) Promoting cleaner environment programmes;
6. Development of environmental information systems:
 - (a) Establishment, use and maintenance of information systems;
 - (b) Collection, analysis, storage and dissemination of environmental data;
 - (c) Installation and application of information systems such as geographic information systems and the Chemical Information Exchange Network;
 - (d) Establishment of documentation centres;

7. Mobilization of financial resources:
 - (a) Mobilization of resources from national, bilateral and multilateral sources;
 - (b) Development of public and private partnerships as a tool for resource mobilization;
 - (c) Effective allocation of financial resources;
 - (d) Development and use of cost recovery mechanisms;
 - (e) Development of local capacities for effective fund-raising.

Annex III

Areas for further cooperation and coordination

(Revised to incorporate national needs)

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
<p>Coordination for the national level</p>		<p>1. Improvement of cooperation and coordination at the national level:</p> <p>(a) Strengthening networking of the national focal points of the three conventions;</p> <p>(b) Establish or strengthen intersectoral mechanisms to address collaboration and cooperation at the national level;</p> <p>(c) Engaging all relevant stakeholders</p> <p>2 (f) Policies and strategies, including national development strategies;</p>	<p>Explore further use of the output of the Chemical Information Exchange Network for national network building and institution strengthening for the three conventions</p>	<p>Members of joint working group</p> <p>Egypt, Moldova, Sri Lanka, Czech Republic, Romania</p> <p>Secretariats</p>	<p>National level: Inter-ministerial coordinating mechanisms</p> <p>The Stockholm Convention national implementation plans and the Rotterdam Convention national action plans should be available to the designated national authorities, competent national authorities and national contact and focal points</p> <p>Regional level: Recognize the Strategic Approach to International Chemicals Management and other processes for chemicals and waste management</p> <p>Use of Basel Convention regional centres</p> <p>Exchange of information using the Strategic Approach framework</p> <p>International level: Strengthening and better coordinating the provision of means of implementation</p> <p>Maintenance of common databases of national contact points for each convention.</p> <p>Recommendation of the conferences of the Parties that Parties should seek to coordinate at the national level when designating national contact points</p>

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Joint outreach and public awareness	<p>Campaigns aimed at raising awareness and understanding of the three conventions among stakeholders at the national level</p> <p>Joint publications</p> <p>Linked websites</p> <p>Pooling of secretariat resources</p>	<p>Lack of awareness among stakeholders</p> <p>4 (e) Training of trainers in chemical safety.</p> <p>5. Public education and awareness-raising:</p> <p>(a) Empowering local communities;</p> <p>(b) Informing decision and policy makers to encourage political commitment;</p> <p>(c) Educating the general population, in particular vulnerable populations;</p> <p>(d) Development of environmental education programmes;</p> <p>(e) Dissemination of information materials;</p> <p>(f) Promotion of cleaner environment programmes.</p>	Secretariat paper on practical feasibility and resource implications	Secretariats	<p>National level: Shared identity</p> <p>Joint publications</p> <p>Linked websites</p> <p>Regional level: Coordinated use of regional offices in outreach and public awareness campaigns</p> <p>Shared identity</p> <p>Joint publications</p> <p>Linked websites</p> <p>International level: Joint development and implementation by secretariats of outreach and public awareness campaigns</p> <p>Campaigns aimed at raising awareness and understanding of the three conventions among stakeholders at the national level</p> <p>Joint publications</p> <p>Linked websites</p> <p>Pooling of secretariat resources</p> <p>Shared identity</p>

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Coordinated use of regional offices, centres	Coordination among regional centres, regional and subregional offices, relevant to chemicals and waste management,	<p>4. Capacity-building, training, environmental education and awareness:</p> <p>(a) Institutional capacity-building, including laboratory capacity;</p> <p>(b) Training and building the capacity of enforcement and regulatory authorities such as customs officers, laboratory personnel and others, paying special attention to the needs of small island developing States and land-locked countries;</p> <p>(c) Training of relevant personnel in meeting obligations under the conventions including reporting, preparation of notifications of final regulatory actions, etc.</p> <p>(d) Capacity building in chemicals management, including risk assessments/evaluations methodologies, risk management, etc.</p> <p>(e) Training of trainers in chemical safety.</p>	Document addressing the issue, taking note of the discussions at the third meeting of the Conference of the Parties of the Stockholm Convention and the sixth session of the Open-ended Working Group of the Basel Convention on regional centres.	Norway + Finland (leads); Tanzania	<p>Use of Basel Convention regional centres</p> <p>National level:</p> <p>Regional level: Need to adopt a coordinated approach to regional delivery of the three conventions</p> <p>International level: Promote coordination between the three conferences of the Parties on decisions relating to regional approaches</p>
Programmatic cooperation in the field	Includes capacity-building	<p>3. Identification, adaptation and use of environmentally sound technologies and practices:</p> <p>(a) Waste minimization and management technologies;</p>	Identify themes/programmes /projects that could be jointly developed/implemented in the field	Finland,+ Austria Secretariats	<p>National level:</p> <p>Identify specific themes/programmes of national/regional concern</p> <p>Regional level:</p>

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
		(b) Best available techniques and best environmental practices; (c) Practices such as integrated pest management and vector control, and alternatives; (d) Indigenous and traditional knowledge; (e) Setting up and management of production facilities.	Collect views from members of the joint working group	Members of the joint working group	Identify specific themes/programmes of national/regional concern International level:
National reporting	Compliance with national reporting obligations under the three conventions	Burden on the Parties Lack of data and resources 4 (c) Training of relevant personnel in meeting obligations under the conventions including reporting, preparation of notifications of final regulatory actions, etc.	Analyse commonalities of reporting content, format and timing, noting lessons learned in the reporting process	Secretariats	National level: Regional level: International level:
Compliance mechanisms		2 (e) Monitoring and enforcement measures; 2 (g) Voluntary compliance, including use of economic instruments; 4 (b) Training and building the capacity of enforcement and regulatory authorities such as customs officers, laboratory personnel and others, paying special attention to the needs of small island developing States and land-locked countries;	Explore the potential for cooperation on compliance Explore the potential for enhancing compliance through cooperation in capacity-building Experiences to be shared from Basel Convention in the development of compliance mechanism	South Africa; Kenya, UK Slovenia (lead); Jamaica Basel Convention Secretariat	National level: Regional level: International level:

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
			Document addressing the issue, taking note of the outcomes of discussions on compliance at the third meeting of the Conference of the Parties of the Stockholm Convention	Chile	
Liability and redress mechanisms ⁴			Take up if there are developments – no immediate action	N/A	
Information sharing among technical and scientific panels			Explore the potential for information sharing between the technical and scientific panels of the three conventions (procedural, legal, technical)	Germany (lead)	National level: Regional level: International level:

⁴ Only the Basel Convention addresses the issue in convention text.

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
<p>Pooling information on health and environmental impacts/clearing house mechanisms</p>		<p>6. Development of environmental information systems:</p> <p>(a) Establishment, use and maintenance of info. systems;</p> <p>(b) Collection, analysis, storage and dissemination of environmental data;</p> <p>(c) Installation and application of info. systems such as geographic info. systems and the Chemical Info. Exchange Network;</p> <p>(d) Establishment of documentation centres</p>	<p>Identify commonly relevant information, starting with chemicals common to the processes under more than one convention, including alternatives, and identify possible mechanisms for pooling information on health and environmental impacts and clearing house mechanisms</p>	<p>Secretariats France, Austria</p>	<p>National level:</p> <p>Regional level:</p> <p>International level:</p>
			<p>Document addressing the issue, taking note of the outcomes of discussions on the clearing-house mechanism at the third meeting of the Conference of the Parties of the Stockholm Convention</p>	<p>Members of the joint working group Republic of Korea, at regional level</p>	
<p>General legal service arrangements</p>			<p>Any additional information that might be available to be provided by Secretariats</p>	<p>Secretariats</p>	<p>National level:</p> <p>Regional level:</p> <p>International level:</p>
			<p>Explore different level of coordination, including the unification of legal services</p>		

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Technical assistance legal services, including development of legislation		2. Development and implementation of proactive environmental management tools, such as: (a) A regulatory infrastructure; (b) Standards; (c) Tool kits; (d) Audits; (e) Monitoring and enforcement measures; (f) Policies and strategies, including national development strategies;	Any additional information that might be available to be provided by Secretariats	Secretariats	National level: Regional level: International level:
Financial management and audit functions			Any additional information that might be available to be provided by Secretariats	Secretariats	National level: Regional level: International level:
			Explore different level of coordination, including the unification of financial and management functions	Slovenia	

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Back-to-back meetings ⁵	Conferences of the Parties, subsidiary bodies, technical panels		Listing of the periodicity and types of meetings	Secretariats Austria, UK	National level: Regional level: International level:
			Collect the views from all members of the joint working group	Members of the joint working group	
Resource mobilization	Consolidating existing human and financial resources and exploring new and additional resources	7. Mobilization of financial resources: (a) Mobilization of resources from national, bilateral and multilateral sources; (b) Development of public and private partnerships as a tool for resource mobilization; (c) Effective allocation of financial resources; (d) Development and use of cost recovery mechanisms; (e) Development of local capacities for effective fund-raising.	Build on existing studies under various conventions		National level: Develop national strategies for resource mobilization Regional level: International level: A joint recommendation to the Global Environment Facility to address chemicals and wastes issues Consider new and additional financial mechanisms
			Common approaches on training (human resources)		
			Thought starter for a joint paper on resource mobilization, including multilateral funding mechanisms and new and additional resources	Nigeria, Ethiopia, Slovenia	
			Provide existing materials and studies	Secretariats	

⁵ The ad hoc joint working group can refer to existing assessments on advantages and disadvantages of back-to-back meetings. (make reference to relevant doc UNEP/POPS/COP.2/INF/19)

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Coordinate joint representation in other processes					<p>National level:</p> <p>Regional level:</p> <p>International level:</p>
Joint input into other processes	The three conventions jointly present issues to other relevant organizations, e.g. the World Trade Organization, the World Customs Organization, etc.			France, UK, Austria	<p>National level:</p> <p>Regional level: Incorporate the concept of chemicals and waste cluster into the Strategic Approach to International Chemicals Management and other regional processes</p> <p>International level:</p>
Information Technology			Any additional information that might be available to be provided by Secretariats	Secretariats	<p>National level:</p> <p>Regional level:</p> <p>International level:</p> <p>Maintenance of common databases of national contact points for each convention.</p> <p>Joint website</p>
[Sharing head offices, infrastructure and other goods]					

Annex IV

Proposal by Switzerland

Areas for cooperation and coordination	Definition/scope	National needs, including existing problems, gaps and obstacles	What work or analysis is needed	Who will do the work or analysis intersessionally	At what level (national, regional, global)? When (short, medium or long-term)? Potential result/possible outcome? Potential joint measures to be taken?
Joint managerial functions including joint head of secretariat	Basel, Rotterdam and Stockholm conventions	<p>Efficient and prompt service delivery</p> <p>Having good oversight of work</p> <p>Making best use of potential administrative synergies and cost savings</p> <p>Avoiding micro-management by conferences of the Parties</p>	<p>Existing situation including relevant rules (convention, decisions of the conferences of the Parties)</p> <p>Relevance for respecting legal autonomy</p> <p>Potential benefits</p> <p>Potential disadvantages</p>	Switzerland and Nigeria	<p>Global level</p> <p>Short, medium and long-term options</p> <p>Options for discussion by the joint working group</p>