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**Conference of the Parties to the Basel Convention
on the Control of Transboundary Movements of
Hazardous Wastes and Their Disposal
Fourteenth meeting**
Geneva, 29 April–10 May 2019

Report of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal on the work of its fourteenth meeting

Introduction

1. At their 2017 meetings, the conferences of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants, respectively, decided to hold the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention (hereinafter, “the 2019 meetings”) in Geneva from 29 April to 10 May 2019 in a format similar to that of the 2017 meetings, with joint sessions covering matters of relevance to at least two of the three conventions and separate sessions of the meetings of each of the three conferences of the Parties. They also decided that the 2019 meetings would not feature a high-level segment and that such segments would occur only at every second set of meetings of the conferences of the Parties.

I. Opening of the meeting (agenda item 1)

2. Ms. Abiola Olanipekun, Chief, Science and Technical Assistance Branch, Secretariat of the Basel, Rotterdam and Stockholm Conventions, acting as master of ceremonies, welcomed participants to the 2019 meetings.
3. The meetings began with a Swiss cultural musical performance.

A. Opening remarks

4. Opening remarks were delivered by Mr. Marc Chardonnnens, State Secretary, Swiss Federal Office for the Environment; Ms. Joyce Msuya, acting Executive Director of the United Nations Environment Programme (UNEP), delivered via video message; Mr. Rolph Payet, Executive Secretary of the Basel, Rotterdam and Stockholm conventions; Mr. Hans Dreyer, Executive Secretary of the Rotterdam Convention; and Mr. Mohammed Oglah Hussein Khashashneh (Jordan), President of the Conference of the Parties to the Stockholm Convention, speaking also on behalf of Mr. Abraham Zivayi Matiza (Zimbabwe), President of the Conference of the Parties to the Basel Convention, and Mr. Osvaldo Patricio Álvarez-Pérez (Chile), President of the Conference of the Parties to the Rotterdam Convention.

5. In his remarks, Mr. Chardonnes noted that, according to the second edition of the Global Chemicals Outlook report, a projected doubling of the global chemicals market between 2017 and 2030 would increase global chemical releases, exposures, concentrations and adverse health and environmental impacts unless prevailing gaps in the management of chemicals and waste were addressed. Furthermore, the sixth edition of the Global Environment Outlook report indicated that significant gaps remained in the evaluation and regulation of hazardous chemicals, in part due to insufficient legislation and inadequate implementation. Together, the two reports delivered a strong message that the status quo was not a viable option; robust action was required, both to ensure that chemicals showed real value added where they were used and to prevent their adverse effects on human health and the environment. An international regime was needed for the sustainable management of chemicals and waste, for which environmental agreements were a key tool, and the work of the three conferences of the Parties was therefore of great importance for the future of societies the world over. During the following two weeks, the Parties would have the opportunity to strengthen the international regime by listing new chemicals under the Stockholm and Rotterdam conventions and setting up a compliance mechanism for the obligations under the Rotterdam Convention. The 2019 meetings also provided an opportunity to address the challenge of plastics; as the only global convention specifically on waste, the Basel Convention needed an approach to plastics that was as comprehensive as possible, based on a new regulatory framework and stronger cooperation, particularly with the private sector, to implement broader, more appropriate solutions. Importantly, the Amendment to the Basel Convention (Ban Amendment) required only two additional ratifications to enter into force, and once in force would significantly improve the situation for many developing countries.

6. Ms. Msuya, in her video message, said that while chemicals had improved daily lives, health, food security and much more besides, the mismanagement of hazardous chemicals and waste critically threatened health and the environment, running counter to the aim of ensuring healthy people and a healthy planet. With the Basel, Rotterdam and Stockholm conventions playing a vital role in meeting the challenge of sound chemicals and waste management, at their 2019 meetings the conferences of the Parties to the three conventions would be seeking to achieve progress on a range of issues crucial to the success of the 2030 Agenda for Sustainable Development. Through increased synergy, investment and commitment to that challenge, it would be possible to secure the future of the planet.

7. Mr. Payet, in his statement, said that the three conventions had remained relevant and responsive to emerging global chemicals and waste issues over the decades due to the avant-garde decisions they had adopted; at the current meetings Parties were encouraged to turn their attention to plastic wastes and electronic waste, with particular consideration of upstream issues and preventing pollution and waste at source. The 2019 meetings presented an opportunity to define how the conventions were linked to climate change and biodiversity, which the Secretary-General of the United Nations had designated as a priority. In that regard, the Stockholm Convention targets of eliminating polychlorinated biphenyls (PCBs) in equipment by 2025 and achieving the environmentally sound management of liquids containing PCB and equipment contaminated with PCB no later than 2028 were important, and Mr. Payet called on the international community, in particular donors and the funding institutions, to assist Parties in achieving those targets. He took the opportunity to thank Australia, China, Denmark, the European Union, Finland, France, Germany, Japan, the Netherlands, Norway, Sweden, Switzerland, and the United Kingdom of Great Britain and Northern Ireland as donors to the voluntary trust funds, which funded much of the work under the conventions. Gender also remained an important consideration, and Parties were urged to take gender balance into account when selecting their representatives for the various subsidiary bodies of the conferences of the Parties.

8. Mr. Dreyer, in his remarks, said that the use of pesticides and at times quite hazardous ones was often the first reaction to pest outbreaks, which were responsible for major crop losses and predicted only to rise as climate change effects intensified. In those circumstances, sustainable agriculture was key to achieving food security as well as to preventing the indiscriminate use of hazardous pesticides responsible for continuing biodiversity loss and human health problems. Less hazardous, nature-based, replicable and scalable solutions were needed, which in turn demanded strong cooperative efforts and functioning legal frameworks of relevance. In support of those needs, the technical assistance programme of the Rotterdam Convention had been successfully designed to promote sound pesticides management and the use of safer alternatives. Furthermore, the Secretariat of the Convention worked with the Food and Agriculture Organization of the United Nations (FAO) to address cross-cutting areas relating to the Sustainable Development Goals, among them the prevention of child labour in agriculture and the identification of high-risk scenarios, with a view to helping Parties to implement the 2030 Agenda.

9. Mr. Khashashneh, in his remarks, said that urgent measures were needed to end deaths from chemicals and hazardous wastes by creating clean alternatives. Any adverse socioeconomic consequences that might ensue were incomparable to the priceless value of health and a clean environment conducive to sustainable development. Concerning the proposal to list two new chemicals under the Stockholm Convention, it must be considered in the light of the successes achieved in eliminating chemicals already listed, albeit that further efforts towards elimination were still necessary. As to the Basel Convention, its developing partnerships promised further success towards the attainment of its objectives, while its establishment of a new partnership on plastic waste would be a key step towards the sound environmental management of all wastes. With regard to the Rotterdam Convention, the approval of the compliance mechanism would enable it to emulate the accomplishments of the Basel Convention in providing technical assistance within the framework of its compliance mechanism and would also promote synergy among the three conventions. Through the environmentally sound management of chemicals and waste, the Parties to each Convention must also take concrete action to reduce the growing effects of climate change. Finally, technical support, financial resources, and appropriate decision-making in connection with the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management were all vital to the implementation of the three conventions.

B. Formal opening

10. The fourteenth ordinary meeting of the Conference of the Parties to the Basel Convention, the ninth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the ninth ordinary meeting of the Conference of the Parties to the Stockholm Convention were formally opened at 11.40 a.m. on 29 April 2019 by Mr. Matiza (Zimbabwe), President of the Conference of the Parties to the Basel Convention, Mr. Álvarez-Pérez (Chile), President of the Conference of the Parties to the Rotterdam Convention, and Mr. Khashashneh (Jordan), President of the Conference of the Parties to the Stockholm Convention, respectively.

C. Regional statements

11. Representatives speaking on behalf of groups of countries made general statements on the issues to be discussed during the meetings.

II. Adoption of the agenda (agenda item 2)

12. The Conference of the Parties to the Basel Convention adopted the following agenda for its fourteenth meeting on the basis of the provisional agenda set out in document UNEP/CHW.14/1:

1. Opening of the meeting.
2. Adoption of the agenda.
3. Organizational matters:
 - (a) Election of officers;
 - (b) Organization of work;
 - (c) Report on the credentials of representatives to the fourteenth meeting of the Conference of the Parties.
4. Matters related to the implementation of the Convention:
 - (a) Strategic issues:
 - (i) Strategic framework;
 - (ii) Addressing the entry into force of the Ban Amendment;
 - (iii) Development of guidelines for environmentally sound management;
 - (iv) Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes;
 - (b) Scientific and technical matters:
 - (i) Technical guidelines;
 - (ii) Classification and hazard characterization of wastes;
 - (iii) National reporting;

- (iv) Electronic approaches to the notification and movement documents;
 - (v) Marine plastic litter and microplastics;
 - (vi) Waste containing nanomaterials;
 - (c) Legal, compliance and governance matters:
 - (i) Committee Administering the Mechanism for Promoting Implementation and Compliance;
 - (ii) Providing further legal clarity;
 - (iii) National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic;
 - (d) Technical assistance;
 - (e) Basel Convention Partnership Programme;
 - (f) Financial resources;
 - (g) Work programme of the Open-ended Working Group for the period 2020–2021.
5. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions:
 - (a) International cooperation and coordination;
 - (b) Clearing house mechanism for information exchange;
 - (c) Mainstreaming gender;
 - (d) Synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes;
 - (e) From science to action.
 6. Programme of work and budget.
 7. Memorandum of understanding between the United Nations Environment Programme and the Conference of the Parties to the Basel Convention.
 8. Venue and date of the fifteenth meeting of the Conference of the Parties.
 9. Other matters.
 10. Adoption of the report.
 11. Closure of the meeting.
 13. In adopting its agenda, the Conference of the Parties agreed to discuss under item 9, other matters, the admission of observers, and guidelines on preventing and addressing harassment at meetings of the Basel, Rotterdam and Stockholm conventions.

III. Organizational matters (agenda item 3)

A. Attendance

14. The meeting was attended by representatives of the following 168 Parties: Afghanistan, Algeria, Andorra, Angola, Antigua and Barbuda, Argentina, Armenia, Australia, Austria, Bahamas, Bahrain, Bangladesh, Belarus, Belgium, Belize, Benin, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Burundi, Cambodia, Cameroon, Canada, Central African Republic, Chad, Chile, China, Colombia, Cook Islands, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Czechia, Democratic People's Republic of Korea, Democratic Republic of the Congo, Denmark, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Estonia, Eswatini, Ethiopia, European Union, Finland, France, Gabon, Gambia, Georgia, Germany, Ghana, Greece, Guatemala, Guinea, Guinea-Bissau, Guyana, Honduras, Hungary, Iceland, India, Indonesia, Iran (Islamic Republic of), Iraq, Ireland, Israel, Italy, Jamaica, Japan, Jordan, Kazakhstan, Kenya, Kiribati, Kuwait, Kyrgyzstan, Lao People's Democratic Republic, Latvia, Lebanon, Lesotho, Liberia, Libya, Liechtenstein, Lithuania, Luxembourg, Madagascar, Malawi, Malaysia, Maldives, Mali, Malta, Marshall Islands, Mauritania, Mauritius, Mexico, Micronesia (Federated States of), Monaco, Mongolia, Montenegro, Morocco, Mozambique, Myanmar, Namibia, Nepal, Netherlands, New

Zealand, Nicaragua, Niger, Nigeria, North Macedonia, Norway, Oman, Pakistan, Palau, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Poland, Portugal, Republic of Korea, Republic of Moldova, Romania, Russian Federation, Saint Kitts and Nevis, Saint Lucia, Samoa, Sao Tome and Principe, Saudi Arabia, Senegal, Serbia, Seychelles, Sierra Leone, Singapore, Slovakia, Slovenia, South Africa, Spain, Sri Lanka, State of Palestine, Sudan, Suriname, Sweden, Switzerland, Syrian Arab Republic, Tajikistan, Thailand, Togo, Tonga, Trinidad and Tobago, Tunisia, Turkey, Uganda, Ukraine, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Uzbekistan, Vanuatu, Venezuela (Bolivarian Republic of), Viet Nam, Yemen, Zambia, Zimbabwe.

15. In addition, the meeting was attended by representatives of 8 Parties that did not submit valid credentials: Bhutan, Cabo Verde, Comoros, Congo, Djibouti, Equatorial Guinea, Qatar, Rwanda.

16. The meeting was attended by representatives of the following non-Party State: United States of America.

17. The following United Nations bodies and specialized agencies were represented as observers: Food and Agriculture Organization of the United Nations, International Labour Organization, International Telecommunication Union, Office of the United Nations High Commissioner for Human Rights, secretariat of the Minamata Convention on Mercury, United Nations Development Programme, United Nations Environment Programme, United Nations Industrial Development Organization, United Nations Institute for Training and Research, United Nations Office at Geneva, World Health Organization.

18. The following intergovernmental organizations were represented as observers: Baltic Marine Environment Protection Commission, South Centre, World Customs Organization, World Trade Organization.

19. The following Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres were represented as observers: Basel Convention Coordinating Centre for Training and Technology Transfer for the Latin America and Caribbean Region (BCCC-Uruguay)/Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-Uruguay); Basel Convention Regional Centre for Training and Technology Transfer for Arab States (BCRC-Egypt); Basel Convention Regional Centre for Training and Technology Transfer for Asia and the Pacific (BCRC-China)/Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-China); Basel Convention Regional Centre for Training and Technology Transfer for Central Europe (BCRC-Slovakia); Basel Convention Regional Centre for Training and Technology Transfer for French-speaking Countries in Africa (BCRC-Senegal)/Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-Senegal); Basel Convention Regional Centre for Training and Technology Transfer for South-East Asia (BCRC-SEA)/Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-Indonesia); Basel Convention Regional Centre for Training and Technology Transfer for the Caribbean Region (BCRC-Caribbean); Basel Convention Regional Centre for Training and Technology Transfer for the English-speaking African countries (BCRC-South Africa)/Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-South Africa); Basel Convention Regional Centre for Training and Technology Transfer for the South American Region (BCRC-Argentina); Pacific Regional Centre for Training and Technology Transfer for the Joint Implementation of the Basel and the Waigani Conventions in the South Pacific Region integrated within the Secretariat of the Pacific Regional Environment Programme (SPREP); Stockholm Convention Regional Centre for Capacity-building and the Transfer of Technology (SCRC-Spain).

20. Non-governmental organizations were represented as observers. The names of those organizations are included in the list of participants (UNEP/CHW.14/INF/60–UNEP/FAO/RC/COP.9/INF/51–UNEP/POPS/COP.9/INF/62).

B. Election of officers

21. Introducing the sub-item, the President noted that the Parties would need to elect the officers of the three conferences of the Parties whose terms of office would start at the closure of the 2019 meetings, as well as officers and members of subsidiary bodies and expert groups. Continuing the introduction, the representative of the Secretariat outlined the information in documents UNEP/CHW.14/2, UNEP/FAO/RC/COP.9/2 and UNEP/POPS/COP.9/2, and drew attention to document UNEP/CHW.14/INF/3–UNEP/FAO/RC/COP.9/INF/3–UNEP/POPS/COP.9/INF/3, containing the overview table of elections, as well as documents UNEP/FAO/RC/COP.9/INF/4 and UNEP/POPS/COP.9/INF/4/Rev.1, containing the curricula vitae received in advance of the meetings

of candidates nominated for appointment during the 2019 meetings of the Conference of the Parties as, respectively, members of the Chemical Review Committee and of the Persistent Organic Pollutants Review Committee.

22. In accordance with rule 21 of the rules of procedure, the following members of the Bureau elected at the thirteenth meeting of the Conference of the Parties to the Basel Convention served during the fourteenth meeting of the Conference of the Parties:

Vice-Presidents: Ms. Florencia Grimalt (Argentina)
 Ms. Els Van de Velde (Belgium)
 Mr. Luis Vayas Valdivieso (Ecuador)
 Mr. Sidi Ould Aloueimine (Mauritania)
 Mr. Dragan Asanovic (Montenegro)
 Ms. Magda Gosk (Poland)
 Mr. Yaser Abu Shanab (State of Palestine)
 Mr. Felix Wertli (Switzerland)

23. Ms. Petronella Shoko (Zimbabwe), elected President at the thirteenth meeting of the Conference of the Parties, and Mr. Bishwananth Sinha (India), elected Vice-President at the thirteenth meeting of the Conference of the Parties, were unable to complete their terms of office. Pursuant to rule 24, their compatriots, Mr. Matiza (Zimbabwe) and Mr. Ritesh Kumar Singh (India), respectively, served in their stead.

24. Mr. Shanab served as Rapporteur.

25. Also in accordance with rule 21, the Conference of the Parties elected the following members of the Bureau of the fifteenth meeting of the Conference of the Parties, whose terms would commence upon the closure of the current meeting and terminate upon the closure of the next ordinary meeting of the Conference of the Parties:

President: Mr. Osvaldo Álvarez-Pérez (Chile)
 Vice-Presidents: Mr. Mohamed Karim Ouamane (Algeria)
 Ms. Mari-Liis Ummik (Estonia)
 Ms. Claire Gouvary (France)
 Ms. Irma Gurguliani (Georgia)
 Mr. Joseph Cantamanto Edmund (Ghana)
 Mr. Glenn Wigley (New Zealand)
 Mr. Yaser Khalil Abu Shanab (State of Palestine)
 Ms. Valentina Sierra (Uruguay)
 Mr. Ali Abdullah Al-Dobhani (Yemen)

26. Mr. Edmund was elected to serve as Rapporteur.

27. The Conference of the Parties agreed to entrust the Bureau, with the support of the Secretariat, with facilitating during the intersessional period preceding the fifteenth meeting of the Conference of the Parties the process for nominating candidates for election. The conferences of the Parties to the Rotterdam and Stockholm conventions also agreed to the same arrangement with a view to ensuring consistency in approaches and, ultimately, to facilitating decision-making on elections during the meetings of the conferences of the Parties in 2021.

C. Organization of work

28. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 29 to 31 below are replicated in section III C of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and section III C of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

29. The three conferences of the Parties agreed to conduct their meetings in accordance with the scenario note set out in document UNEP/CHW.14/INF/1–UNEP/FAO/RC/COP.9/INF/1–UNEP/POPS/COP.9/INF/1 and the schedule set out in document UNEP/CHW.14/INF/2–UNEP/FAO/RC/COP.9/INF/2–UNEP/POPS/COP.9/INF/2, which prior to the meetings had been agreed upon by the bureaux of the three conferences. The schedule and conduct of the meetings would be adjusted by the bureaux each day, as necessary, in the light of the progress of the meetings.

30. In accordance with the agreed arrangements, and as described in the scenario note, the conferences of the Parties to the three conventions would hold both joint and separate sessions during their meetings. During the joint sessions, the conferences of the Parties would discuss cross-cutting issues affecting at least two of the three conventions. In addition, the conferences of the Parties would establish such contact and other groups as they deemed necessary for the various meetings. All decisions would be adopted pending confirmation from the contact group on budget matters that any activities contemplated by the decisions had been taken into account in the proposed programmes of work and budgets for the biennium 2020–2021 or that they would have no budgetary implications. The total number of contact groups meeting at any one time would be limited to facilitate participation by all delegations. The conferences of the Parties also agreed that the presidents of the three conferences would take it in turn to preside over joint sessions and that each, when so presiding, would act on behalf of all three.

31. In carrying out their work at the current meetings, the conferences of the Parties had before them working and information documents pertaining to the various items on the agenda for the meetings. A list of those documents for each meeting, arranged according to the agenda items to which the documents pertain, is set out in documents UNEP/CHW.14/INF/59, UNEP/FAO/RC/COP.9/INF/49 and UNEP/POPS/COP.9/INF/61.

D. Report on the credentials of representatives to the fourteenth meeting of the Conference of the Parties

32. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 33 to 36 below are replicated in section III D of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and section III D of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

33. Introducing the sub-item, the President said that during the period leading up to the 2019 meetings the bureaux of the respective meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions had agreed to take the same common approach to their consideration of credentials for the current meetings as had been taken during the 2015 and 2017 meetings of the conferences of the Parties to the three conventions. Pursuant to that approach each bureau would accept original credentials in good order as well as copies thereof, on the understanding that, in the case of the latter, originals would be submitted as soon as possible.

34. Continuing the introduction, the representative of the Secretariat outlined the requirements in respect of credentials set out in rule 18 of the rules of procedure of the Conference of the Parties to the Basel Convention, rule 19 of the rules of procedure of the Conference of the Parties to the Rotterdam Convention and rule 19 of the rules of procedure of the Conference of the Parties to the Stockholm Convention, saying that in accordance with those rules the bureaux would examine the credentials of the representatives of the Parties present at the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention, respectively, and that each Bureau would report on the results of its examination to its Conference of the Parties on the afternoon of Thursday, 9 May 2019.

35. The President added that the Parties were to submit the credentials of their representatives to the Secretariat by 1 p.m. on Wednesday, 8 May 2019.

36. Also under the item it was announced that, as at the start of the 2019 meetings, there were 187 Parties to the Basel Convention, 161 Parties to the Rotterdam Convention and 182 Parties to the Stockholm Convention.

37. On 9 May 2019, the representative of the Secretariat presented the report of the Bureau on the credentials of representatives as at 8 a.m. that day, indicating that the Bureau had further examined the credentials of the representatives of the 176 Parties to the Basel Convention that had registered for the meeting to date and had found that those of 164 had been issued by a Head of State or Government or

a minister for foreign affairs and were therefore in good order. The credentials of 147 of those 164 representatives were originals, while 17 were copies that were accepted on the understanding that originals would be submitted as soon as possible.

38. It was also reported that the following 12 Parties had, as at 8 a.m. that day, not submitted credentials for their representatives: Bhutan, Cabo Verde, Comoros, Congo, Djibouti, Equatorial Guinea, Malawi, Micronesia (Federated States of), Qatar, Rwanda, Samoa and Uzbekistan. Those 12 Parties were therefore participating as observers in the fourteenth meeting of the Conference of the Parties.

39. The Conference of the Parties adopted the report of the Bureau on credentials.

40. On 10 May 2019, the report on credentials was updated by the Conference of the Parties to reflect that one Party having previously submitted a copy of the credentials for its representatives had submitted original credentials, that another Party had submitted original credentials and that three Parties had submitted copies of credentials, all in good order. Accordingly, of the 176 Parties to the Basel Convention that had registered for the meeting, the credentials of 168 Parties had been issued by a Head of State or Government or a minister for foreign affairs and were therefore in good order. The credentials of 149 of those 168 representatives were originals, while 19 were copies that were accepted on the understanding that originals would be submitted as soon as possible. Also, the following 8 Parties had not submitted credentials for their representatives: Bhutan, Cabo Verde, Comoros, Congo, Djibouti, Equatorial Guinea, Qatar and Rwanda. Those 8 Parties were therefore participating as observers in the fourteenth meeting of the Conference of the Parties.

IV. Matters related to the implementation of the Convention (agenda item 4)

A. Strategic issues

1. Strategic framework

41. Introducing the sub-item, the representative of the Secretariat recalled that, in its decision BC-13/1, the Conference of the Parties had agreed to forgo the midterm evaluation of the strategic framework for the implementation of the Basel Convention for 2012–2021 and adopt a new approach for the preparation of the final evaluation in time for its fifteenth meeting. A small intersessional working group had been established to undertake several activities leading towards the preparation of a report on that final evaluation as described in document UNEP/CHW.14/3. Document UNEP/CHW.14/INF/5 contained a revised draft compilation of information related to the indicators to be used for the preparation of the final evaluation of the strategic framework. She thanked the Government of Norway for its generous financial contribution to the work of the group.

42. Mr. Patrick McKell (United Kingdom) introduced the report on the work of the small intersessional working group on behalf of the group's chair, Mr. Zaghoul Samhan (State of Palestine). He said that, in revising the compilation of information related to the indicators to be used for the preparation of the final evaluation, the group had identified a broad range of additional sources of information for each objective set forth in the strategic framework and had assessed their usefulness for the final evaluation of those objectives. Data gathered in the context of Basel Convention activities remained the most reliable and pertinent, but they were complemented by data from other sources. For the final evaluation to be successful, it was important that a meaningful number of Parties from all regions provided up-to-date information on the indicators for the year 2019, using the reporting format developed by the Secretariat. In closing, Mr. McKell said that the group would welcome an opportunity to meet face to face during the subsequent biennium, ahead of the fifteenth meeting of the Conference of the Parties, as that would greatly facilitate its work.

43. In the ensuing discussion, one representative expressed the view that better communication within the group would have enabled it to advance more effectively. One representative undertook to submit information on the indicators for 2019 by the stipulated deadline.

44. Many representatives expressed support for the proposed action in document UNEP/CHW.14/3, with several of them stating that the work on the strategic framework was important enough for it to be funded using the core budget of the Convention. Several others, however, said that they were unable to agree to that and preferred to refer the matter to the contact group on budget matters for its consideration.

45. One representative, speaking on behalf of a group of countries, proposed a correction to the draft decision in document UNEP/CHW.14/3.

46. The Conference of the Parties adopted the draft decision on the strategic framework, as orally amended. Decision BC-14/1, on the strategic framework for the implementation of the Basel Convention for 2012–2021, as adopted by the Conference of the Parties, is set out in the annex to the present report.

2. Addressing the entry into force of the Ban Amendment

47. Introducing the sub-item, the representative of the Secretariat outlined the information in document UNEP/CHW.14/4, concerning the assistance provided by the Secretariat, thanks to the generous financial support from the Government of Switzerland, to Parties on request in their efforts to ratify or accept the Amendment to the Basel Convention (Ban Amendment).

48. She said that to date, 95 Parties had deposited their instruments of ratification, approval or acceptance of the Ban Amendment. According to information received from the United Nations Office of Legal Affairs and provided to the Conference of the Parties at its eleventh meeting (UNEP/CHW.11/INF/34), 66 of the 87 Parties that were Parties at the time of adoption of the Amendment were required to deposit their instruments for the Amendment to enter into force. To date, 64 of those Parties had done so, meaning that only a further two of those Parties were required to deposit their instruments for the Ban Amendment to enter into force. Since the thirteenth meeting of the Conference of the Parties, instruments of ratification and acceptance of the Ban Amendment had been deposited by Algeria, Iceland, Lebanon, Malawi, Maldives and Namibia.

49. In the ensuing discussion, several representatives, including a number speaking on behalf of groups of countries, congratulated those Parties that had deposited their instruments of ratification or acceptance of the Ban Amendment, recognized the efforts to that end to date, and urged Parties that had not yet done so to follow suit in order to achieve another milestone in the history of the Convention. A number of representatives, including some speaking on behalf of groups of countries, expressed support for the draft decision set out in document UNEP/CHW.14/4. One representative, speaking on behalf of a group of countries, added that one of the Parties she represented was in the process of ratifying the Ban Amendment, while another representative, also speaking on behalf of a group of countries, highlighted the plight of victims of illegal traffic in hazardous waste, notably in his region. He said that the entry into force of the Ban Amendment would send a strong signal concerning the protection of the human rights of vulnerable populations around the globe. The representative of Switzerland reiterated his country's support for the entry into force of the Ban Amendment and invited Parties to celebrate that important step forward at a ceremony later in the meeting.

50. The representative of Indonesia expressed the hope that the initiative led by his country and Switzerland to improve the effectiveness of the Convention by, inter alia, addressing the entry into force of the Ban Amendment, would contribute towards ensuring that developing countries did not become a dumping ground for hazardous wastes. He joined previous speakers in encouraging Parties that had not yet done so to ratify the Ban Amendment so as to allow its entry into force and subsequent implementation.

51. The Conference of the Parties adopted the draft decision set out in document UNEP/CHW.14/4. Decision BC-14/2, on addressing the entry into force of the Ban Amendment, as adopted by the Conference of the Parties, is set out in the annex to the present report.

3. Development of guidelines for environmentally sound management

52. Introducing the sub-item, the representative of the Secretariat said that, thanks to generous financial support provided by the European Union, Germany, Japan and Norway, and hosting arrangements by the Government of Ghana and the Stockholm Convention Regional Centre in Brazil, the expert working group on environmentally sound management had held two meetings aimed at developing the activities in its work programme outlined in annex I to decision BC-13/2. Following the first meeting, it had submitted for the consideration of the Open-ended Working Group of the Basel Convention at its eleventh meeting new draft tools it had developed, which it had then finalized at its second meeting on the basis of the comments received. It had also completed its consideration of all the activities listed in its work programme, other than the finalization of ongoing pilot projects. A report on the activities undertaken by the expert working group was set out in the annex to document UNEP/CHW.14/5, which also contained a draft decision.

53. She drew attention to documents UNEP/CHW.14/5/Add.1, containing revised draft practical manuals on extended producer responsibility and financing systems for environmentally sound management; UNEP/CHW.14/INF/6, containing a revised draft practical manual for stakeholders to ensure that notifications of transboundary movements met environmentally sound management requirements; UNEP/CHW.14/INF/7, containing a revised draft guidance document to assist Parties in developing efficient strategies for the recycling and recovery of hazardous and other wastes; and

UNEP/CHW.14/INF/8, containing revised draft guidance on how to address environmentally sound management in the informal sector. Thanks to generous funding from the Government of Switzerland, the draft tools before the Parties for consideration had been translated and were available in the six official languages of the United Nations.

54. Mr. Yorg Aerts, co-chair of the expert working group on environmentally sound management, reported briefly on the group's six years of work, listing the components of the toolkit for environmentally sound management that it had developed and expressing the hope that the Conference of the Parties would wish to adopt the remaining tools the group had developed for the consideration of the Conference of the Parties. Believing that it had now completed its ambitious mandate, the expert working group expected that it could now be disbanded to make way for other initiatives under discussion, such as those on plastic and household waste.

55. In the ensuing discussion, numerous representatives, including one speaking on behalf of a group of countries, welcomed the development of guidelines on such a core component of the Basel Convention. Some representatives, including one speaking on behalf of a group of countries, nonetheless expressed the view that the draft manuals and guidance required further discussion in a contact group, with one adding that such a group might also be tasked with considering the way forward. Others, including one speaking on behalf of a group of countries, said that the draft manuals and guidance were already suitable for adoption.

56. One representative urged Parties to put the manuals and guidance into practice at the local and national levels and requested the Secretariat to organize workshops, especially in developing countries, to raise awareness of the benefits of doing so. Another emphasized the need for technical assistance to promote the use of the toolkit for environmentally sound management.

57. Following the discussion, the Parties agreed to establish a contact group on strategic matters, co-chaired by Mr. Christoffer Vestli (Norway) and Mr. Zaigham Abbas (Pakistan), to consider further the draft decision set out in document UNEP/CHW.14/5, the two revised draft practical manuals set out in document UNEP/CHW.14/5/Add.1, and the three other tools set out in the relevant information documents.

58. Subsequently, the Conference of the Parties adopted, as orally amended, the draft decision prepared by the contact group on strategic matters. Decision BC-14/3, on developing guidelines for environmentally sound management, as adopted by the Conference of the Parties, is set out in the annex to the present report.

4. Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes

59. Introducing the sub-item, the President recalled that, in its decision BC-13/3, on the Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes, the Conference of the Parties had considered the outcomes of the second session of the United Nations Environment Assembly in terms of their relevance to the subject of the Declaration. It had deemed to be of particular relevance the resolutions adopted at that session on the sound management of chemicals and waste, sustainable consumption and production, marine plastic litter and microplastics, and delivering on the 2030 Agenda for Sustainable Development. At its fourth session, in March 2019, the Environment Assembly had adopted further decisions of relevance to waste prevention and minimization, and the concept of the circular economy. He suggested that those particular resolutions and decisions should be borne in mind during the discussion of the Cartagena Declaration.

60. Continuing the introduction, the representative of the Secretariat drew attention to the information contained in document UNEP/CHW.14/6, on the activities of the Secretariat to implement decision BC-13/3. In June 2017, the Secretariat had communicated a request for Parties and other stakeholders to provide information on activities undertaken to implement the road map for action on the implementation of the Cartagena Declaration and submit good practices and examples with regard to waste prevention and minimization. No information had been received with respect to the information request, while two Parties had submitted good practices and examples with regard to waste prevention and minimization, which were available on the website of the Convention.

61. In the ensuing discussion, one representative described action taken by her country to implement the Cartagena Declaration and expressed regret that only two Parties had responded to the Secretariat's requests for information. She therefore urged Parties to submit the information requested, noting that it would inform the new strategic framework for the implementation of the Convention. Another representative, speaking on behalf of a group of countries, stressed the importance of sharing information on good practices and examples of waste prevention and minimization in particular. Supported by another representative, also speaking on behalf of a group of countries, he said that the

Conference of the Parties should invite the submission of such information to the Secretariat by a set deadline for subsequent posting on the Convention's website. One representative said that the reasons for the poor response to the Secretariat's information requests should be identified with a view to the provision of technical and financial assistance aimed at improving that response. Another representative agreed with that suggestion, adding that mechanisms for such assistance should also be established to help Parties in their development of effective strategies and a road map for waste prevention and minimization, enabling them at the same time to make the most of capacity-building received through the regional centres.

62. Responding to a query, the representative of the Secretariat confirmed that the expert working group on environmentally sound management had completed its work and that the Secretariat would take on the role of gathering information on good practices and examples of waste prevention and minimization for posting on the Convention's website.

63. The President noted the continued support for the Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes and its road map, and encouraged Parties and other stakeholders to continue to work towards its implementation and to provide such information to the Secretariat for publication on the website. The Parties took note of the information provided in document UNEP/CHW.14/6.

B. Scientific and technical matters

1. Technical guidelines

(a) Technical guidelines on wastes consisting of, containing or contaminated with persistent organic pollutants¹

64. Introducing the sub-item, the representative of the Secretariat recalled that in accordance with decision BC-13/4, the small intersessional working group on persistent organic pollutants wastes had prepared draft updated general technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants (UNEP/CHW.14/7/Add.1); draft technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with short-chain chlorinated paraffins (UNEP/CHW.14/7/Add.2); draft updated 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 or decabromodiphenyl ether (UNEP/CHW.14/7/Add.3); draft updated technical guidelines on the environmentally sound management of wastes containing or contaminated with unintentionally produced polychlorinated dibenzo-p-dioxins, polychlorinated dibenzofurans, hexachlorobenzene, polychlorinated biphenyls, pentachlorobenzene, polychlorinated naphthalenes or hexachlorobutadiene (UNEP/CHW.14/7/Add.4); and draft updated technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexachlorobutadiene (UNEP/CHW.14/7/Add.5).

65. The Government of Japan had provided financial support that had allowed the small intersessional working group to convene a face-to-face meeting, and the Government of Norway had led the work on the updated 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, to include decabromodiphenyl ether. The Secretariat, with the support of the small intersessional working group, had led the work to develop the new technical guidelines on short-chain chlorinated paraffins and to update the other three guidelines. Following decision OEWG-11/3 adopted by the Open-ended Working Group of the Basel Convention at its eleventh meeting, all five technical guidelines had been further updated and revised. Document UNEP/CHW.14/7 provided more details on those developments and contained a relevant draft decision. A compilation of comments received from Parties and others on the draft technical guidelines on wastes consisting of, containing or contaminated with persistent organic pollutants was contained in document UNEP/CHW.14/INF/9.

66. The Conference of the Parties expressed appreciation to Norway for taking a lead role in the work, to Japan for its financial support, and to the small intersessional working group for their invaluable contribution.

¹ The sub-item was taken up during a joint session of the conferences of the Parties to the Basel and Stockholm conventions. The discussion relevant to the Stockholm Convention under this sub-item is contained in section V C of the report of the ninth meeting of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.9/30).

67. In the ensuing discussion, all the representatives who spoke underscored the importance of developing and updating the technical guidelines. A number of representatives, including one speaking on behalf of a group of countries, reported on how the use of such guidelines had assisted efforts in their countries to augment the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants and the consequential importance of adopting new or updated guidelines to assist future work.

68. Many representatives, including two speaking on behalf of groups of countries, expressed general support for adopting the guidelines under discussion but noted that certain aspects of the guidelines or the associated draft decision required further discussion and potential refinement. Issues of concern included, inter alia, the thresholds for low persistent organic pollutants content assigned to particular substances, with some expressing support for lower thresholds; the scientific methodologies on which low thresholds were determined; the cost-effectiveness of putting certain guidelines into practice; the lack of guidelines for remediation of contaminated sites; objections to the recycling of persistent organic pollutants; the absence of information on particular issues that had been included in previous guidelines; a variety of technical issues that speakers indicated would be best discussed in a contact group; and the importance of providing developing countries with technical, financial and capacity-building assistance so that they could implement the guidelines effectively.

69. Following the discussion, the Conference of the Parties to the Basel Convention established a contact group on technical matters co-chaired by Ms. Nanette Laure (Seychelles) and Ms. Magda Gosk (Poland). The group was mandated to prepare revised versions of the technical guidelines, as appropriate, and a draft decision using the draft text in paragraph 19 of document UNEP/CHW.14/7 as a starting point and taking into account discussions in plenary.

70. Subsequently, the contact group on technical matters submitted to the Conference of the Parties for its consideration revised versions of the technical guidelines, and a draft decision on the matter. The Conference of the Parties adopted the draft decision submitted by the contact group on technical matters.

71. Decision BC-14/4, on technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants, is set out in the annex to the present report.

(b) 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

72. Introducing the sub-item, the representative of the Secretariat outlined the information in section II of document UNEP/CHW.14/7. She recalled that, in its decision BC-13/5, the Conference of the Parties had established an expert working group, under the leadership of China, to further develop the technical guidelines. The Governments of China, Japan and Switzerland had provided financial support that had allowed the expert working group to convene two face-to-face meetings. The expert working group had developed a revised version of the 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, as set out in the annex to document UNEP/CHW.14/7/Add.6. A draft decision on the matter was set out in document UNEP/CHW.14/7.

73. The representative of China, as lead country for the work of the expert working group, delivered a statement on the work of the group in producing the revised technical guidelines.

74. In the ensuing discussion, many representatives expressed appreciation for the work carried out by the expert working group, China as lead country, and the Secretariat in developing the draft technical guidelines. Several representatives, including one speaking on behalf of a group of countries, said that the guidelines had been revised in an inclusive and participatory process and merited adoption with no or few changes. One representative said that timely adoption of the guidelines would enable Parties to focus on implementation, while another said that the guidelines were an important step in helping industry to better understand the requirements of the Basel Convention in relation to both electrical and electronic waste as hazardous waste, and used electrical and electronic equipment. One representative, speaking on behalf of a group of countries, said that the technical guidelines would serve as an important reference in helping countries to develop instruments, regulations and standards for the environmentally sound management of hazardous wastes, as stipulated in paragraph 8 of Article 2 of the Convention. Several representatives provided examples of actions in their own countries to deal with electrical and electronic waste in an environmentally sound manner.

75. One representative said that the guidance on the distinction between waste and non-waste would help customs officers to determine whether shipments were waste or not. He suggested that test methods and procedures be developed to assess the functionality of electrical and electronic equipment, and testing laboratories accredited to ensure appropriate quality management. In addition, facilities in importing countries should provide details of failure analysis, repair or refurbishment procedures as evidence that used equipment and related wastes and residues would be managed in an environmentally sound manner.

76. The representative of India, introducing a conference room paper, expressed concern that the present distinction between waste and non-waste under the Basel Convention could have major negative consequences for developing countries. In particular, paragraph 31 (b) in the draft technical guidelines, classifying as non-waste electrical and electronic equipment that was not functional and was destined for failure analysis, repair or refurbishment with the intention of reuse, could result in the dumping of such equipment in the absence of sufficient capacity to undertake the stipulated action, and would also result in the movement of large quantities of electrical and electronic waste outside the scope of the Basel Convention. In addition, basing the provisions of paragraph 31 (b) on the intentions of the person arranging transport was an unverifiable and insufficiently stringent criterion. It was therefore in the best interests of the Convention to treat as waste all used electrical and electronic equipment destined for failure analysis, repair or refurbishment with the intention of reuse.

77. Several representatives referred to the challenges faced in their own countries with the continued illegal import and dumping of electrical and electronic waste, and called on the international community to take concerted action on the matter. One representative said that a project to develop an inventory of electrical and electronic waste in his country had found that most obsolete electronic equipment being shipped to the country contained polychlorinated biphenyls (PCBs). Several called for source countries to take greater responsibility for dealing with such waste, including through the application of extended producer responsibility. There was support for the suggestion by the representative of India that further discussion was needed on the section in the draft technical guidelines pertaining to situations in which used equipment should be considered waste and those in which it should not be considered waste. Some representatives called for additional financial and technical assistance to help implement the guidelines, including capacity-building in such areas as customs and specialized laboratories.

78. The Conference of the Parties agreed to refer further consideration of the issue to the contact group on technical matters, with a mandate to consider the possible revision of paragraph 31 (b) of the revised technical guidelines on electrical and electronic waste, taking into account the conference room paper submitted by India and the discussion in plenary.

79. Subsequently, the Conference of the Parties considered the draft decision submitted by the contact group on technical matters. One representative said that the contact group had not given adequate consideration to the matter, and the proposed draft decision had weakened the safeguards pertaining to the transboundary movement of electrical and electronic waste. Further efforts should be made to accommodate the concerns of developing countries with regard to illegal traffic in electrical and electronic waste.

80. Following the informal consultations, the President introduced his proposal for a draft decision on the technical guidelines, according to which the Conference of the Parties would, among other things, adopt the technical guidelines, to be set out in document UNEP/CHW.14/7/Add.6/Rev.1, on an interim basis and extend the mandate of the expert group to continue its work to finalize the guidelines in order to reassess the situation at its next meeting. The Conference of the Parties adopted the draft decision as presented by the President.

81. Decision BC-14/5, on 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, as adopted by the Conference of the Parties, is set out in the annex to the present report.

(c) Technical guidelines on incineration on land (D10), on specially engineered landfill (D5) and on hazardous waste physico-chemical treatment (D9) and biological treatment (D8)

82. Introducing the sub-item, the representative of the Secretariat outlined the information in section III of document UNEP/CHW.14/7. She recalled that, by decision BC-13/6, the Conference of the Parties had decided that the technical guidelines on incineration on land (D10) and on specially engineered landfill (D5) should be updated and had established a small intersessional working group to carry out the work. The group, whose work was co-led by Argentina and Canada, had prepared revised draft technical guidelines that were set out in documents UNEP/CHW.14/INF/11 and

UNEP/CHW.14/INF/12, based on comments submitted by Parties, which were set out in document UNEP/CHW.14/INF/13.

83. The representative of Argentina, as co-lead country for the work undertaken by the intersessional working group, provided a brief summary of the work carried out by the small group, as described in the document. She introduced a conference room paper, submitted by the group's co-lead countries, containing proposed amendments to the draft decision in document UNEP/CHW.14/7, noting that the draft decision proposed to extend the mandate of the small intersessional working group to allow it to further update the technical guidelines based on discussions at the present meeting.

84. In the ensuing discussion, several representatives, including one speaking on behalf of a group of countries, expressed appreciation for the progress made during the intersessional period on updating the guidelines. A number of issues remained to be discussed, however. One representative asked for more information on air pollution control costs and environmental quality monitoring costs in the D10 guidelines. In addition, given that developing countries often lacked a landfill permitting system, the D5 guidelines could support licensing agencies and landfill owners by setting out quality assurance and quality control processes for each step in the construction process. Another representative asked that special attention be paid to the different requirements for landfills for hazardous wastes and those for urban and other non-hazardous wastes; in particular, the guidelines should make it clear that there should not be any gas emissions from hazardous wastes.

85. One representative, speaking on behalf of a group of countries, indicated that she had submitted to the Secretariat proposed amendments to the draft decision set out in the conference room paper, which were intended to extend the scope of the D10 technical guidelines to include disposal operation R1, use as a fuel other than in direct incineration or other means to generate energy.

86. The Conference of the Parties decided to ask the contact group on technical matters to prepare revised versions of the updated technical guidelines, as appropriate, as well as a revised draft decision, taking into account the conference room paper submitted by the co-lead countries of the small intersessional working group, the proposed amendments submitted to the Secretariat and the discussion in plenary.

87. Subsequently, the Conference of the Parties adopted the revised version of the draft decision prepared by the contact group on technical matters.

88. Decision BC-14/6, on technical guidelines on incineration on land (D10) and on specially engineered landfill (D5), as adopted by the Conference of the Parties, is set out in the annex to the present report.

(d) Technical guidelines on the environmentally sound management of waste lead-acid batteries

89. Introducing the sub-item, the representative of the Secretariat outlined the information in section IV of document UNEP/CHW.14/7, relating to the invitation by the United Nations Environment Assembly in its resolution 3/9 for the Conference of the Parties to consider updating of the technical guidelines on the environmentally sound management of waste lead-acid batteries adopted by the Conference of the Parties in its decision VI/22.

90. One representative, speaking on behalf of a group of countries, proposed that, given the planned workload, the consideration of whether the technical guidelines for waste lead-acid batteries should be updated be deferred to the next biennium, and that a corresponding activity be included in the work programme of the Open-ended Working Group of the Basel Convention for the biennium 2020–2021, as had been done for the D8 and D9 technical guidelines. Another representative, however, said that given the environmental and human health risks posed by waste lead-acid batteries, the discussion on the matter should be taken up in a contact group at the current meeting. Her position was supported by a third representative, who spoke on behalf of a group of countries.

91. The Conference of the Parties agreed to request the contact group on technical matters to prepare a revised draft decision reflecting the discussion in plenary.

92. Subsequently, the Conference of the Parties adopted the revised draft decision prepared by the contact group on technical matters. Decision BC-14/7, on technical guidelines on the environmentally sound management of waste lead-acid batteries, as adopted by the Conference of the Parties, is set out in the annex to the present report.

(e) Technical guidelines on the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury

93. Introducing the sub-item, the representative of the Secretariat outlined the information in section V of document UNEP/CHW.14/7 and drew attention to the draft decision contained therein.

She recalled that the Conference of the Parties to the Minamata Convention on Mercury, at its second meeting, had, by its decision MC-2/2, invited the Conference of the Parties to the Basel Convention to consider reviewing, as appropriate, the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds (UNEP/CHW.12/5/Add.8/Rev.1), which had been adopted by the Conference of the Parties to the Basel Convention by decision BC-12/4, with additional guidance for certain mercury wastes.

94. During the ensuing discussion, there was agreement on the importance of close cooperation between the Basel and Minamata conventions on the matter of mercury wastes and on the need to update the technical guidelines. One representative, supported by another, highlighted the issue of contaminated sites and the threat they posed to human health and the environment, and suggested that specific provision for the remediation of those sites be included in any revision of the guidelines. Another representative spoke of the urgent need to define mercury waste thresholds in a collaborative process involving the Conference of the Parties to the Minamata Convention and the relevant bodies of the Basel Convention, as stipulated by Article 11 of the Minamata Convention, in order to inform the update of the guidelines.

95. The representative of the Minamata Convention said that the context for the discussion was provided by Article 11 of the Convention, which provided that each Party should take appropriate measures to manage mercury wastes in an environmentally sound manner. In addition, work was under way to develop appropriate strategies for the management of contaminated sites, as stipulated by Article 12 of the Minamata Convention.

96. The Conference of the Parties agreed to refer further discussion of the item to the contact group on technical matters, with a mandate to prepare a draft decision on the issue taking into account the discussion in plenary.

97. Subsequently, the Conference of the Parties adopted a draft decision prepared by the contact group on technical matters. Decision BC-14/8, on technical guidelines on the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury, as adopted by the Conference of the Parties, is set out in the annex to the present report.

2. Classification and hazard characterization of wastes

98. Introducing the sub-item, the representative of the Secretariat reported that, as outlined in document UNEP/CHW.14/8, the Secretariat continue to cooperate with the World Customs Organization to facilitate the inclusion of types of waste controlled under the Basel Convention in the Harmonized System Nomenclature. Since April 2015, the Harmonized System Committee and its Review Subcommittee had worked on draft amendments to the Harmonized System in relation to the classification of electrical and electronic waste. The discussions of the Subcommittee and their outcomes were summarized in annex I to document UNEP/CHW.14/INF/14. In March 2019, the Harmonized System Committee had provisionally adopted amendments that provided for the separate identification of electrical and electronic waste and scrap.

99. Pursuant to relevant decisions adopted by the Conference of Parties and its Open-Ended Working Group, the Secretariat had revised the list of types of wastes submitted by Parties, taking into account the progress made by the Harmonized System Committee and its Review Subcommittee. The Secretariat had also invited Parties to provide additional information on the types of wastes for which it would be useful for the World Customs Organization to introduce codes in the Harmonized System, ranked in order of priority.

100. On behalf of the Conference of the Parties, the President expressed appreciation for the efforts of the World Customs Organization and its Secretariat in amending the Harmonized System Nomenclature to provide for the identification of types of wastes controlled under the Basel Convention, including the provisional adoption of Harmonized System codes for identifying electrical and electronic waste and scrap.

101. Several representatives, including a number speaking on behalf of groups of countries, called on the Secretariat to continue its cooperation with the Harmonized System Committee and relevant subcommittees of the World Customs Organization to facilitate the inclusion of wastes covered by the Basel Convention in the Harmonized Commodity Description and Coding System, as the formal adoption of such codes would assist Parties to implement the Basel Convention effectively. Some representatives expressed an interest in continuing to discuss the types of waste to be included in the draft decision, with one, speaking on behalf of a group of countries, highlighting in that regard waste end-of-life vehicles and waste pneumatic tyres.

102. The Conference of the Parties decided to refer further consideration of the issue to the contact group on technical matters, including the types of wastes that the Secretariat should propose to the World Customs Organization for inclusion in the Harmonized System Nomenclature, with a mandate to prepare a draft decision relevant to the agenda item, based on the draft decision in paragraph 6 of document UNEP/CHW.14/8 and taking into account the discussion in plenary.

103. Subsequently, the Conference of the Parties adopted a draft decision submitted by the contact group on technical matters, on the understanding that the text in square brackets pertaining to plastic waste would be harmonized with the decision by the Conference of the Parties on amendments to Annexes II, VIII and IX to the Basel Convention.

104. Decision BC-14/9, on cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System, as adopted by the Conference of the Parties, is set out in the annex to the present report.

3. National reporting

105. Introducing the sub-item, the representative of the Secretariat reported that it had updated the electronic reporting system of the Convention to reflect the revised format for national reporting. Parties that had used the system to submit their national reports for 2016 were listed in document UNEP/CHW.14/INF/15. She recalled that in its decision OEWG-11/6, the Open-ended Working Group had agreed on a list of types of wastes for which practical guidance on the development of inventories should be developed, and had recommended that the Conference of the Parties consider requesting the Secretariat to develop such guidance. The recommendations of the Open-ended Working Group were reflected in paragraph 4 (c) of the draft decision set out in section III of document UNEP/CHW.14/9.

106. Several representatives, including one speaking on behalf of a group of countries, expressed appreciation for the work undertaken by the Secretariat in developing and enhancing the electronic reporting system. A number expressed concern, however, that only around half of all the Parties had submitted the reports for 2015 and 2016 required under Article 13 of the Convention.

107. General support was expressed for the draft decision, with one representative highlighting the need to finalize the list of waste streams for which additional guidelines on the development of inventories should be developed. The representative of the European Union and its members States introduced a conference room paper to amend elements of the draft decision.

108. Several representatives called for increased technical assistance and capacity-building to assist developing countries in meeting their reporting requirements, including augmenting their ability to conduct the necessary inventories, gather other relevant information, and utilize the reporting system.

109. One representative, speaking on behalf of a group of countries, expressed appreciation to the Secretariat for initiating the implementation of pilot projects to test the draft practical guidance on the development of inventories of used lead-acid batteries, of electrical and electronic waste, and of waste oils, and invited feedback from Parties regarding their experiences with using those guidance documents.

110. Following the discussion, the Conference of the Parties requested the Secretariat to prepare for its consideration a revised version of the draft decision set out in document UNEP/CHW.14/9, taking into account the proposed amendments contained in the conference room paper and the discussion in plenary.

111. During subsequent consideration of the draft decision prepared by the Secretariat, further amendments were proposed by one representative. The Parties requested the Secretariat to prepare a revised version of the draft decision taking into account the proposed amendments.

112. Subsequently, the Conference of the Parties adopted the revised version of the draft decision prepared by the Secretariat, as orally amended.

113. Decision BC-14/10, on national reporting, as adopted by the Conference of the Parties, is set out in the annex to the present report.

4. Electronic approaches to the notification and movement documents

114. Introducing the sub-item item, the representative of the Secretariat recalled that, in its decision BC-13/17, the Conference of the Parties had requested the Secretariat to prepare a document containing options on how to move forward on electronic approaches to the notification and movement of hazardous waste for consideration by the Open-ended Working Group at its eleventh meeting. In its decision OEWG-11/9, the Open-ended Working Group had recommended that the

Conferences of the Parties at its fourteenth meeting consider requesting the Secretariat to undertake a number of activities to enhance Parties' understanding of electronic systems for exchanging information on the movements of wastes and exploring options for the development of such a system under the Basel Convention. The recommendations of the Open-ended Working Group were reflected in the draft decision set out in paragraph 5 of document UNEP/CHW.14/10.

115. Several representatives, including a number speaking on behalf of groups of countries, expressed support for the proposed actions set out in the draft decision, including the request to the Secretariat to prepare a report for consideration by the Open-Ended Working Group on national and international experiences in developing and implementing electronic systems for monitoring and exchanging information on the movement of hazardous waste and lessons learned in that regard. One, speaking on behalf of a group of countries, also proposed several amendments to the draft decision intended to clarify the sequence and timing of activities to be undertaken.

116. A number of representatives, including one speaking on behalf of a group of countries, said that if a unified electronic system were to be developed under the Basel Convention, it should be available in all six official languages of the United Nations. A number of representatives, including one speaking on behalf of a group of countries, underscored the importance of providing adequate financial, technical and capacity-building assistance to assist Parties in using such an electronic system, with one highlighting the value of regional workshops.

117. The Conference of the Parties agreed to adopt the draft decision set out in paragraph 5 of document UNEP/CHW.14/10, as orally amended. Subsequently, the Conference of the Parties agreed to amend the decision at the suggestion of the contact group on budget matters in order to reflect therein the standard terminology for decisions of the Conference of the Parties "subject to the availability of resources".

118. Decision BC-14/11, on electronic approaches to the notification and movement documents, as adopted by the Conference of the Parties, is set out in the annex to the present report.

5. Marine plastic litter and microplastics

119. The representative of the Secretariat, introducing the sub-item, drew attention to document UNEP/CHW.14/11, which contained information on activities undertaken related to marine plastic litter and microplastics, as well as a draft decision prepared by the Secretariat on the basis of the elements agreed on by the Open-ended Working Group at its eleventh meeting. At that meeting, the Open-ended Working Group had welcomed a proposal by Norway to establish a plastic waste partnership. Draft terms of reference for the partnership and a draft workplan for the working group of the Partnership for the biennium 2020–2021 were set out in document UNEP/CHW.14/INF/16.

120. Another representative of the Secretariat introduced the documents related to the proposals by the Government of Norway to amend Annexes II, VIII and IX to the Basel Convention. The proposals themselves were set out in document UNEP/CHW.14/27, while document UNEP/CHW.14/INF/18 contained an explanatory note by Norway on the proposed amendments, in the six official languages of the United Nations, and document UNEP/CHW.14/INF/17 contained Parties' comments on the proposals. The Governments of the Congo, Japan, Samoa, Switzerland, Togo and Zambia had indicated their desire to co-sponsor the proposals.

121. The representative of Norway presented his Government's proposals as set out in document UNEP/CHW.14/27.

122. During the ensuing discussion, the representatives of Uruguay and Vanuatu indicated their Governments' desire to also be considered co-sponsors of the proposals to amend the annexes to the Convention. Many representatives, including several speaking on behalf of groups of countries, took the floor to underscore the extent of the problem of plastic waste and the importance of taking action, and in some cases to describe the steps their countries were taking to manage plastic waste.

123. Broad support was expressed for Norway's proposals to amend the annexes, as well as for the establishment of the new partnership on plastic waste and the draft decision set out in document UNEP/CHW.14/11. While many expressed the hope that the proposed amendments would be adopted at the current meeting, aspects meriting additional consideration were also highlighted, including the need for clarifications regarding Annex IX entry B3010 on solid plastic waste, the importance of using the life-cycle approach, the need to extend the scope of the measures to plastic waste on land and in waterways and the need for data on the current situation and the potential impacts of the proposed measures. One representative suggested that the Conference of the Parties should also consider the possibility of deferring a decision on the matter to a future meeting of the Conference of the Parties, together with arrangements for intersessional discussions. Many representatives also called for

adequate technical and financial assistance to enable developing countries to manage plastic waste properly.

124. The representative of Argentina, citing the need to avoid creating barriers to recycling efforts, introduced a conference room paper setting out amendments to Annexes VIII and IX aimed at facilitating the identification of hazardous plastic wastes and deleting the proposed amendment to Annex II.

125. The representative of the European Union and its member States introduced two conference room papers, one with proposed changes to the proposals by Norway and the other setting out proposed changes to the draft decision and the partnership provisions.

126. Following the discussion, the Conference of the Parties established a contact group on plastic waste, co-chaired by Ms. Vivienne Ahern (Ireland) and Mr. Manoj Gangeya (India). The mandate of the contact group was to consider the amendments to Annexes II, VIII and IX to the Basel Convention proposed by Norway, using the text set out in document UNEP/CHW.14/27 as a starting point and taking into account the amendments proposed by the European Union and Argentina in their respective conference room papers, and to prepare a draft decision on the amendments. The group was also tasked with preparing a draft decision regarding further action to address plastic waste under the Convention on the basis of the text set out in paragraph 11 of document UNEP/CHW.14/11 and to revise the draft terms of reference and workplan of the partnership set out in document UNEP/CHW.14/INF/16, taking into account the proposals made by the European Union in its conference room paper on the matter.

127. Subsequently the Conference of the Parties to the Basel Convention adopted two draft decisions, as prepared by the contact group. Decisions BC-14/12, on amendments to Annexes II, VIII and IX to the Basel Convention, and BC-14/13, on further actions to address plastic waste under the Basel Convention, as adopted by the Conference of the Parties, are set out in the annex to the present report.

128. Following the adoption of the two decisions, many representatives, including a number speaking on behalf of groups of countries, welcomed the agreement to initiate a partnership on plastic waste and to amend the annexes to include plastic waste as significant and historic first steps to address an increasingly serious problem of global concern. Expressing appreciation to the Government of Norway for proposing the partnership and amendments, to the co-sponsors and to the members of the contact group and its co-chairs, many representatives underscored the immense challenge that lay ahead and pledged to work collaboratively during the intersessional period and the years ahead.

129. A number of representatives highlighted the problem of plastic waste for their countries and the importance of the two decisions for establishing a new foundation for global cooperation to address the serious threat posed by such waste to human health and the environment. Several representatives underscored the significant challenges that developing countries faced in seeking to reduce and manage plastic waste in an environmentally sound manner and that increased technical, financial and capacity-building assistance in a variety of areas was required to address the issue effectively. One called for Parties individually, and collectively through the Convention, to take more effective measures to reduce plastic waste at the source; to reduce its transboundary movement; to improve recovery, recycling and environmentally sound management capacities; and to apply the proximity principle of the Convention. Another highlighted the importance of learning from the experiences of developing countries. One called for developing additional efforts, within the Basel Convention and possibly other new structures, to address plastic pollution using a life cycle approach.

130. The representative of Japan said that efforts to update and revise the technical guidelines on plastic waste were essential for implementing the newly amended annex. He announced that his Government would provide up to \$200,000 to support such work and would also continue to support related intersessional efforts.

6. Waste containing nanomaterials

131. Introducing the item, the representative of the Secretariat recalled that, in decision BC-13/17, the Conference of the Parties had requested the Secretariat to prepare for consideration by the Open-ended Working Group at its eleventh meeting a document that compiled information on existing activities that addressed waste containing nanomaterials and identified issues related to such waste that might be relevant to work under the Convention. The document was also to provide options for further work that could be carried out under the Convention related to such waste. By decision OEWG-11/10, the Open-ended Working Group welcomed the report (UNEP/CHW/OEWG.11/INF/24), which had been prepared with generous financial support from the Government of Switzerland, and invited Parties and others to submit to the Secretariat comments thereon, particularly with regard to the

options for further work. The comments received from Parties and others were contained in document UNEP/CHW.14/INF/19, while the proposed action for the Conference of the Parties at the current meeting was outlined in document UNEP/CHW.14/12.

132. All the representatives who took the floor said that it was crucial to carry out further work in relation to waste containing nanomaterials and there was insufficient knowledge of an array of aspects of nanotechnology and nanosafety. One representative said that different nanomaterials had different physical properties and applications and thus the classification of all waste containing nanomaterials as hazardous was not appropriate and needed further evaluation. Another representative highlighted that certain metals already fell within the scope of the Basel Convention, in bulk and in nano form, if they were listed in Annex I and defined as hazardous according to Annex III.

133. Several individual representatives shared steps taken by their countries to deal with nanomaterials and nanotechnologies, including the development of a national strategy or strategic management plan on nanomaterials; a fund to support harmonization of national standards with international provisions; databases on nanomaterials and related safety issues; a standardized programme for evaluating the safety of the nanotechnology industry; and guidelines for employee safety.

134. Several representatives thanked the United Nations Institute for Training and Research (UNITAR) for its technical assistance. One said that it was important for all Parties to benefit from attendance at relevant meetings and workshops. In addition, several representatives welcomed the World Health Organization (WHO) guidelines on protecting workers from the potential risks of manufactured nanomaterials.

135. The representative of UNITAR said that, with the generous support of the Government of Switzerland, UNITAR had supported the implementation of six national projects on manufactured nanomaterials that aimed to develop national policies to manage nanomaterials and raise awareness of the issues at the national level and three rounds of regional workshops on nanosafety. Speaking also of behalf of WHO and the International Labour Organization (ILO), he said that WHO encouraged countries to implement its new guidelines on protecting workers from potential risks of manufactured nanomaterials and that ILO, concerned about workers' exposure to occupational risks relating to nanomaterials, was in the process of developing a strategic plan for the protection of workers from emerging risks, including manufactured nanomaterials.

136. Individual representatives made various proposals as to the way forward.

137. Following the discussion, the Conference of the Parties agreed to refer further consideration of the issue to the contact group on technical matters, with a mandate to discuss options for further work that could be carried out under the Convention related to waste containing nanomaterials and to prepare a draft decision for consideration by the Conference, taking into account the discussion in plenary.

138. Subsequently, the Conference of the Parties adopted a draft decision submitted by the contact group on technical matters.

139. Decision BC-14/14, on waste containing nanomaterials, as adopted by the Conference of the Parties, is set out in the annex to the present report.

C. Legal, compliance and governance matters

1. Committee Administering the Mechanism for Promoting Implementation and Compliance

140. Introducing the sub-item in a joint session of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention, the representative of the Secretariat drew attention to the report of the Committee Administering the Mechanism for Promoting Implementation and Compliance (UNEP/CHW.14/13), including a proposed draft decision. The addendums to the report contained guidance documents for consideration and possible adoption, namely revised guidance on improving national reporting; the guide for the development of national legal frameworks to implement the Basel Convention; guidance on improving implementation of paragraph 11 of Article 6 of the Convention on insurance, bond and guarantee; and the benchmark report on facilitating reporting under paragraph 3 of Article 13 (UNEP/CHW.14/13/Add.1–Add.4). The work of the Committee had benefited from financial support from the Governments of Japan, Norway, Switzerland and the European Union.

141. Mr. Juan Simonelli (Argentina), in his role as chair of the Committee Administering the Mechanism for Promoting Implementation and Compliance, gave a presentation on the work of the

Committee during the biennium 2018–2019. With regard to specific submissions, the Committee had considered a total of 10 submissions during its thirteenth meeting, of which 7 concerned national reporting. Of those matters, 6 had been resolved, and progress was continuing on the remaining 4. In March 2019, the Secretariat had made a further 16 submissions to the Committee, of which 15 were concerned with national reporting. With regard to national reporting (UNEP/CHW.14/INF/21), the overall reporting rate was 58 per cent for 2014 and 55 per cent for 2015. The generally low numbers of Parties complying with their reporting obligations, and the failure to meet the reporting targets set by the Conference of the Parties at its thirteenth meeting, highlighted the importance of the work of the Committee in assisting Parties to address compliance. The revised reporting format, introduced in 2016, was expected to bring improvements in the reporting rate and the increased transmission of complete and timely reports.

142. With regard to illegal traffic, the Committee had considered what additional steps could be taken to improve implementation of and compliance with Article 9 of the Convention. Recommendations included holding a dialogue with other multilateral environmental agreements with trade control provisions, and exploring modalities for disseminating guidance and technical assistance tools to assist Parties to prevent and combat illegal traffic. With respect to national legislation, the Committee had completed all its mandated tasks. Among other things, the Committee had identified a need to more closely monitor activities undertaken by or with the support of the Basel and Stockholm convention regional centres, UNEP and other entities aimed at assisting Parties to develop legal frameworks for the implementation of the Basel Convention. Finally, a review of the operation of the implementation fund was contained in document UNEP/CHW.14/INF/22.

143. In the ensuing discussion, many representatives, including a number speaking on behalf of groups of countries, expressed appreciation for the work of the Committee. One representative, and another speaking on behalf of a group of countries, said that the four new guidance documents would contribute to improving implementation of the Convention. Some representatives, including one speaking on behalf of a group of countries, drew attention to the challenges faced by developing countries in submitting national reports in a timely manner. One representative proposed retaining the extended possibility for the Secretariat to make a submission to the Committee under paragraph 9 (c) of the terms of reference, and, with regard to the timeliness and completeness of national reporting, recommended that the Secretariat make submissions to the Committee following its consultations with those Parties that had not transmitted a report since 2009.

144. During subsequent consideration of the matter in convention-specific sessions, one representative, speaking on behalf of a group of countries, said, in reply to a comment by an observer, that the prior written consent of Parties to transboundary movement was often unavoidably hampered or delayed owing to the late submission of the documentation required for such consent and the frequent inadequacy of the information provided in that documentation.

145. The representative of the European Union and its member States said that his delegation had submitted a conference room paper containing suggestions for minor changes to the benchmark report aimed at facilitating reporting under paragraph 3 of Article 13 of the Convention. One representative requested the establishment of a contact group to discuss those changes and other issues previously raised, including the matter of the insurance, bond or other guarantee provided for in Article 6, paragraph 11, of the Convention.

146. Following the discussion, the Parties decided to establish a contact group on compliance and legal matters, co-chaired by Mr. Juan Simonelli (Argentina) and Ms. Isabelle Baudin (Switzerland), to consider further the draft decision set out in document UNEP/CHW.14/13, as well as the benchmark report on facilitating reporting under paragraph 3 of Article 13 and the related conference room paper submitted by the European Union and its members States, and the guidance on improving implementation of paragraph 11 of Article 6 of the Convention on the insurance, bond or guarantee.

147. Subsequently, the Conference of the Parties adopted a draft decision submitted by the contact group on compliance and legal matters.

148. Decision BC-14/15, on the Committee Administering the Mechanism for Promoting Implementation and Compliance, as adopted by the Conference of the Parties, is set out in the annex to the present report.

2. Providing further legal clarity

149. Introducing the sub-item, the representative of the Secretariat drew attention to a note by the Secretariat on providing further legal clarity (UNEP/CHW.14/14) and the draft decision contained therein, the recommendations by the expert working group on the review of the annexes presented in

document UNEP/CHW.14/INF/23, and comments from Parties on the recommendations set out in document UNEP/CHW.14/INF/24/Rev.1.

150. Mr. Joost Meijer, co-chair of the expert working group, speaking also on behalf of co-chair Ms. Magda Gosk, gave a report on the work of the expert working group to date. Regarding the review of Annex IV, he said that the group had reviewed the captions, introductions and each existing and proposed new entry for Annex IV, and that it had only undertaken an initial review of entry B1110 due to a lack of clarity on the scope of the mandate. The group had developed recommendations for revisions to Annex IV, which had been made available on 8 January 2019, a corrected version of which was set out in the annex to document UNEP/CHW.14/INF/23. Regarding the review of Annexes I and III, he said that the group had undertaken an initial review of those and that the members of the group had been invited to submit their views on general issues pertaining to the review of Annexes I and III by 31 July 2019. Regarding the mandate of the group, he recalled that, in decision OEWG-11/12, the Open-ended Working Group had recommended that the Conference of the Parties at its fourteenth meeting consider including the review of entry B1110 in Annex IX and the review of mirror entry A1180 in Annex VIII in the terms of reference of the expert working group and had suggested that the Conference of the Parties consider extending the mandate of the expert working group to enable it to assess the implications of the review of Annexes I, III and IV for other annexes of the Convention and for relevant decisions of the Conference of the Parties. He also drew attention to the way forward for the group, as set out in the annex to document UNEP/CHW.14/14, whereby the Conference of the Parties would consider, at its fifteenth meeting, possible amendments to Annex IV, A1180 and B1110 and, at its sixteenth meeting, possible amendments to Annexes I and III.

151. The Conference of the Parties decided to refer further consideration of the draft decision in document UNEP/CHW.14/14, taking into account documents UNEP/CHW.14/INF/23 and UNEP/CHW.14/INF/24/Rev.1, as well as a conference room paper submitted by the European Union and its member States, to the contact group on compliance and legal matters.

152. Subsequently, the Conference of the Parties adopted a draft decision submitted by the contact group on compliance and legal matters.

153. Decision BC-14/16, on providing further legal clarity, as adopted by the Conference of the Parties, is set out in the annex to the present report.

3. National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic

154. Introducing the sub-item, the representative of the Secretariat drew attention to document UNEP/CHW.14/15, which set out information on the activities undertaken by the Secretariat pursuant to decision BC-13/10, as well as a draft decision on the matter.

155. The representative of the European Union and its member States introduced a conference room paper proposing changes to the draft decision to ensure consistency with previous related decisions of the Conference of the Parties and with the text of the Convention, and to provide additional text on the implementation of paragraph 4 of Article 6, relating to transit.

156. Many representatives spoke of the importance to developing countries of the provisions of the Convention related to transit, import and export of hazardous substances, and the need for further technical assistance and finance to help them overcome the challenges they faced in relation to transit and illegal traffic, including through capacity-building of customs officers and the development and enforcement of national legislation. One representative supported the suggestion in the draft decision that Parties share information, through the Secretariat, on best practices in preventing and combating illegal traffic to assist country learning and capacity development.

157. One representative, supported by many others, said that the current measures in place, and the proposed amendment to the draft decision, did not go far enough in protecting countries against illegal traffic and regulating the transit of hazardous wastes, especially in cases where countries lacked the capacity to control such movement. More stringent measures were required to ensure that hazardous and other wastes were not moved between countries without prior written consent, and to ensure the compliance of all Parties with their obligations under the Convention.

158. At the suggestion of the President, the Conference of the Parties agreed to request the Secretariat to prepare for its consideration a revised version of the draft decision, in consultation with interested Parties, based on the proposed action in document UNEP/CHW.14/15, the conference room paper presented by the European Union and its member States, and taking into account the discussion in plenary.

159. Subsequently, the Conference of the Parties adopted the revised draft decision prepared by the Secretariat.

160. Decision BC-14/17, on national legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic, as adopted by the Conference of the Parties, is set out in the annex to the present report.

D. Technical assistance

161. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 162 to 173 below are replicated in section V E of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section V F of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

162. Introducing the item, the President said that there were three main topics to be considered: the technical assistance plan prepared by the Secretariat for the delivery of technical assistance under the conventions; regional centres under the Basel and Stockholm conventions; and implementation of decision V/32 of the Conference of the Parties to the Basel Convention relating to the emergency trust fund.

1. Technical assistance

163. Introducing the sub-item, the representative of the Secretariat outlined the information contained in document UNEP/CHW.14/16–UNEP/FAO/RC/COP.9/15–UNEP/POPS/COP.9/16, on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions, which set out information on activities undertaken under the four-year technical assistance plan for the period 2018–2021, and document UNEP/CHW.14/INF/25/Rev.1–UNEP/FAO/RC/COP.9/INF/24/Rev.1–UNEP/POPS/COP.9/INF/25/Rev.1, which set out further information on the implementation of the plan. A draft monitoring and evaluation strategy prepared by the Secretariat for consideration by the conferences of the Parties was set out in document UNEP/CHW.14/INF/27–UNEP/FAO/RC/COP.9/INF/26–UNEP/POPS/COP.9/INF/26.

164. A number of representatives expressed appreciation for the efforts of the Secretariat, donor countries, the regional centres and relevant partners in providing technical assistance and capacity-building to developing countries and countries with economies in transition to implement their obligations under the three conventions, with several providing specific examples of the assistance they had received. One representative said that adequate provision of technical assistance was an essential element of any discussion regarding the establishment of a compliance mechanism. Another representative stressed the importance of training in laboratory and analytical techniques to increase the capacity of countries to deal with harmful chemicals, including the growing number of regulated persistent organic pollutants. One representative highlighted the need for further technical assistance for the management of hazardous wastes generated during ship dismantling.

165. One representative, speaking on behalf of a group of countries, welcomed the projects undertaken in implementing the technical assistance plan, but expressed concern that some of the Secretariat's activities had not been discussed by the conferences of the Parties or agreed upon in decisions on technical assistance, and that a monitoring and evaluation strategy for the technical assistance plan had been prepared by the Secretariat without it having a mandate to perform that task. In addition, use should be made of the database developed by the Secretariat containing past and present information on technical assistance. Another representative said that the monitoring and evaluation strategy would be an effective tool for supporting the attainment of the goals of the technical assistance plan.

166. Several representatives said that there was still a need for increased mobilization of financial and technical assistance to strengthen national capabilities for the sound management of chemicals and waste. One representative said that such assistance should be rendered in accordance with the stipulations of the conventions, including paragraph 4 of Article 12 of the Stockholm Convention and Articles 14 and 16 of the Basel Convention. One representative highlighted the challenges faced in directing assistance to countries suffering from instability or conflict.

2. Regional centres

167. Introducing the sub-item, the representative of the Secretariat said that documents UNEP/CHW.14/17 and UNEP/POPS/COP.9/17 set out information on the regional centres of the Basel and Stockholm conventions. Further information pertaining to the activities of the centres was

set out in document UNEP/CHW.14/INF/29–UNEP/POPS/COP.9/INF/28 and its addendum, and a draft performance evaluation of all the regional centres of the Basel and Stockholm conventions was contained in document UNEP/CHW.14/INF/28/Rev.1–UNEP/POPS/COP.9/INF/27/Rev.1.

168. A number of representatives, including one speaking on behalf of a group of countries, stressed the important role of the regional centres of the Basel and Stockholm conventions in providing developing countries and those with economies in transition with technical assistance and capacity-building. Some representatives also referred to the role of regional centres in facilitating information exchange. Several representatives expressed their commitment to supporting the work of the regional centres they hosted in their own countries. The representative of Panama thanked the countries of Latin America and the Caribbean for supporting their offer to host the regional centre for the Central America and Mexico region. A number of representatives said that greater efforts should be made to ensure that regional centres were provided with the necessary financial and technical support to enable them to fulfil their mandates.

169. One representative, speaking on behalf of a group of countries, noted that some centres had not addressed their own work plans as expected, and encouraged them, as well as the host Parties and other Parties in the region, to address the existing shortcomings. A number of representatives pointed out that one centre had recently been unable to provide sufficient support to Parties and needed to be strengthened. One representative requested that regional and subregional centres consider the management of newly added persistent organic pollutants, particularly those in products and articles, when developing their business plans to support Parties in meeting their obligations under the Stockholm Convention.

170. Several representatives highlighted the valuable role that regional centres could play in helping countries to address the growing threat of plastic waste, marine plastic litter and microplastics, with particular merit being attached to the work of the Stockholm Convention regional centre in Barcelona, Spain, in promoting dialogue on the matter. Some representatives said that while there was a strong current focus on marine litter, due attention needed to be given to regulating the land-based sources of plastic waste and microplastics.

3. Implementation of decision V/32

171. Introducing the sub-item, the representative of the Secretariat said that information on the status of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention was contained in document UNEP/CHW.14/INF/56, while information on the implementation of technical assistance activities was provided in document UNEP/CHW.14/INF/25/Rev.1–UNEP/FAO/RC/COP.9/INF/24/Rev.1–UNEP/POPS/COP.9/INF/25/Rev.1. In addition, information on cooperation with the Joint United Nations Environment Programme/Office for the Coordination of Humanitarian Affairs Environment Unit was provided in document UNEP/CHW.14/INF/36–UNEP/FAO/RC/COP.9/INF/29–UNEP/POPS/COP.9/INF/38.

172. The Conference of the Parties to the Basel Convention took note of the information provided.

4. Establishment of a contact group

173. Following the discussions under the item, the conferences of the Parties established a joint contact group on technical assistance and financial resources, co-chaired by Mr. Reginald Hernaus (the Netherlands) and Mr. David Kapindula (Zambia). The group was mandated to prepare for the consideration of the conferences of the Parties draft decisions on technical assistance using the draft decision in document UNEP/CHW.14/16–UNEP/FAO/RC/COP.9/15–UNEP/POPS/COP.9/16 as a starting point, taking into account discussions in plenary; and on the Basel and Stockholm convention regional centres using the draft decisions in documents UNEP/CHW.14/17 (with the exception of paragraph 9) and UNEP/POPS/COP.9/17 as starting points and taking into account discussions in plenary. The draft decision for the agenda item would be in omnibus form, with section I on technical assistance (for the Basel, Rotterdam and Stockholm conventions) and section II on regional centres (for the Basel and Stockholm conventions).

5. Adoption of decision

174. Subsequently, the Conference of the Parties to the Basel Convention adopted a draft decision submitted by the joint contact group on technical assistance and financial resources. Decision BC-14/18, on technical assistance, section I of which relates to technical assistance and section II of which relates to Basel Convention regional and coordinating centres, is set out in the annex to the present report.

175. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on technical assistance that were substantially identical to section I of the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/8 and SC-9/14 (section I), as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

176. At the time of the adoption of the decision, the representative of El Salvador thanked the Government of Panama for hosting the Basel Convention Regional Centre for the Central America subregion including Mexico, and pledged El Salvador's ongoing commitment to the implementation of future activities.

E. Basel Convention Partnership Programme

177. Introducing the sub-item, the President said that it would encompass a proposal to establish a new partnership as a follow-up to the Partnership for Action on Computing Equipment (PACE), and two other existing partnerships, the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE) and the Household Waste Partnership.

1. Follow-up partnership to PACE

178. Introducing the matter, the representative of the Secretariat drew attention to document UNEP/CHW.14/18, which contained information on the Basel Convention Partnership Programme and a related draft decision, and document UNEP/CHW.14/INF/30, which included a proposal for a new partnership as a follow-up to PACE as well as a report on activities on e-waste implemented by the Basel Convention regional and coordinating centres. She recalled that, in its decision BC-13/12, the Conference of the Parties had disbanded the working group of PACE and invited interested Basel Convention regional and coordinating centres to take the lead in the implementation of activities set out in a concept note on a follow-up partnership to PACE and, based on the work undertaken, to propose further development of the concept for a follow-up partnership to PACE at the regional or international level. In 2018, in its decision OEWG-11/13, the Open-Ended Working Group of the Basel Convention had welcomed the establishment of an interim group on a follow-up partnership to PACE, chaired by the directors of the regional centres in Argentina, Senegal, Slovakia and South Africa, which was to develop a concept note, terms of reference and a programme of work for a follow-up partnership to PACE. She drew attention to those elements, which were set out in annexes I to III of document UNEP/CHW.14/INF/30.

179. At the invitation of the President, Ms. Leila Devia, director of the Basel Convention Regional Centre for Training and Technology Transfer for the South American Region (BCRC-Argentina) and one of the former PACE co-chairs, presented the proposal for a follow-up partnership to PACE developed by the interim group and highlighted the activities described in annex V of document UNEP/CHW.14/INF/30. She said that the proposal for a follow-up partnership stemmed from the need to give continued attention to the challenge of e-waste. The new partnership would focus on concrete, on-the-ground activities led by the Basel Convention regional centres and would build on strategic cooperation with former PACE stakeholders and United Nations entities working on e-waste, such as the International Telecommunication Union and ILO.

180. In the ensuing discussion, representatives expressed appreciation to the Secretariat, the interim group and the Basel Convention regional and coordinating centres for the documents presented, the work conducted on e-waste and the proposed follow-up partnership to PACE, stressing the urgency of tackling the global e-waste challenge, which posed serious risks to human health and the environment.

181. The representative of El Salvador introduced a conference room paper, co-sponsored by Argentina, Costa Rica, Côte d'Ivoire, Ecuador, El Salvador, Mali, Panama and Senegal, setting out a draft decision according to which the follow-up partnership to PACE would be established in order to continue to support environmentally sound e-waste management activities at the national, regional and international levels, taking into account the life cycle of electrical and electronic products and the need to build on the progress achieved. Bearing in mind that e-waste generation continued to grow regionally and globally, the new partnership would strengthen awareness-raising and capacity-building to disseminate best practices set out in the guidelines already developed under the Convention, strengthening cooperation with all relevant stakeholders.

182. A number of representatives, each speaking on behalf of a group of countries, expressed support for the establishment of the proposed new partnership. One representative said that the outputs

prepared by the interim group (UNEP/CHW.14/INF/30) represented a solid foundation for the establishment of the partnership.

183. One representative, speaking on behalf of a group of countries, said that he had a number of questions on the proposed new partnership and suggested that the issue be discussed further in a contact group.

184. Several representatives expressed support for the draft decision contained in the conference room paper presented by El Salvador. One representative said that PACE had been very successful in developing and disseminating guidelines for environmentally sound management of end-of-life computing equipment, but it was clear that further work was needed to support their implementation at the local level. Another said that a sustainable funding mechanism was needed to support the partnership, as reflected in the conference room paper.

185. A number of representatives described efforts being undertaken by their countries and regions to address the e-waste challenge, including through regional projects supported by the Basel Convention regional centres. Many representatives, including one speaking on behalf of a group of countries, emphasized the role of the Basel Convention regional and coordinating centres in helping countries to tackle the e-waste challenge through technical assistance, capacity-building and information exchange and suggested that, with the right support, the work of the centres under a new partnership would greatly enhance the Convention's chances of success in the area of e-waste.

186. Following the discussion, the Conference of the Parties agreed that the contact group on strategic matters should prepare a draft decision on the new partnership, based on section I of the draft decision in paragraph 22 of document UNEP/CHW.14/18 and the recommendations set out in annex IV to document UNEP/CHW.14/INF/30, and taking into account the conference room paper submitted by El Salvador and the discussion in plenary. The decision text would be section I of an omnibus decision on the Basel Convention Partnership Programme.

187. Subsequently, the Conference of the Parties adopted a draft decision prepared by the contact group on strategic matters.

188. Section I of decision BC-14/19 on the Basel Convention Partnership Programme, entitled "Follow-up partnership to the Partnership for Action on Computing Equipment", as adopted by the Conference of the Parties, is set out in the annex to the present report.

2. Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic

189. Introducing the matter the representative of the Secretariat drew attention to document UNEP/CHW.14/INF/31, which provided a progress report by the chair of the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE). She recalled that, in its decision BC-13/13, the Conference of the Parties had elected the members of ENFORCE and encouraged them to continue collaborating by exchanging experiences, providing relevant information and undertaking capacity-building activities to prevent and combat illegal traffic of hazardous wastes and other wastes. Section II of the proposed draft decision set out in paragraph 22 of document UNEP/CHW.14/18 related to ENFORCE.

190. Ms. Irma Gurguliani, chair of ENFORCE, outlined the information in document UNEP/CHW.14/INF/31, noting that, thanks to a generous contribution from Norway, the third face-to-face meeting of ENFORCE had been held in Geneva on 15 and 16 May 2018. At that meeting, members had, among other things, discussed the latest trends in illegal traffic of hazardous wastes, identified opportunities for cooperation and agreed to revise a road map of activities to be undertaken by the members and observers of ENFORCE with a view to making the network more specific and action oriented. The report of the third meeting, including the revised road map, was available on the ENFORCE section of the Basel Convention website. Informal consultations had also been held on 3 September 2018, during the eleventh meeting of the Open-ended Working Group of the Basel Convention.

191. In the ensuing discussion, all those who spoke expressed appreciation to the Secretariat and ENFORCE for the information presented and the work conducted in the area of illegal traffic.

192. One representative, speaking on behalf of a group of countries, expressed support for the text set out in section II of the draft decision set out in document UNEP/CHW.14/18.

193. Another representative, also speaking on behalf of a group of countries, said that ENFORCE needed to be complemented by other initiatives aimed at improving the implementation of the Convention, such as the cooperation between the Secretariat and the World Customs Organization on

the Harmonized Commodity Description and Coding System, and should seek to ensure better monitoring of wastes.

194. One representative drew attention to the important work of the Basel Convention regional and coordinating centres in the area of illegal traffic, including the training of customs and revenue officials in environmental crime detection, as well as to support provided by ENFORCE to her country in amending its legislation.

195. Following the discussion, the Conference of the Parties adopted section II of the draft decision set out in paragraph 22 of document UNEP/CHW.14/18, on the understanding that the names of the members of ENFORCE would be included in the draft decision prior to the end of the meeting. The decision text would be section II of an omnibus decision on the Basel Convention partnership programme.

196. Section II of decision BC-14/19 on the Basel Convention Partnership Programme, entitled “Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic”, as adopted by the Conference of the Parties, is set out in the annex to the present report.

3. Household Waste Partnership

197. Introducing the matter, the representative of the Secretariat drew attention to document UNEP/CHW.14/INF/32, which contained a revised draft overall guidance document on the environmentally sound management of household waste, recalling that, in its decision BC-13/14, the Conference of the Parties had adopted the terms of reference for the Household Waste Partnership (UNEP/CHW.13/INF/33/Rev.1, annex II) and decided to establish a working group of the partnership to oversee organizational matters pertaining to the implementation of the partnership’s activities.

198. Ms. Gabriela Medina, Basel Convention Coordinating Centre for Training and Technology Transfer for Latin America and the Caribbean Region, in Uruguay, and co-chair of the Household Waste Partnership working group, outlined the progress achieved by the group, noting that, thanks to generous financial contributions from Norway and Switzerland, the Secretariat had managed to hire consultants to facilitate the drafting of modules. Thereafter, the group had held its first face-to-face meeting in Mauritius in May 2018 and identified priority modules to be drafted by the working group. Accordingly, modules had been prepared and were contained in the draft overall guidance document (UNEP/CHW.14/INF/32), which had also been presented to the Open-ended Working Group at its eleventh meeting in document UNEP/CHW/OEWG.11/INF/33. In its decision OEWG-11/13, the Group had invited Parties and observers to provide comments on the document and had requested the Household Waste Partnership working group to consider revising the document taking into account the comments received, for consideration at the current meeting.

199. In the ensuing discussion, one representative, speaking on behalf of a group of countries, thanked the Household Waste Partnership working group for the draft overall guidance document and proposed that, prior to the submission of further comments by Parties and observers, the working group be requested to prepare a complete draft taking into account the comments received prior to current meeting, the discussion in plenary at the current meeting, and existing guidance under the Basel Convention. He further proposed a number of changes to the draft decision, including a new paragraph to request the working group to take into consideration the existing guidance within the framework of the Basel Convention when further developing its work.

200. Following the discussion, the Conference of the Parties adopted the draft decision set out in section III of paragraph 22 of document UNEP/CHW.14/18, as orally amended. The decision text would be section III of an omnibus decision on the Basel Convention partnership programme.

201. Subsequently, the representative of the European Union and its member States presented a conference room paper setting out a number of amendments aimed at the incorporation of non-substantive improvements into the text contained in section III of the decision, concerning the Household Waste Partnership, and the annex thereto, setting out the Household Waste Partnership workplan for the biennium 2020–2021. Some representatives, however, expressed concern over re-opening the decision. Informal consultations were therefore held with those representatives, whose concern was dissipated as a result.

202. The Conference of the Parties therefore adopted the proposed amendments for incorporation into section III of the decision on the Household Waste Partnership and the annex thereto on the Household Waste Partnership workplan for the biennium 2020–2021.

203. Section III of decision BC-14/19 on the Basel Convention Partnership Programme, entitled “Household Waste Partnership”, as adopted by the Conference of the Parties, is set out in the annex to the present report.

4. Further developing partnerships

204. The discussion summarized in the present subsection took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 205 to 209 below are replicated in section X C of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in section X C of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

205. The President, introducing the item, recalled that the programme of work of the Basel Convention envisioned two types of partnerships in support of promoting the objectives of the Convention: global partnerships established by the Conference of the Parties, such as the Household Waste Partnership and the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), for which the Secretariat had a facilitating role and provided expertise; and partnerships established or intended to be established by the Secretariat with non-State stakeholders to implement activities of its work programme, with an added potential to increase the reach and visibility of the Convention. Those types of partnerships could be of common interest to the three conventions.

206. Continuing the introduction, the representative of the Secretariat drew attention to document UNEP/CHW.14/18, concerning the Basel Convention Partnership Programme and containing a draft decision on proposed actions that could be considered by the conferences of the Parties to all three conventions in the light of the recommendations on opportunities to further develop partnerships under the Basel Convention set out in document UNEP/CHW.14/INF/33, which additionally contained a report on evaluating past and ongoing partnerships. The report had been prepared thanks to a generous financial contribution from the Government of Switzerland and circulated to Parties and observers for comment. It had then been revised to take into account comments received.

207. In the ensuing discussion, a number of representatives expressed support for partnership initiatives as an innovative means of promoting synergies, providing guidance and increasing collaboration with stakeholders on such issues as illegal trade. Joining another representative in highlighting the activities of regional centres on that and other issues, one representative expressed reservations concerning the recommendations on further developing partnerships and said that it would be preferable for a contact group to discuss the matter. Another, while noting the positive results achieved through partnerships under the Basel Convention in facilitating an inclusive work process, said that partnerships also carried the risk of creating competitiveness with respect to core activities. Another representative, speaking on behalf of a group of countries, said that a joint discussion of an issue concerning which there was no joint document should be approached with caution, but expressed a willingness nonetheless to engage with others in the margins of the meeting in order to gain understanding of the issue and determine if and how it might be brought forward for consideration by the Parties at future meetings.

208. One representative suggested that a partnership for action on lead-acid batteries should be established, for which other representatives voiced support, with one of them adding that action was needed on used batteries in general.

209. Following the discussion, the conferences of the Parties agreed to mandate the joint contact group on joint issues to prepare draft decisions based on the proposed action in section IV of the draft decision set out in document UNEP/CHW.14/18 and the recommendations set out in document UNEP/CHW.14/INF/33, taking into account the discussion in plenary.

210. Subsequently, the Conference of the Parties to the Basel Convention adopted a draft decision submitted by the joint contact group on joint issues.

211. Decision BC-14/28, on existing United Nations guidelines on the mobilization of resources from non-State actors, as adopted by the Conference of the Parties, is set out in the annex to the present report.

212. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on existing United Nations guidelines on the mobilization of resources from non-State actors that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/16 and SC-9/26, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

F. Financial resources

Integrated approach and the Special Programme²

213. The discussion summarized in the present sub-section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 214 to 220 below are replicated in section V F of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section V G of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

214. Introducing the sub-item, the representative of the Secretariat said that, in accordance with decisions BC-12/18, RC-7/8 and SC-7/22 on the implementation of the integrated approach to financing sound management of chemicals and waste, the Secretariat had continued to take the integrated approach as a reference in its mandated activities and its support for the Parties to the three conventions. It had also continued to participate in the internal task team of the Special Programme and had attended as an observer all the meetings of the Programme's Executive Board. A report on the implementation of the above-mentioned decisions was contained in document UNEP/CHW.14/INF/34–UNEP/FAO/RC/COP.9/INF/27–UNEP/POPS/COP.9/INF/33.

215. The representative of UNEP reported on the activities of the Special Programme, outlining the information set out in document UNEP/CHW.14/INF/35–UNEP/FAO/RC/COP.9/INF/28–UNEP/POPS/COP.9/INF/34.

216. In the ensuing discussion, numerous representatives, including a number speaking on behalf of groups of countries, and many from countries benefiting from Special Programme projects, praised the work of the Special Programme and the efforts to mobilize resources for promoting implementation of the conventions.

217. A number of representatives emphasized the importance of continuing the integrated approach, including several speaking on behalf of groups of countries, one of whom also underscored the need to advance further in mainstreaming in national budgets, development plans and sector policies and in fostering the involvement of industry and the private sector throughout the value chain by way of, inter alia, clear legislative and regulatory frameworks that took into account extended producer responsibility and the polluter pays principle. Concerning dedicated external finance, the provision of assistance through multilateral, bilateral and regional mechanisms had achieved welcome progress and should be continued.

218. In supporting those views, other representatives, including one speaking on behalf of a group of countries, agreed that sustainable, predictable, adequate and accessible long-term funding was crucial, together with technical assistance, to the sound management of chemicals and waste. One representative endorsed the position of another that such funding must furthermore be allocated on an equitable, non-discriminatory and non-political basis. Others said that industry should be more actively involved in project financing and one said that the allocation of funding should be subject to monitoring to ensure that it was meaningful and would achieve the intended objectives.

219. One representative suggested that some aspects of the Programme's project application guidelines should be reviewed in order to prevent the rejection of applications for administrative reasons alone. Another requested further capacity-building assistance that would promote successful project applications, with yet another agreeing that the application process was too complex and should be simplified.

220. The Conference of the Parties took note of the information provided.

G. Work programme of the Open-ended Working Group for the period 2020–2021

221. The representative of the Secretariat introduced document UNEP/CHW.14/19, which contained the draft work programme of the Open-ended Working Group for the biennium 2020–2021 in an annex to a draft decision on the matter. The draft work programme had been prepared based on the decisions adopted by the Open-ended Working Group at its eleventh meeting and would have to be

² The sub-item was taken up during a joint session of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions. The discussion on the Global Environment Facility relevant to the Stockholm Convention under this sub-item is contained in section V G 1 of the report of the ninth meeting of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.9/30).

further revised during the current meeting to take into account the decisions adopted during the meeting.

222. She noted that the twelfth meeting of the Open-ended Working Group was scheduled to be held at the International Conference Centre Geneva over a four-day period during the week commencing 22 June 2020.

223. In the ensuing discussion, one representative, speaking on behalf of a group of countries, said that the work programme should take into account the decisions adopted by the Conference of the Parties, particularly with respect to waste electrical and electronic equipment. In addition, the work programme should allow for consideration of the strategic framework and activities to improve legal clarity, as well as taking into account emerging issues such as waste containing nanomaterials, plastic wastes and marine plastic litter. Another representative echoed the call for the Open-ended Working Group to consider waste containing nanomaterials at its future meetings.

224. One representative, speaking on behalf of a group of countries, said that the work programme might have to reflect the discussion, as well as the decisions adopted by the Conference of the Parties, at the current meeting.

225. The Conference of the Parties requested the Secretariat to prepare for its consideration a revised version of the draft work programme set out in document UNEP/CHW.14/19, taking into account the discussion in plenary and any further developments during the current meeting.

226. The Conference of the Parties elected the following representatives as members of the Bureau of the Open-ended Working Group for the biennium 2020–2021:

Co-Chairs: Ms. Stina Andersson (Sweden) (Technical)

Ms. Gillian Guthrie (Jamaica) (Legal)

Vice-Chairs: Mr. Zaigham Abbas (Pakistan) (Technical)

Ms. Kristine Vardanashvili (Georgia) (Legal)

Rapporteur: Ms Hlobisile Sikhosana (Eswatini)

227. Subsequently, the representative of the Secretariat introduced a revised draft decision, set out in a conference room paper, on the work programme of the Open-ended Working Group for the biennium 2020–2021, prepared by the Secretariat taking into account the discussion in plenary and containing text in brackets pending the outcome of a number of decisions to be considered at the current meeting.

228. The Conference of the Parties adopted the revised draft decision prepared by the Secretariat, on the understanding that the Secretariat would finalize it and ensure that all the relevant activities set out in the decisions adopted at the current meeting would be reflected therein.

229. Decision BC-14/20, on the work programme of the Open-ended Working Group for the biennium 2020–2021, as adopted by the Conference of the Parties, is set out in the annex to the present report.

V. Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions (agenda item 5)

230. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. The present section V is substantially identical to section VI of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section VI of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

A. International cooperation and coordination

231. The representative of the Secretariat introduced document UNEP/CHW.14/20–UNEP/FAO/RC/COP.9/16–UNEP/POPS/COP.9/23, which described international cooperation and coordination activities undertaken by the Secretariat in response to decisions BC-13/16, RC-8/10 and SC-8/20 and included a draft decision on the matter. She also drew attention to a number of related information documents.

232. In the ensuing discussion, representatives thanked the Secretariat and the other international organizations for the reports and for their efforts to enhance international cooperation and coordination, which were crucial for achieving sound chemicals and waste management and the objectives of the three conventions, and for avoiding duplication of effort and using resources efficiently.
233. The representative of the European Union and its member States introduced a conference room paper on cooperation between the joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the secretariat of the Minamata Convention. Another representative expressed support for the conference room paper and lamented the fact that the operative proposal by the Executive Director of UNEP for a stable framework for sharing of relevant secretariat services, requested by decision MC-2/7, on cooperation between the secretariat of the Minamata Convention and the Secretariat of the Basel, Rotterdam and Stockholm Conventions, adopted by the Conference of the Parties to the Minamata Convention at its second meeting, had not yet been finalized and had therefore not been presented for consideration at the current meetings.
234. Several representatives expressed support for the invitation, set out in the draft decision, to the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) to consider inviting the Basel, Rotterdam and Stockholm conventions to become participating organizations of IOMC.
235. A number of representatives suggested that international cooperation should prioritize capacity-building, technical assistance and financial support to help developing-country Parties to implement the three conventions, with one emphasizing that such cooperation should adhere to the principles of non-politicization, non-discrimination and impartiality, and should include closer collaboration with the United Nations Development Programme. Another said that efforts should be made to broaden cooperation with regional organizations to enhance the political visibility of, and support for, the sound management of chemicals and waste.
236. One representative drew attention to the work being carried out by the intersessional process considering the Strategic Approach and the sound management of chemicals and waste beyond 2020, which had identified the need to achieve greater coherence, communication and coordination between the international organizations working on chemicals and waste issues. He called on the Secretariat, Parties and observers to promote synergies at the national level in order to achieve results at the international level.
237. One representative, speaking on behalf of a group of countries, urged UNEP and the World Health Organization to work closely together in the framework of the partnership on alternatives to DDT in order to help African countries to combat malaria while protecting the environment.
238. Several representatives, including one speaking on behalf of a group of countries, drew attention to some of the findings and conclusions of the second edition of the Global Chemicals Outlook report, including that the 2020 goal of the Strategic Approach would not be met and that the global chemicals industry had almost doubled in size in the period 2000–2017. One representative called for discussions on that issue, while another, speaking on behalf of a group of countries, called on the Parties to join other bodies in urging Governments and all relevant stakeholders to intensify and prioritize efforts to achieve the 2020 goal.
239. One representative, speaking on behalf of a group of countries, requested that at future meetings of the conferences of the Parties the issue of international cooperation and coordination be included as a stand-alone agenda item given that it went beyond enhancing cooperation and coordination between the three conventions.
240. The representative of the secretariat of the Minamata Convention outlined the information presented in document UNEP/CHW.14/INF/38–UNEP/FAO/RC/COP.9/INF/31–UNEP/POPS/COP.9/INF/40, noting that the secretariat of the Minamata Convention cooperated closely with the Secretariat of the Basel, Rotterdam and Stockholm Conventions on a number of programmatic and technical issues. She said that the two secretariats were working with UNEP on the operative proposal for a stable framework for the sharing of relevant secretariat services, which would be submitted for consideration by the Conference of the Parties to the Minamata Convention at its third meeting.
241. The representative of UNEP outlined the information provided in document UNEP/CHW.14/INF/37–UNEP/FAO/RC/COP.9/INF/30–UNEP/POPS/COP.9/INF/39, stressing that the United Nations Environment Assembly attached great importance to the issue of sound chemicals and waste management and had adopted numerous resolutions directly and indirectly related to that issue.

242. The representative of the secretariat of the Strategic Approach to International Chemicals Management outlined the information presented in document UNEP/CHW.14/INF/54–UNEP/FAO/RC/COP.9/INF/44–UNEP/POPS/COP.9/INF/57, noting that the secretariat of the Strategic Approach cooperated actively across the chemicals and waste cluster. He invited the Parties to engage in the Strategic Approach intersessional process to elaborate the future arrangements for the Strategic Approach and the sound management of chemicals and waste beyond 2020.

243. The representative of WHO, speaking on behalf of IOMC, said that the Programme looked forward to further strengthening its collaboration with the Basel, Rotterdam and Stockholm conventions. He explained the process for becoming a participating organization of IOMC and said that the Inter-Organization Coordinating Committee of IOMC had discussed the issue at its fifty-first meeting, held in April 2019, and was working to ensure it was ready to process such a request, should it be made.

244. The United Nations Special Rapporteur on the implications for human rights of the environmentally sound management and disposal of hazardous substances and wastes drew attention to the links between hazardous substances and wastes throughout their life cycles and human rights and urged the Parties to strengthen the ability of the Basel, Rotterdam and Stockholm conventions to protect human beings, in particular children, from chemical pollution. He drew attention to a new General Comment on the right to life of the United Nations Human Rights Committee, which clarified that everyone was entitled to freedom from acts or omissions that might cause premature death, and placed on all States parties to the International Covenant on Civil and Political Rights a duty to protect the human right to a life free from pollution.

245. Following the discussion, the conferences of the Parties established a joint contact group on joint issues, co-chaired by Ms. Elizabeth Kay Williams (United Kingdom of Great Britain and Northern Ireland) and Ms. Angela Rivera (Colombia), to prepare a revised draft decision on international cooperation and coordination, based on document UNEP/CHW.14/20–UNEP/FAO/RC/COP.9/16–UNEP/POPS/COP.9/23, taking into account the discussion in plenary.

246. Subsequently, the Conference of the Parties to the Basel Convention adopted a revised version of the draft decision prepared by the joint contact group on joint issues.

247. Decision BC-14/21, on international cooperation and coordination, as adopted by the Conference of the Parties, is set out in the annex to the present report.

248. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on international cooperation and coordination that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/9 and SC-9/19, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

249. The Conference of the Parties further agreed to adopt the draft decision set out in the conference room paper submitted by the European Union and its member States. Decision BC-14/22, on cooperation between the joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the secretariat of the Minamata Convention, as adopted by the Conference of the Parties, is set out in the annex to the present report.

250. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on cooperation between the joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the secretariat of the Minamata Convention that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/10 and SC-9/20, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

251. Subsequently, the representative of Burkina Faso introduced a conference room paper, initially submitted by the Congo, on the establishment of a strong organic and programmatic collaboration between the secretariat of the Bamako Convention on the Ban of the Import into Africa and the Control of Transboundary Movement and Management of Hazardous Wastes within Africa and the Secretariat of the Basel, Rotterdam and Stockholm Conventions.

252. In the ensuing discussion, many representatives, from the African region in particular, expressed strong support for the establishment of such collaboration, saying that it would promote synergies among the four conventions and foster the achievement of their common objectives. Some representatives, however, including one speaking on behalf of a group of countries, expressed the view that some elements of the proposal, among them its budgetary implications, required further consideration. One representative, speaking on behalf of a group of countries, and emphasizing that the Conference of the Parties at its present meeting must send a clear message concerning the illegal traffic and trade in hazardous chemicals and wastes affecting the African region, said that his group stood ready to engage in informal consultations with the aim of resolving the concerns of any Party in respect of the proposal. The Conference of the Parties agreed to resume its consideration of the proposal following the conclusion of informal consultations on the matter.

253. Subsequently, the representative of Burkina Faso submitted a revised version of the conference room paper, noting that the informal consultations had not led to consensus on the text.

254. All the representatives who had taken part in the informal consultations said that they had been constructive and informative and had served to improve their understanding of the Bamako Convention. One representative, speaking on behalf of a group of countries, highlighted that cooperation and coordination with all relevant international and regional bodies and organizations dealing with the sound management of chemicals and waste was already included in the mandate of the Secretariat and that a capacity-building project which was already under way under the Basel and Rotterdam conventions would serve to enhance cooperation and coordination with the secretariat of the Bamako Convention. Another representative expressed her support for the further strengthening of cooperation and coordination with that secretariat. Yet another said that, although he was unable to support the relevant conference room paper, it was not his intention to undermine the work of the Bamako Convention and he would willingly engage in further discussions on the matter in the future.

255. Given the lack of agreement on adopting the decision set out in the conference paper, the conferences of the Parties agreed to conclude their consideration of the matter.

B. Clearing house mechanism for information exchange

256. Introducing the sub-item, the representative of the Secretariat recalled that, at their meetings in 2017, the conferences of the Parties had welcomed the proposed joint clearing house mechanism strategy and a draft workplan for the implementation of the mechanism for the biennium 2018–2019. The progress made by the Secretariat in that respect was outlined in document UNEP/CHW.14/21–UNEP/FAO/RC/COP.9/17–UNEP/POPS/COP.9/24. New activities for the provision of access to thematic information had been made possible thanks to generous financial support provided by the European Union and Norway. The Secretariat had also prepared a workplan for the mechanism for the biennium 2020–2021 (UNEP/CHW.14/INF/39–UNEP/FAO/RC/COP.9/INF/32–UNEP/POPS/COP.9/INF/41).

257. One representative, speaking on behalf of a group of countries, although supportive of the clearing house mechanism, highlighted the need to find the right balance between the resources devoted to it, the level of ambition for the mechanism and the scope of the activities envisaged for its implementation. She said that the decisions adopted by the conferences of the Parties at their 2017 meetings remained valid and, as such, any subsequent decision should refer only to new elements. She stressed the importance of proceeding to implementation of the strategy in a gradual and cost-effective manner.

258. Subsequently the conferences of the Parties adopted the draft decision contained in document UNEP/CHW.14/21–UNEP/FAO/RC/COP.9/17–UNEP/POPS/COP.9/24. Following the discussions of the contact group on budget matters, the Conference of the Parties agreed to amend the draft decision to specify the activities to be funded through core resources and those to be funded through voluntary contributions.

259. Decision BC-14/23, on the clearing house mechanism for information exchange, as adopted by the Conference of the Parties, is set out in the annex to the present report.

260. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on the clearing house mechanism for information exchange that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/11 and SC-9/21, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

C. Mainstreaming gender

261. Introducing the sub-item, the representative of the Secretariat said that, as requested in decisions BC-13/20, RC-8/13 and SC-8/23, on gender mainstreaming, the Secretariat had continued its efforts to implement the Gender Action Plan of the Secretariat of the Basel, Rotterdam and Stockholm Conventions and to mainstream gender in its activities, projects and programmes. Document UNEP/CHW.14/22–UNEP/FAO/RC/COP.9/18–UNEP/POPS/COP.9/25 set out information concerning those efforts, which encompassed further activities made possible thanks to a generous financial contribution from the Government of Sweden. Documents UNEP/CHW.14/INF/55–UNEP/FAO/RC/COP.9/INF/45–UNEP/POPS/COP.9/INF/58 also provided additional details on gender-related activities implemented by the Secretariat and included the Gender Action Plan, which had been updated to incorporate indicators for monitoring progress.

262. In the ensuing discussion, many representatives underscored the importance of gender mainstreaming in the work of the conventions, expressing strong support for the continuation of the Secretariat's gender-related activities and welcoming the updated Gender Action Plan. One representative, speaking on behalf of a group of countries, encouraged all Parties and other stakeholders to participate and engage in mainstreaming gender in the implementation of the conventions, noting that gender equality at all levels would spur progress towards the attainment of the Sustainable Development Goals. Others stressed the importance of empowering women and girls as decision makers and agents of change.

263. Numerous representatives highlighted the disproportionate impact of hazardous chemicals and wastes on vulnerable groups, in particular women and children, with one emphasizing the need to focus also on persons with disabilities. Another said that the consideration of that impact in the development of business initiatives would enable countries to improve their ranking in the vulnerability index. One representative suggested that national and regional case studies should be conducted in order to identify the different impacts of hazardous chemicals and waste both on women and on men.

264. A representative speaking on behalf of a group of countries highlighted entrenched cultural norms as a barrier to gender equality in his region, where technical assistance for gender mainstreaming at the national level was therefore essential in connection with activities relating to the implementation of the conventions. Another representative likewise mentioned his country's need for such assistance to ensure that gender issues were taken into account in the management of hazardous chemicals and waste, while others commented on the usefulness of capacity-building assistance already received. Some representatives also shared information concerning gender-related activities, policies and programmes in their own countries.

265. Following the discussion, the conferences of the Parties took note of the updated Gender Action Plan and requested the Secretariat to report on its implementation to the conferences of the Parties at their meetings in 2021.

D. Synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes

266. Introducing the sub-item, the representative of the Secretariat drew attention to a note by the Secretariat on synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes (including a draft decision) (UNEP/CHW.14/23–UNEP/FAO/RC/COP.9/19–UNEP/POPS/COP.9/26). In addition, information collected from Parties and stakeholders on synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes was set out in document UNEP/CHW.14/INF/42–UNEP/FAO/RC/COP.9/INF/33–UNEP/POPS/COP.9/INF/42, and a report on further areas in which legal clarity could be improved as a means of preventing and combating illegal traffic and trade in hazardous chemicals and wastes was set out in document UNEP/CHW.14/INF/41–UNEP/FAO/RC/COP.9/INF/34–UNEP/POPS/COP.9/INF/43.

267. Many representatives expressed appreciation for the efforts of the Secretariat to promote synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes. The importance of a cooperative, collaborative approach was underscored, both between the Basel, Rotterdam and Stockholm conventions, and with other relevant bodies such as the Montreal Protocol on Substances that Deplete the Ozone Layer. One representative said that the diverse nature of illegal traffic and trade required the involvement of a wide variety of partners. Another, speaking on behalf of a group of countries, said that it was important to ensure that the work was cost-effective, building on previous decisions and work under each of the conventions, and complementing rather than repeating existing mandates.

268. A number of representatives, including one speaking on behalf of a group of countries, spoke of the need to build the capacity of developing countries and those with economies in transition to combat illegal traffic and trade, including through financial assistance, technology transfer and technical support, and training and capacity-building of customs officers. Some representatives highlighted the role of the Basel Convention and Stockholm Convention regional centres in harmonizing action at the regional and subregional levels, promoting regulatory measures, and building capacity in identifying hazardous materials.

269. A representative of a developing country, supported by others, said that significant quantities of plastic waste had been illegally shipped in containers to his country from certain developed countries, and he called on those countries to fulfil their international environmental commitments.

270. The conferences of the Parties agreed to refer further discussion of the matter to the joint contact group on joint issues, with a mandate that the group prepare a revised draft decision based on the proposed action set out in document UNEP/CHW.14/23–UNEP/FAO/RC/COP.9/19–UNEP/POPS/COP.9/26, taking into account the discussion in plenary.

271. Subsequently, the Conference of the Parties to the Basel Convention adopted a revised version of the draft decision prepared by the joint contact group on joint issues.

272. Decision BC-14/24, on synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes, as adopted by the Conference of the Parties, is set out in the annex to the present report.

273. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/12 and SC-9/22, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

E. From science to action

274. The representative of the Secretariat introduced document UNEP/CHW.14/24–UNEP/FAO/RC/COP.9/20–UNEP/POPS/COP.9/27, which presented background information on the preparation and revision of a road map for further engaging Parties and other stakeholders in an informed dialogue for enhanced science-based action in the implementation of the conventions, as well as a draft decision on the matter. The revised road map was set out in document UNEP/CHW.14/INF/40–UNEP/FAO/RC/COP.9/INF/35–UNEP/POPS/COP.9/INF/44.

275. Following the presentation, several representatives, including a number speaking on behalf of groups of countries, expressed support for the revised version of the draft road map and for its implementation as called for in the draft decision. A number of representatives underscored the need for continued cooperation and coordination between UNEP, the Basel, Rotterdam and Stockholm conventions and other relevant bodies to strengthen the science-policy interface, and others, including one speaking on behalf of a group of countries, highlighted the importance of capacity-building and training activities to support Parties in taking science-based action to implement the conventions. One called for improved relations with the scientific community and academia at the national, regional and international levels to support decision-making, particularly within the framework of the chemicals conventions.

276. One representative, speaking on behalf of a group of countries, while generally supporting the draft decision, suggested several changes to the text. Another, also speaking on behalf of a group of countries, asked for time to consult on those changes.

277. The conferences of the Parties agreed to refer the matter to the joint contact group on joint issues to establish the final wording of the proposed changes to the text of the draft decision.

278. Subsequently, the President drew attention to a revised draft decision prepared by the contact group on joint issues. One representative proposed an additional paragraph to be included in the draft decision. The Conference of the Parties to the Basel Convention adopted the revised draft decision, as orally amended.

279. Decision BC-14/25, entitled “From science to action”, as adopted by the Conference of the Parties, is set out in the annex to the present report.

280. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions entitled “From science to action” that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/13 and SC-9/23, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

VI. Programme of work and budget (agenda item 6)

281. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 282 to 288 below are replicated in section VII of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section VII of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

282. Introducing the item, the Executive Secretary of the Basel, Rotterdam and Stockholm conventions drew attention to voluntary contributions, which were on an increasing trend and had risen substantially during the biennium 2018–2019, as more fully described in document UNEP/CHW.14/INF/46–UNEP/FAO/RC/COP.9/INF/39–UNEP/POPS/COP.9/INF/48 on contributions to the technical cooperation and voluntary special trust funds of the Basel, Rotterdam and Stockholm conventions. He also spoke about the success of measures taken to reduce arrears but indicated that more work needed to be done.

283. Continuing the introduction, the representative of the Secretariat presented an overview of the proposed programmes of work and budgets for the biennium 2020–2021, including the main budget proposal and draft decisions in document UNEP/CHW.14/25–UNEP/FAO/RC/COP.9/21–UNEP/POPS/COP.9/28, the budget tables reflecting the executive secretaries’ scenario and the zero nominal growth scenario in document UNEP/CHW.14/INF/43/Rev.1–UNEP/FAO/RC/COP.9/INF/36/Rev.1–UNEP/POPS/COP.9/INF/45/Rev.1, and the budget activities fact sheets with detailed information on programmes of work activities, set out in document UNEP/CHW.14/INF/44–UNEP/FAO/RC/COP.9/INF/37–UNEP/POPS/COP.9/INF/46.

284. A second representative of the Secretariat then drew attention to documents UNEP/CHW.14/INF/45/Rev.1, UNEP/FAO/RC/COP.9/INF/38/Rev.1 and UNEP/POPS/COP.9/INF/47/Rev.1, containing information on income and expenditures for the general and special voluntary Basel, Rotterdam and Stockholm trust funds for the bienniums 2016–2017 and 2018–2019, including details on voluntary contributions to the special and technical cooperation trust funds and on the FAO contribution to the Rotterdam Convention Secretariat.

285. In the ensuing discussion, all those who spoke expressed a desire to pursue the discussion in a contact group, with some citing issues about which they intended to seek clarification or additional information, including with respect to the services and support provided to the secretariat of the Minamata Convention. Several representatives expressed support for the executive secretaries’ scenario, but others said that they were not in a position to increase their financial contributions to the conventions and therefore preferred the zero nominal growth scenario. A number of representatives, speaking on behalf of groups of countries, while not expressing a preference for either scenario, recognized the link between the budget and implementation, with one voicing her desire to agree on a budget that was resource-efficient, well-targeted, balanced and affordable for all.

286. Several representatives, including one speaking on behalf of a group of countries, acknowledged the reduction achieved in arrears but noted that the level of arrears was still a concern, and one urged Parties to pay their assessed contributions as soon as possible.

287. The conferences of the Parties established a joint contact group on budget matters for the three conventions, co-chaired by Mr. Linroy Christian (Antigua and Barbuda) and Mr. Premysl Stepanek (Czechia). The contact group was asked to prepare for consideration and separate adoption by the conferences of the Parties draft programmes of work and budgets for the biennium 2020–2021 and related draft decisions, based on the draft texts set out in document UNEP/CHW.14/25–UNEP/FAO/RC/COP.9/21–UNEP/POPS/COP.9/28, taking into account the discussion in plenary.

288. The conferences of the Parties also agreed to discuss issues related to cooperation with the Minamata Convention under the item on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions.
289. Subsequently, the Conference of the Parties to the Basel Convention adopted a draft decision prepared by the contact group on budget matters.
290. Decision BC-14/29, on the programme of work and budget for the Basel Convention for the biennium 2020–2021, as adopted by the Conference of the Parties, is set out in the annex to the present report.
291. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on the programmes of work and budgets for those conventions for the biennium 2020–2021. Decisions RC-9/17 and SC-9/27, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

VII. Memorandum of understanding between the United Nations Environment Programme and the Conference of the Parties to the Basel Convention (agenda item 7)

292. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 293 to 296 below are replicated in section VIII of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section VIII of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).
293. The representative of the Secretariat introduced the documents relating to the item, which included draft decisions on the adoption of convention-specific memorandums of understanding between the Conference of the Parties and UNEP for the Basel Convention (UNEP/CHW.14/26/Rev.1) and the Stockholm Convention (UNEP/POPS/COP.9/29/Rev.1) and between the Conference of the Parties, UNEP and FAO for the Rotterdam Convention (UNEP/FAO/RC/COP.9/22/Rev.1).
294. Ms. Elizabeth Maruma Mrema, Director of the Law Division of UNEP, explained the basic principles underlying the draft memorandums of understanding and some of the proposed modalities. Ms. Eve Fontaine-Benedetti, Legal Officer, FAO, outlined the specific issues relating to the memorandum of understanding between UNEP, FAO and the Conference of the Parties to the Rotterdam Convention.
295. A number of representatives speaking on behalf of groups of countries expressed support for the adoption of the proposed decisions and the signature of the memorandums of understanding.
296. The conferences of the Parties to the Basel, Rotterdam and Stockholm conventions adopted decisions on draft memorandums of understanding with UNEP and, in the case of the Rotterdam Convention, also with FAO.
297. Decision BC-14/26, on the memorandum of understanding between UNEP and the Conference of the Parties to the Basel Convention, as adopted by the Conference of the Parties, is set out in the annex to the present report.
298. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on memorandums of understanding between UNEP, those conventions and, in the case of the Rotterdam Convention, also with FAO. Decisions RC-9/14 and SC-9/24, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

VIII. Venue and date of the fifteenth meeting of the Conference of the Parties (agenda item 8)

299. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 300 to 303 below are replicated in section IX of the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section IX of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

300. Introducing the item, the representative of the Secretariat recalled that the rules of procedure of the three conferences of the Parties provided for their meetings to take place at the seat of the Secretariat unless other appropriate arrangements were made. In addition, the conferences of the Parties had decided in 2017 not to include a high-level segment in their 2019 meetings and that such segments would occur only at every second set of meetings of the conferences of the Parties, meaning that the next high-level segment would take place during the 2021 meetings. He outlined the information in document UNEP/CHW.14/INF/57–UNEP/FAO/RC/COP.9/INF/46–UNEP/POPS/COP.9/INF/60 on the hosting of meetings of the conferences of the Parties outside the seat of the Secretariat. The information had been brought to the attention of Parties during the regional preparatory meetings, and the Secretariat had subsequently received an offer from the Government of Kenya to host the 2021 meetings at UNEP headquarters in Nairobi.

301. The representative of Kenya made a brief presentation on the offer made by the Government of Kenya, as set out in document UNEP/CHW.14/INF/57/Add.1–UNEP/FAO/RC/COP.9/INF/46/Add.1–UNEP/POPS/COP.9/INF/60/Add.1.

302. Following the presentation, several representatives welcomed the offer of the Government of Kenya. One representative, speaking on behalf of a group of countries, said that she looked forward to receiving the Secretariat's assessment of the costs involved and of the question of the use of United Nations venues for meetings before coming to a decision on the matter. She also called for any decision on the matter to include a clear invitation to Parties to submit offers to host future meetings of the conferences of the Parties that would increase the political and public visibility of the conventions and generate cost savings.

303. The conferences of the Parties agreed to request the Secretariat to prepare a draft decision in which they would accept the offer of the Government of Kenya to hold the meetings in Nairobi in 2021, subject to the conclusion of a host country agreement between the host Government and the Secretariat; decide that the meetings would be held back to back and include a high-level segment; request the Executive Secretary to organize regional preparatory meetings; and invite Parties to submit offers for hosting the meetings in 2023 by the end of March 2021 so that they could be considered by the conferences of the Parties at their meetings in 2021.

304. Subsequently, the Conference of the Parties to the Basel Convention adopted a draft decision prepared by the Secretariat.

305. Decision BC-14/27, on the dates and venue of the next meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions, as adopted by the Conference of the Parties, is set out in the annex to the present report.

306. In addition, the conferences of the Parties to the Rotterdam and Stockholm conventions adopted decisions on the dates and venue of the next meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions that were substantially identical to the decision adopted by the Conference of the Parties to the Basel Convention. Decisions RC-9/15 and SC-9/25, as adopted by the conferences of the Parties to the Rotterdam and Stockholm conventions, respectively, are set out in the annex to the report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23) and in the annex to the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30), respectively.

IX. Other matters (agenda item 9)

307. The discussion summarized in the present section took place during joint sessions of the fourteenth meeting of the Conference of the Parties to the Basel Convention, the ninth meeting of the Conference of the Parties to the Rotterdam Convention and the ninth meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 308 to 311 below are replicated in section X of the

report of the Conference of the Parties to the Rotterdam Convention on the work of its ninth meeting (UNEP/FAO/RC/COP.9/23), and section X of the report of the Conference of the Parties to the Stockholm Convention on the work of its ninth meeting (UNEP/POPS/COP.9/30).

A. Admission of observers

308. Introducing the sub-item, the representative of the Secretariat said that information on bodies or agencies wishing to be represented as observers in the respective meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions was set out in documents UNEP/CHW.14/INF/58/Rev.1, UNEP/FAO/RC/COP.9/INF/47/Rev.1 and UNEP/POPS/COP.9/INF/50, respectively. She outlined the admission procedures described in those documents and established pursuant to the provisions of each of the respective conventions as well as the related rules of procedure. She said that, following the publication of the documents and in addition to the requests contained therein, the Secretariat had received further requests that it had verified met the relevant criteria in relation to the Basel and Rotterdam conventions.

309. The conferences of the Parties took note of the bodies or agencies making requests for admission as observers to each respective Convention.

B. Guidelines on preventing and addressing all forms of harassment at meetings of the Basel, Rotterdam and Stockholm conventions

310. Introducing the sub-item, the representative of the Secretariat drew attention to document UNEP/CHW.14/INF/47–UNEP/FAO/RC/COP.9/INF/48–UNEP/POPS/COP.9/INF/51, containing guidelines on preventing and addressing all forms of harassment at meetings of the Basel, Rotterdam and Stockholm conventions. She explained that the Secretariat had developed the guidelines in line with the United Nations' zero tolerance policy on all forms of harassment, including sexual harassment, and approaches taken by other secretariats of multilateral environmental agreements, with the goal of ensuring the smooth running of meetings.

311. The conferences of the Parties took note of the guidelines and agreed that the Secretariat should make them available on the websites of the conventions.

X. Adoption of the report (agenda item 10)

312. The Conference of the Parties adopted the draft report on the basis of the draft that had been circulated, as orally amended, on the understanding that the finalization of the report would be entrusted to the Rapporteur, in cooperation with the Secretariat, under the authority of the President of the Conference of the Parties.

XI. Closure of the meeting (agenda item 11)

313. Following the customary exchange of courtesies, the meeting was declared closed at 10.15 p.m. on Friday, 10 May 2019.

Annex

Decisions adopted by the Conference of the Parties at its fourteenth meeting

- BC-14/1: Strategic framework for the implementation of the Basel Convention for 2012–2021
- BC-14/2: Addressing the entry into force of the Ban Amendment
- BC-14/3: Developing guidelines for environmentally sound management
- BC-14/4: Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants
- BC-14/5: 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
- BC-14/6: Technical guidelines on incineration on land (D10) and on specially engineered landfill (D5)
- BC-14/7: Technical guidelines on the environmentally sound management of waste lead-acid batteries
- BC-14/8: Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds
- BC-14/9: Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System
- BC-14/10: National reporting
- BC-14/11: Electronic approaches to the notification and movement documents
- BC-14/12: Amendments to Annexes II, VIII and IX to the Basel Convention
- BC-14/13: Further actions to address plastic waste under the Basel Convention
- BC-14/14: Waste containing nanomaterials
- BC-14/15: Committee Administering the Mechanism for Promoting Implementation and Compliance
- BC-14/16: Providing further legal clarity
- BC-14/17: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic
- BC-14/18: Technical assistance
- BC-14/19: Basel Convention Partnership Programme
- BC-14/20: Work programme of the Open-ended Working Group for the biennium 2020–2021
- BC-14/21: International cooperation and coordination
- BC-14/22: Cooperation between the joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the Secretariat of the Minamata Convention
- BC-14/23: Clearing house mechanism for information exchange
- BC-14/24: Synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes
- BC-14/25: From science to action
- BC-14/26: Memorandum of understanding between the United Nations Environment Programme and the Conference of the Parties to the Basel Convention
- BC-14/27: Dates and venue of the next meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions
- BC-14/28: Existing United Nations guidelines on the mobilization of resources from non-State actors
- BC-14/29: Programme of work and budget for the Basel Convention for the biennium 2020–2021

BC-14/1: Strategic framework for the implementation of the Basel Convention for 2012–2021

The Conference of the Parties

1. *Welcomes* the work undertaken by the small intersessional working group on the strategic framework for the implementation of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal for the period 2012–2021;

2. *Requests* the regional group that has not yet nominated a second expert with specific knowledge and expertise in the evaluation of strategic plans, programmes, treaties or the national implementation of the Basel Convention to serve as a member of the working group to nominate the remaining expert by 31 July 2019 through its Bureau representatives, and requests the Secretariat to facilitate the nomination process;

3. *Urges* Parties to provide to the Secretariat, no later than 31 January 2020, information for the year 2019 relevant to the indicators listed in section V of the strategic framework, using the format for reporting developed by the Secretariat;¹

4. *Requests* the Secretariat, in consultation with the small intersessional working group and subject to the availability of resources:

(a) To prepare, using as a basis the compilation of information,² and taking into account the discussions held during the fourteenth meeting of the Conference of the Parties, the information provided by Parties relevant to the indicators referred to in paragraph 3 of the present decision and Parties' annual national reports, a draft report on the final evaluation of the strategic framework for consideration by the Open-ended Working Group at its twelfth meeting;

(b) To submit a final version of the report referred to in subparagraph 4 (a) of the present decision to the Conference of the Parties at its fifteenth meeting for its consideration;

5. *Requests* the Secretariat, subject to the availability of resources, to support the small intersessional working group in its work, including by organizing one face-to-face meeting during the biennium 2020–2021, and to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW.12/INF/5, annex 4.

² UNEP/CHW.14/INF/5.

BC-14/2: Addressing the entry into force of the Ban Amendment

The Conference of the Parties,

Noting the information regarding the status of ratification of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and of the amendment thereto set out in decision III/1, known as the “Ban Amendment”,¹

1. *Welcomes* the ratification and acceptance by additional Parties to the Basel Convention of the Ban Amendment;
2. *Calls upon* Parties that have not yet done so to ratify the Ban Amendment, noting that only two additional instruments of ratification, approval or acceptance need to be deposited by Parties that were Parties to the Convention at the time of adoption of the Amendment in order for that Amendment to enter into force;
3. *Invites* Parties to continue to take action towards encouraging and assisting other Parties to ratify the Ban Amendment;
4. *Requests* the Secretariat, subject to the availability of resources and upon request, to continue to assist Parties that are having difficulties in ratifying the Ban Amendment.

¹ UNEP/CHW.14/4.

BC-14/3: Developing guidelines for environmentally sound management

The Conference of the Parties

1. *Welcomes* the work undertaken by the expert working group on environmentally sound management, and takes note of the report on the activities undertaken by the group;¹
2. *Adopts* the practical manuals on extended producer responsibility and financing systems for environmentally sound management,² the guidance to assist Parties in developing efficient strategies for achieving the recycling and recovery of hazardous and other wastes³ and the guidance on how to address environmentally sound management in the informal sector;⁴
3. *Requests* the Secretariat to integrate the practical manuals mentioned in paragraph 2 of the present decision into the toolkit on environmentally sound management;
4. *Welcomes* the revised draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements;⁵
5. *Encourages* Parties and others to disseminate and use the toolkit for environmentally sound management;
6. *Invites* Parties and others to provide the Secretariat with information on activities undertaken to ensure the environmentally sound management of hazardous wastes and other wastes, including experience and case studies on extended producer responsibility and financing systems, strategies for the recycling and recovery of hazardous and other wastes, and on addressing environmentally sound management in the informal sector, and requests the Secretariat to make such information available on the website of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;
7. *Requests* the Secretariat, subject to the availability of resources, to undertake activities to promote and disseminate the toolkit in the context of activities undertaken in its work programme for the biennium 2020–2021;
8. *Invites* Parties and others to submit comments on the revised draft practical manual referred to in paragraph 4 of the present decision to the Secretariat by 30 June 2019;
9. *Requests* the Secretariat to prepare a further revised version of the draft practical manual referred to in paragraph 4 of the present decision, taking into account the comments from Parties and others received pursuant to paragraph 8 of the decision, and to submit it for consideration by the Open-ended Working Group at its twelfth meeting and the Conference of the Parties at its fifteenth meeting;
10. *Decides* that the expert working group on environmentally sound management has successfully completed its mandate and is hereby disbanded;
11. *Requests* the Secretariat, subject to the availability of resources, to complete the work to update the toolkit to reflect information drawn from the pilot projects carried out in accordance with the work programme of the expert working group,⁶ with the participation of interested Parties and others through electronic means, and to that end, to submit draft revised documents for consideration by the twelfth meeting of the Open-ended Working Group and the fifteenth meeting of the Conference of the Parties.

¹ UNEP/CHW.14/5, annex.

² UNEP/CHW.14/5/Add.1.

³ UNEP/CHW.14/INF/7.

⁴ UNEP/CHW.14/INF/8.

⁵ UNEP/CHW.14/INF/6.

⁶ Decision BC-13/2, annex I.

BC-14/4: Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants

The Conference of the Parties

1. *Welcomes with appreciation* the contributions made by the Government of Norway as lead country and by the small intersessional working group to the tasks pertaining to the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants;
2. *Adopts* the following technical guidelines:
 - (a) Updated general technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants;¹
 - (b) Updated 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 or decabromodiphenyl ether;²
 - (c) Updated technical guidelines on the environmentally sound management of wastes containing or contaminated with unintentionally produced polychlorinated dibenzo-*p*-dioxins, polychlorinated dibenzofurans, hexachlorobenzene, polychlorinated biphenyls, pentachlorobenzene, polychlorinated naphthalenes or hexachlorobutadiene;³
 - (d) Updated technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with hexachlorobutadiene;⁴
 - (e) Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with short-chain chlorinated paraffins;⁵
3. *Requests* the Secretariat to disseminate the technical guidelines referred to in paragraph 2 of the present decision to Parties and others in the six official languages of the United Nations;
4. *Decides* to extend the mandate of the small intersessional working group established by paragraph 9 of decision OEWG-I/4 to provide that the group shall monitor and assist in the review, updating and preparation, as appropriate, of technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants, working in particular by electronic means;
5. *Recognizes* that provisional low persistent organic pollutant content values have been established at previous meetings of the Conference of the Parties and that knowledge limitations have posed challenges to the setting of such values;
6. *Decides* 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 fifteenth meeting of the Conference of the Parties, with a view to establishing lower low persistent organic pollutant content values at least for hexabromodiphenyl ether (hexaBDE) and heptabromodiphenyl ether (heptaBDE), tetrabromodiphenyl ether (tetraBDE) and pentabromodiphenyl ether (pentaBDE), decabromodiphenyl ether (decaBDE) and short-chain chlorinated paraffins at the fifteenth meeting of the Conference of the Parties;
7. *Invites* Parties and observers to submit to the Secretariat, no fewer than three months in advance of the twelfth meeting of the Open-ended Working Group, comments on the low persistent organic pollutant content values included in the technical guidelines referred to in paragraph 2 (a) of the present decision, and other technical guidelines, as appropriate, and related information, including on studies, taking into account relevant information available under the Stockholm Convention on Persistent Organic Pollutants;

¹ UNEP/CHW.14/7/Add.1/Rev.1.

² UNEP/CHW.14/7/Add.3/Rev.1.

³ UNEP/CHW.14/7/Add.4/Rev.1.

⁴ UNEP/CHW.14/7/Add.5/Rev.1.

⁵ UNEP/CHW.14/7/Add.2/Rev.1.

8. *Encourages* Parties and others, as soon as possible, to develop and use methods, including screening methods, that are validated and suitable for industrial-scale use for the sampling and analysis of persistent organic pollutant content in waste, in particular of hexaBDE and heptaBDE, tetraBDE and pentaBDE, and decaBDE content in waste, in the range between 50mg/kg and 1,000mg/kg;

9. *Decides* that the updating of the general technical guidelines referred to in paragraph 2 (a) of the present decision and the updating of specific technical guidelines with regard to the chemicals listed in Annex A to the Stockholm Convention by decisions SC-9/11 and SC-9/12 of the Conference of the Parties to the Stockholm Convention and to the amendment of the listing of perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF) in Annex B to the Stockholm Convention by decision SC-9/4 should be included in the work programme of the Open-ended Working Group for the biennium 2020–2021, including with regard to the following:

(a) Establishment of levels of destruction and irreversible transformation for the chemicals necessary to ensure that when disposed of they do not exhibit the characteristics of persistent organic pollutants specified in paragraph 1 of Annex D to the Stockholm Convention;

(b) Determination of which disposal methods constitute environmentally sound disposal as referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention;

(c) Establishment, as appropriate, of the concentration levels of the chemicals in order to define for them low persistent organic pollutant content as referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention;

10. *Invites* Parties and relevant organizations to indicate to the Secretariat by 31 August 2019 their willingness to take the lead in updating the following technical guidelines in accordance with paragraph 9 of the present decision:

(a) The general technical guidelines referred to in paragraph 2 (a) of the present decision, taking into account decisions SC-9/11, SC-9/12 and SC-9/4;

(b) The technical guidelines on perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride to reflect the amendment of the listing of PFOS, its salts and PFOSF in Annex B and to include perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds, taking into account decisions SC-9/4 and SC-9/5, respectively;

(c) The technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with the pesticides aldrin, alpha hexachlorocyclohexane, beta hexachlorocyclohexane, chlordane, chlordecone, dieldrin, endrin, heptachlor, hexachlorobenzene, hexachlorobutadiene, lindane, mirex, pentachlorobenzene, pentachlorophenol and its salts, perfluorooctane sulfonic acid, technical endosulfan and its related isomers or toxaphene or with hexachlorobenzene as an industrial chemical to include dicofol, taking into account decision SC-9/11;

11. *Invites* the lead countries and the lead relevant organizations for the technical guidelines referred to in paragraph 10 of the present decision, if any, and requests the Secretariat, if there is no lead country or organization, subject to the availability of resources and in consultation with the small intersessional working group, to prepare draft technical guidelines in accordance with paragraph 10 of the present decision for consideration by the Open-ended Working Group at its twelfth meeting;

12. *Requests* the small intersessional working group to prepare a draft analysis of candidate persistent organic pollutants recommended for listing in annexes A, B and/or C to the Stockholm Convention by the Persistent Organic Pollutants Review Committee in order to identify whether technical guidelines will need to be updated or developed for consideration by the Conference of the Parties at its fifteenth meeting;

13. *Requests* the Secretariat:

(a) To prepare a compilation of the comments and information referred to in paragraph 7 of the present decision for consideration by the Open-ended Working Group at its twelfth meeting;

(b) To continue to provide, subject to the availability of resources, training to developing-country Parties and other Parties in need of assistance in using the adopted technical guidelines, organizing such activities in cooperation with the regional and coordinating centres under the Basel Convention or by other appropriate means;

- (c) To report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

BC-14/5: 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

The Conference of the Parties

1. *Welcomes* with appreciation the contributions made by the Government of China as lead country and by the expert working group to the tasks pertaining to the 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 on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;
2. *Takes note* of the discussions at the fourteenth meeting of the Conference of the Parties regarding the revised 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 as set out in document UNEP/CHW.14/7/Add.6, including concerns raised by several Parties on the issue of dumping of e-waste in developing countries;
3. *Adopts* on an interim basis the revised 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;¹
4. *Acknowledges* the need to look further into subparagraphs 32 (a) and 32 (b) of the revised technical guidelines referred to in paragraph 3 of the present decision, in particular the concerns of Parties on the distinction between waste and non-waste, to advance the work towards the finalization of the guidelines;
5. *Decides* to extend the mandate of the expert working group established by paragraph 4 of decision BC-13/5;
6. *Decides* that the expert working group referred to in paragraph 5 of the present decision shall continue to consist of twenty-five members nominated by Parties, based on equitable geographical representation of the five regional groups of the United Nations, and shall be open to observers, including those from the Basel Convention regional and coordinating centres, and may call for additional experts as needed;
7. *Invites* each regional group to reconsider their nomination and nominate, as appropriate, through its Bureau representatives, by 30 June 2019, members of the expert working group with relevant knowledge and expertise, and requests the Secretariat to facilitate the nomination process;
8. *Invites* Parties and others to use and test, on a pilot basis, the technical guidelines referred to in paragraph 3 of the present decision and to communicate to the Secretariat that they are doing so;
9. *Also invites* Parties and others to submit, not later than two months before the twelfth meeting of the Open-ended Working Group, through the Secretariat, comments on the activities referred to in paragraph 8 of the present decision and the results of using and testing the technical guidelines referred to in paragraph 3 of the present decision; and requests the Secretariat to make such comments available for the consideration of the Open-ended Working Group;
10. *Requests* the expert working group, taking into account, inter alia, the comments received in accordance with paragraph 9 of the present decision, to prepare revised draft technical guidelines, taking into consideration paragraph 4 of the present decision, and to submit them for the consideration of the Conference of the Parties at its fifteenth meeting;
11. *Agrees* to consider, at the fifteenth meeting of the Conference of the Parties, the technical guidelines as referred to in paragraph 3 of the present decision, taking into account the outcomes of the expert working group, pursuant to paragraph 10;

¹ UNEP/CHW.14/7/Add.6/Rev.1.

12. *Also agrees* that in the event of outstanding matters, as referred to in paragraph 2 of the present decision, the Conference of the Parties at its fifteenth meeting may further extend the mandate of the expert working group, pursuant to paragraph 10, for a limited period;

13. *Requests* the Secretariat:

(a) To continue to provide, subject to the availability of resources, training to developing-country Parties and other Parties in need of assistance in using the technical guidelines referred to in paragraph 3 of the present decision, and to organize such activities in cooperation with the Basel Convention regional and coordinating centres or by other appropriate means;

(b) To report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

BC-14/6: Technical guidelines on incineration on land (D10) and on specially engineered landfill (D5)

The Conference of the Parties

1. *Welcomes with appreciation* the contributions made by the Governments of Argentina and Canada, as co-lead countries, and the small intersessional working group established pursuant to paragraph 6 of decision BC-13/6 to the tasks pertaining to the technical guidelines on incineration on land (D10) and the technical guidelines on specially engineered landfill (D5);
2. *Takes note* of the draft updated technical guidelines on incineration on land (D10)¹ and the draft updated technical guidelines on specially engineered landfill (D5);²
3. *Also takes note* of the comments received pursuant to paragraphs 4 and 5 of decision OEWG-11/5;³
4. *Agrees* that the scope of the technical guidelines on incineration on land (D10) should be extended to also address incineration as covered by the operation “use as a fuel (other than in direct incineration) or other means to generate energy” (R1);
5. *Acknowledges* that the extension of the scope as specified in paragraph 4 of the present decision represents an increase in workload and that the co-leads therefore need to reconsider whether they are in a position to finalize the work;
6. *Invites* Parties to consider serving as co-lead countries in the updating of the technical guidelines on incineration on land (D10) with an extended scope as specified in paragraph 4 of the present decision and to inform the Secretariat of their willingness to do so by 30 June 2019;
7. *Acknowledges* that Annex IV is currently being reviewed by the expert working group on the review of Annexes I, III and IV and related aspects of Annex IX, and that the outcome may result in potential changes to operations D5, D10 and R1 if the related amendments are adopted;
8. *Decides* to extend the mandate of the small intersessional working group established pursuant to paragraph 6 of decision BC-13/6;
9. *Invites* Parties and others to nominate additional experts to participate in the small intersessional working group and to inform the Secretariat of their nominations by 31 August 2019;
10. *Also invites* Parties and others to submit to the Secretariat by 18 October 2019 comments on the draft updated technical guidelines on incineration on land (D10) and on specially engineered landfill (D5) referred to in paragraph 2 of the present decision;
11. *Invites* the lead countries or, if there is no lead country, the Secretariat, subject to the availability of resources, to prepare draft updated technical guidelines on incineration on land (D10) with an extended scope as specified in paragraph 4 of the present decision, taking into account the discussion during the fourteenth meeting of the Conference of the Parties and the comments received pursuant to paragraph 10 of the present decision, in consultation with the small intersessional working group, for consideration by the Open-ended Working Group at its twelfth meeting;
12. *Invites* Argentina and Canada, as co-lead countries, to prepare a revised draft of the updated technical guidelines on specially engineered landfill (D5) referred to in paragraph 2 of the present decision, taking into account the discussion during the fourteenth meeting of the Conference of the Parties and the comments received pursuant to paragraph 10 of the present decision, in consultation with the small intersessional working group, for consideration by the Open-ended Working Group at its twelfth meeting;
13. *Decides* that the small intersessional working group will operate by electronic means and will hold one face-to-face meeting, subject to the availability of resources;
14. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW.14/INF/11.

² UNEP/CHW.14/INF/12.

³ UNEP/CHW.14/INF/13.

BC-14/7: Technical guidelines on the environmentally sound management of waste lead-acid batteries

The Conference of the Parties,

Having considered the invitation of the United Nations Environment Assembly, in its resolution 3/9 on eliminating exposure to lead paint and promoting environmentally sound management of waste lead-acid batteries, to consider revising the technical guidelines for the environmentally sound management of waste lead-acid batteries¹ regarding the application of new technologies in different aspects of environmentally sound management systems,

1. *Recalls* decision VI/22, by which it adopted the technical guidelines for the environmentally sound management of waste lead-acid batteries;
2. *Decides* to include in the work programme of the Open-ended Working Group for the biennium 2020–2021 the consideration of whether the technical guidelines for the environmentally sound management of waste lead-acid batteries referred to in decision VI/22 should be updated;
3. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW.6/22.

BC-14/8: Technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds

The Conference of the Parties,

Having considered the invitation of the Conference of the Parties to the Minamata Convention on Mercury, in its decision MC-2/2 on mercury waste thresholds, to consider reviewing, as appropriate, the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds¹ to include additional guidance for certain mercury wastes,

Recalling decision BC-12/4, by which it adopted the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds,

1. *Decides* that the technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds should be updated;
2. *Invites* Parties to consider serving as lead countries in the updating of the technical guidelines referred to in paragraph 1 of the present decision and to inform the Secretariat of their willingness to do so by 31 August 2019;
3. *Decides* to establish a small intersessional working group, operating by electronic means, to assist in the updating referred to in paragraph 1 of the present decision;
4. *Invites* Parties and others to nominate experts to participate in the small intersessional working group and to inform the Secretariat of their nominations by 31 August 2019;
5. *Requests* the lead country or countries or, if there is no lead country, the Secretariat, subject to the availability of resources and in consultation with the small intersessional working group, to prepare an updated draft of the technical guidelines referred to in paragraph 1 of the present decision for consideration by the Open-ended Working Group at its twelfth meeting;
6. *Calls upon* the members of the small intersessional working group to cooperate with the group of technical experts on mercury waste thresholds established by decision MC-2/2, if invited to do so by the group of technical experts;
7. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW.12/5/Add.8/Rev.1.

BC-14/9: Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System

The Conference of the Parties

1. *Takes note* of the report on the status of work of the World Customs Organization on the Harmonized Commodity Description and Coding System related to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;¹
2. *Also takes note* of the revised list of types of wastes submitted by Parties in response to decision BC-10/10, taking into account the progress made by the Harmonized System Committee and its Harmonized System Review Subcommittee, as well as of the information received from Parties on the types of wastes for which it would be useful to request the World Customs Organization to introduce codes in the Harmonized Commodity Description and Coding System;²
3. *Requests* the Secretariat:
 - (a) To submit to the World Customs Organization a proposal for amending the Harmonized Commodity Description and Coding System to allow the identification of the following types of wastes:
 - (i) With higher priority:³
 1. B1110 and A1180 – Electrical and electronic assemblies;⁴
 2. A1160 – Waste lead-acid batteries, whole or crushed;⁵
 3. A3210, B3011, Y48 – Plastic waste;
 4. A1010, A1020, A1030, A1040 – Metal wastes/compounds;
 5. A3020 – Waste mineral oils unfit for their originally intended use, together with A3180 – Wastes, substances and articles containing, consisting of or contaminated with PCB, PCT, PCN or PBB or any other polybrominated analogues of these compounds;
 6. A4030 – Wastes from production, formulation and use of biocides and phytopharmaceuticals, including waste pesticides;
 7. B1250 – Waste end-of-life motor vehicles, containing neither liquids nor other hazardous components;
 8. B3140 – Waste pneumatic tyres;
 - (ii) With medium priority:⁶
 1. A3090 – Waste leather dust, ash, sludges and flours when containing hexavalent chromium compounds or biocides;
 2. A3100 – Waste paring and other waste of leather;
 3. A3110 – Fellmongery wastes containing hexavalent chromium compounds or biocides;
 4. A4130 – Waste packages and containers containing Annex I substances;
 5. A4080 – Wastes of an explosive nature (but excluding such wastes specified on list B);

¹ UNEP/CHW/OEWG.11/INF/34; UNEP/CHW.14/INF/14, annex I.

² UNEP/CHW.14/INF/14, annex II.

³ For the full entries, see Annexes VIII and IX to the Basel Convention.

⁴ Amendments to the Harmonized Commodity Description and Coding System to allow for the identification of this type of waste have been provisionally adopted by the Harmonized System Committee and will be included in the 2022 edition of the System, pending a final decision under the World Customs Organization.

⁵ Amendments to the Harmonized Commodity Description and Coding System to allow for the identification of this type of waste have been provisionally adopted by the Harmonized System Committee and will be included in the 2022 edition of the System, pending final decision under the World Customs Organization.

⁶ For the full entries, see Annexes VIII and IX to the Basel Convention.

(b) To continue, under the guidance of the Open-ended Working Group, its cooperation with the Harmonized System Committee and relevant subcommittees of the World Customs Organization in order to facilitate the inclusion of wastes covered by the Basel Convention in the Harmonized Commodity Description and Coding System;

(c) To report on progress achieved in the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and the Conference of the Parties at its fifteenth meeting.

BC-14/10: National reporting

The Conference of the Parties

1. *Welcomes* the updated electronic reporting system of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal¹ and encourages Parties to use it to transmit their national reports;
2. *Urges* Parties that have not yet done so to transmit to the Secretariat their national reports for the year 2017 and for previous years as soon as possible;
3. *Takes note* of the information provided by the Secretariat on the contribution of the Basel Convention to the 2030 Agenda for Sustainable Development,² and encourages Parties to strengthen their efforts to include information in their national reports on the generation, import, export and disposal of hazardous wastes for the calculation of indicators 12.4.2³ and 12.5.1⁴ for measuring progress towards the achievement of Sustainable Development Goal 12;
4. *Acknowledges* the importance of clarity of the information transmitted in national reports related to transit, and encourages Parties to provide responses to questions 3g and 3h of the reporting format;⁵
5. *Adopts* the revisions to the reporting format for national reporting set out in annex I to the present decision and agrees that the revised format should be used by Parties for reporting for the year 2018 and onwards;
6. *Requests* the Secretariat:
 - (a) To continue to develop the electronic reporting system, including to make the required adaptations to the system to reflect the revisions to the reporting format referred to in paragraph 5 of the present decision, and to support Parties in using it;
 - (b) To incorporate the revisions to the reporting format referred to in paragraph 5 of the present decision into the manual for completing the format for national reporting under the Basel Convention⁶ and reflect therein the revisions contained in annex II to the present decision;
 - (c) To also incorporate the revisions referred to in paragraph 5 of the present decision into the standardized reporting format for transmitting information under paragraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention, revised by decision BC-13/9;
 - (d) To translate into English, subject to the availability of resources, any information transmitted by Parties in their national reports in the official languages of the United Nations other than English, and to incorporate such information into the electronic reporting system;
 - (e) To develop, subject to the availability of resources, draft practical guidance on the development of inventories for the following waste streams for consideration by the Open-ended Working Group at its twelfth meeting and the Conference of the Parties at its fifteenth meeting:
 - (i) With higher priority:
 1. Plastic waste;
 2. Obsolete pesticides, including pesticide-container waste;
 3. Waste batteries containing lithium;

¹ Accessible at www.basel.int/Countries/NationalReporting/tabid/3356/Default.aspx.

² UNEP/CHW.14/20–UNEP/FAO/RC/COP.9/16–UNEP/POPS/COP.9/23.

³ Hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment.

⁴ National recycling rate, tons of material recycled.

⁵ UNEP/CHW.12/INF/16/Rev.1, revised by decision BC-13/9 and BC-14/10.

⁶ UNEP/CHW.13/INF/20/Rev.1.

(ii) With medium priority:

1. Waste cartridges and toners;
2. Olive oil milling waste;

(f) To continue, subject to the availability of resources, to undertake pilot projects to test the practical guidance for the development of inventories of used lead-acid batteries, waste electrical and electronic equipment and waste oils,⁷ and to prepare, on the basis of the outcomes of those projects and comments received by Parties and observers on their experience in using the guidance, revised practical guidance for consideration by the Conference of the Parties at its fifteenth meeting;

(g) To continue, subject to the availability of resources, to provide training to developing countries and other countries that need assistance to meet their reporting obligations by organizing training activities in cooperation with the Basel Convention regional and coordinating centres or by other appropriate means;

(h) To report to the Conference of the Parties at its fifteenth meeting on the implementation of the present decision.

Annex I to decision BC-14/10

Revisions to the reporting format for national reporting under the Basel Convention

Question 3 (h) is replaced by the following:

3h	<p>(i) Does your country have a definition of “State of transit” in its legislation? (Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please provide the text of the definition, including any elaboration of the meaning of the term “through which” in the definition of “State of transit” set out in Article 2.12 of the Convention:</p> <p>(ii) Does your country otherwise have a definition of “State of transit” (e.g., in a guidance document)? Articles 6.4 and 13.3 (c)) (optional)</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please provide the text of the definition, including any elaboration of the meaning of the term “through which” in the definition of “State of transit” set out in Article 2.12 of the Convention:</p>
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In Table 4, the summary table is replaced by the following:

Summary data		
A	Total amount of hazardous wastes under Art. 1 (1) a exported:	
B	Total amount of hazardous wastes under Art. 1 (1) b exported:	
A+B	Total amount of hazardous wastes exported:	
C	Total amount of other wastes exported (Annex II):	
A+B+C	Total amount of controlled waste exported:	

In Table 5, the summary table is replaced by the following:

Summary data		
A	Total amount of hazardous wastes under Art. 1 (1) a imported:	
B	Total amount of hazardous wastes under Art. 1 (1) b imported:	
A+B	Total amount of hazardous wastes imported:	
C	Total amount of other wastes imported (Annex II):	
A+B+C	Total amount of controlled waste imported:	

⁷ UNEP/CHW.13/INF/22.

Annex II to decision BC-14/10

Revisions to the manual for completing the format for national reporting under the Basel Convention

The last paragraph in the instructions for question 3 is replaced by the following:

For question 3h (i), **tick “Yes”** if your country’s legislation includes a definition of “State of transit” and provide its definition; **tick “No”** if your country’s legislation does not include a definition of “State of transit”.

For question 3h (ii), **tick “Yes”** if your country has a definition of “State of transit” included otherwise than in its legislation (e.g., set out in a guidance document), and provide the definition; **tick “No”** if your country does not have a definition of “State of transit” set out otherwise than in its legislation.

BC-14/11: Electronic approaches to the notification and movement documents

The Conference of the Parties

1. *Takes note* of the responses provided by Parties and others pertaining to information on their experiences with electronic approaches to the notification and movement documents;¹
2. *Acknowledges* the need to look further into electronic approaches to the notification and movement documents;
3. *Invites* Parties and others to provide to the Secretariat, by 30 September 2019, information on their experiences in developing and implementing electronic systems for exchanging information on or controlling the movements of goods and wastes, and on experts who could contribute to the consultative workshops referred to in subparagraph 4 (b) of the present decision;
4. *Requests* the Secretariat:
 - (a) To prepare, subject to the availability of resources, a report on experiences, at the national and international levels, in developing and implementing electronic systems for exchanging information on or controlling the movements of goods and wastes, and lessons learned from such experiences, taking into account the information provided in paragraph 3 of the present decision, for consideration by the Open-ended Working Group at its twelfth meeting;
 - (b) To organize, after the twelfth meeting of the Open-ended Working Group, subject to the availability of resources, consultative workshops involving experts from Parties and observers from the five regional groups of the United Nations to explore options for a system under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal that would allow for the automation of processes and the electronic exchange of information relating to the notification and movement of hazardous and other wastes, their expected benefits and requirements, and possible steps towards their implementation;
5. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW/OEWG.11/INF/21 and UNEP/CHW/CC.12/11/Add.2.

BC-14/12: Amendments to Annexes II, VIII and IX to the Basel Convention

The Conference of the Parties,

Having considered the proposals by the Government of Norway to amend Annexes II, VIII and IX to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal,¹

1. *Decides* to amend Annex II to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal by adding the following entry:

Y48 ^{2,3}	<p>Plastic waste, including mixtures of such waste, with the exception of the following:</p> <ul style="list-style-type: none"> • Plastic waste that is hazardous waste pursuant to paragraph 1 (a) of Article 1⁴ • Plastic waste listed below, provided it is destined for recycling⁵ in an environmentally sound manner and almost free from contamination and other types of wastes:⁶ <ul style="list-style-type: none"> - Plastic waste almost exclusively⁷ consisting of one non-halogenated polymer, including but not limited to the following polymers: <ul style="list-style-type: none"> ○ Polyethylene (PE) ○ Polypropylene (PP) ○ Polystyrene (PS) ○ Acrylonitrile butadiene styrene (ABS) ○ Polyethylene terephthalate (PET) ○ Polycarbonates (PC) ○ Polyethers - Plastic waste almost exclusively⁷ consisting of one cured resin or condensation product, including but not limited to the following resins: <ul style="list-style-type: none"> ○ Urea formaldehyde resins ○ Phenol formaldehyde resins ○ Melamine formaldehyde resins ○ Epoxy resins ○ Alkyd resins - Plastic waste almost exclusively⁷ consisting of one of the following fluorinated polymers:⁸ <ul style="list-style-type: none"> ○ Perfluoroethylene/propylene (FEP) ○ Perfluoroalkoxy alkanes: <ul style="list-style-type: none"> ▪ Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA) ▪ Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA) ○ Polyvinylfluoride (PVF) ○ Polyvinylidene fluoride (PVDF) • Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling⁹ of each material and in an environmentally sound manner and almost free from contamination and other types of wastes.⁶
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¹ UNEP/CHW.14/27, annex I.

² This entry becomes effective as of 1 January 2021.

³ Parties can impose stricter requirements in relation to this entry.

⁴ Note the related entry on list A A3210 in Annex VIII.

⁵ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B) or, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

⁶ In relation to “almost free from contamination and other types of wastes”, international and national specifications may offer a point of reference.

⁷ In relation to “almost exclusively”, international and national specifications may offer a point of reference.

⁸ Post-consumer wastes are excluded.

⁹ Recycling/reclamation of organic substances that are not used as solvents (R3 in Annex IV, sect. B), with prior sorting and, if needed, temporary storage limited to one instance, provided that it is followed by operation R3 and evidenced by contractual or relevant official documentation.

2. *Also decides* to amend Annex VIII to the Basel Convention by inserting a new entry, A3210, as follows:

A3210¹⁰	Plastic waste, including mixtures of such waste, containing or contaminated with Annex I constituents, to an extent that it exhibits an Annex III characteristic (note the related entries Y48 in Annex II and on list B B3011).
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3. *Further decides* to amend the entry B3010 in Annex IX to the Basel Convention by adding a new footnote to the entry, as follows: “Entry B3010 is effective until 31 December 2020. Entry B3011 becomes effective as of 1 January 2021.”

4. *Decides* to amend Annex IX to the Basel Convention by inserting a new entry, B3011, as follows:

B3011¹¹	<p>Plastic waste (note the related entries Y48 in Annex II and on list A A3210):</p> <ul style="list-style-type: none"> • Plastic waste listed below, provided it is destined for recycling⁵ in an environmentally sound manner and almost free from contamination and other types of wastes:⁶ <ul style="list-style-type: none"> - Plastic waste almost exclusively⁷ consisting of one non-halogenated polymer, including but not limited to the following polymers: <ul style="list-style-type: none"> ○ Polyethylene (PE) ○ Polypropylene (PP) ○ Polystyrene (PS) ○ Acrylonitrile butadiene styrene (ABS) ○ Polyethylene terephthalate (PET) ○ Polycarbonates (PC) ○ Polyethers - Plastic waste almost exclusively⁷ consisting of one cured resin or condensation product, including but not limited to the following resins: <ul style="list-style-type: none"> ○ Urea formaldehyde resins ○ Phenol formaldehyde resins ○ Melamine formaldehyde resins ○ Epoxy resins ○ Alkyd resins - Plastic waste almost exclusively⁷ consisting of one of the following fluorinated polymers:⁸ <ul style="list-style-type: none"> ○ Perfluoroethylene/propylene (FEP) ○ Perfluoroalkoxy alkanes: <ul style="list-style-type: none"> ▪ Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA) ▪ Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA) ○ Polyvinylfluoride (PVF) ○ Polyvinylidene fluoride (PVDF) • Mixtures of plastic waste, consisting of polyethylene (PE), polypropylene (PP) and/or polyethylene terephthalate (PET), provided they are destined for separate recycling⁹ of each material and in an environmentally sound manner, and almost free from contamination and other types of wastes.⁶
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¹⁰ This entry becomes effective as of 1 January 2021.

¹¹ This entry becomes effective as of 1 January 2021. Entry B3010 is effective until 31 December 2020.

BC-14/13: Further actions to address plastic waste under the Basel Convention

The Conference of the Parties,

Noting with concern that high and rapidly increasing levels of marine plastic litter and microplastics represent a serious environmental problem on a global scale, negatively affecting marine biodiversity, ecosystems, fisheries, maritime transport, recreation and tourism, and local societies and economies, and that plastic litter and microplastics can also be found on land and in rivers, wetlands and lakes,

Acknowledging that more sustainable management, production and use of plastics throughout their life cycle can facilitate plastic waste management and contribute to reducing marine litter and the threat it poses to the environment, to livelihoods of coastal communities and potentially to human health, and reduce the loss of value, resources and energy,

Taking into account the limited capabilities of the developing countries to manage hazardous wastes and other wastes,

Recalling the 2030 Agenda for Sustainable Development and its Sustainable Development Goals and targets, in particular target 12.5,

Noting the decisions adopted by the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal at its fourteenth meeting, whereby it decided to develop guidance on the development of inventories of plastic waste,¹ adopted practical manuals and guidance supplementing the toolkit related to environmentally sound management, which is relevant for addressing issues related to marine plastic litter and microplastics,² and requested the Secretariat to submit to the World Customs Organization a proposal for amending the Harmonized Commodity Description and Coding System to allow for the identification of plastic waste,³

I

General

1. *Emphasizes* that work under the Basel Convention can and will play an important role in addressing the high and rapidly increasing levels of marine plastic litter and microplastics by preventing plastic waste from entering the marine environment;
2. *Notes* that the prevention, minimization and environmentally sound management of plastic waste as well as the effective control of its transboundary movement will reduce the amount of plastic waste entering the environment;
3. *Commits* itself to working to support efforts to achieve the prevention, the minimization and the environmentally sound management of plastic waste, as well as the effective control of its transboundary movement;
4. *Stresses* the importance of cooperation and coordination with other international organizations and activities through existing mechanisms, and in particular the multi-stakeholder platform within the United Nations Environment Programme, established by the United Nations Environment Assembly at its fourth session, while avoiding duplication;
5. *Notes* that the work under the Basel Convention on technical assistance and information exchange, including the work done by the regional centres of the Basel Convention and the Stockholm Convention on Persistent Organic Pollutants, has the potential to support efforts to prevent and minimize plastic waste and to support their environmentally sound management;
6. *Takes note* of the report of the Open-ended ad hoc expert group referred to in paragraph 10 of resolution 3/7 of the United Nations Environment Assembly;

¹ Decision BC-14/10.

² Decision BC-14/3.

³ Decision BC-14/9.

7. *Welcomes* the resolutions of the fourth session of the United Nations Environment Assembly on marine plastic litter and microplastics,⁴ on addressing single-use plastic products pollution,⁵ on environmentally sound management of waste⁶ and on sound management of chemicals and waste;⁷

II

Preventing and minimizing the generation of plastic waste, improving its environmentally sound management and controlling its transboundary movement

8. *Underlines* that reducing the generation of hazardous wastes and other wastes to a minimum and reducing to a minimum and controlling transboundary movements of such wastes consistent with their environmentally sound and efficient management are among the general obligations of all Parties to the Basel Convention;

9. *Emphasizes* the need to adopt a life-cycle approach to plastics and to increase resource efficiency and the importance of the waste management hierarchy;

10. *Also emphasizes* the relevance of the Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes⁸ and the importance of the activities identified in the road map for action on its implementation⁹ in addressing plastic waste, including challenges related to marine plastic litter;

11. *Welcomes* the many national, regional and international initiatives that countries, organizations, industry, regional centres and civil society have taken in response to the challenge of marine plastic litter and microplastics, including regulatory action, financial and other incentives, extended producer responsibility, public awareness and voluntary action;

12. *Calls upon* Parties and others:

(a) To make further efforts at the domestic level to prevent and minimize the generation of plastic waste, including through increasing the durability, reusability and recyclability of plastic products and furthering the repair, refurbishment and remanufacturing of plastic products, where technically and economically feasible;

(b) To promote the environmentally sound and efficient management of plastic waste, for example, single-use plastic and fishing gear, by improving the collection, transport, treatment and recycling of plastic waste, by improving or creating markets for recycled materials made from plastic waste, by improving other means of recovery, by reducing transboundary movement of plastic waste to a minimum, consistent with environmentally sound and efficient management, and by reducing the discharge of plastic waste and microplastics;

(c) To ensure that transboundary movements of plastic waste are undertaken in accordance with the provisions of the Convention as well as with related national laws and relevant regional agreements;

13. *Encourages* Parties and others:

(a) To set time-bound targets and adopt adequate measures to ensure that plastic packaging is designed to be reusable or recyclable in a cost-effective manner, the plastic packaging recycling rate by weight is monitored and significantly improved at the global, regional and national levels, and recycled content in plastic products is significantly increased;

(b) Taking into account the ministerial declaration adopted at the fourth session of the United Nations Environment Assembly, to significantly reduce single-use plastic products, notably through specific measures, such as the development of affordable and environmentally friendly alternatives, the use of substitutes for such products where alternatives are economically available, the reduction in their consumption, the setting of specific collection targets and obligations for producers to cover the costs of waste management as appropriate, clean-up and awareness-raising measures, including through extended producer responsibility schemes and measures to inform consumers about reuse, waste management options and the impacts of littering;

⁴ UNEP/EA.4/Res.6.

⁵ UNEP/EA.4/Res.9.

⁶ UNEP/EA.4/Res.7.

⁷ UNEP/EA.4/Res.8.

⁸ UNEP/CHW.10/28, annex IV.

⁹ Decision BC-12/2.

- (c) To take measures to foster innovation in relation to plastic waste, taking into account the life-cycle approach, with a view to better addressing marine plastic litter and microplastics;

III

Reducing the risk from hazardous constituents in plastic waste

14. *Notes* that plastic waste may contain potentially hazardous substances, or may be contaminated by hazardous substances, or mixed with hazardous wastes, and, as such, may pose a risk to human health and the environment, including marine and terrestrial ecosystems;

15. *Strongly encourages* Parties, taking into account their capabilities, and others, especially the private sector, to make efforts to create new technologies and processes, or improve existing technologies to remove or reduce the use of hazardous constituents in the production of plastics and at any subsequent stage of their life cycle, in order to facilitate plastic waste management, including during the recycling process, and to provide financial and technological support;

16. *Welcomes* the work of the Stockholm Convention on Persistent Organic Pollutants to eliminate or control the production or use of persistent organic pollutants in plastic products that may reduce the presence of such pollutants in plastics waste, thus contributing to reducing the risks associated with marine plastic litter and microplastics at the global level;

IV

Review of Annexes I and III

17. *Requests* the expert working group on the review of Annexes I, III and IV and related aspects of Annexes VIII and IX to the Basel Convention to consider, as part of its mandate, whether any additional constituents or characteristics in relation to plastic waste should be added to Annex I or III, respectively, to the Convention;

V

Technical guidelines

18. *Decides* to update the technical guidelines for the Identification and Environmentally Sound Management of Plastic Wastes and for their Disposal;¹⁰

19. *Invites* Parties to consider serving as lead countries for the updating of the guidelines and to inform the Secretariat of their willingness to do so by 31 August 2019;

20. *Decides* to establish a small intersessional working group, operating by electronic means and, subject to the availability of resources, through face-to-face meetings, to undertake the updating of the guidelines;

21. *Invites* Parties and others to nominate experts to participate in the small intersessional working group and to inform the Secretariat of their nominations by 31 August 2019;

22. *Requests* the lead country, or, in the absence of a lead country, the Secretariat, subject to the availability of resources, to prepare the draft updated technical guidelines in consultation with the small intersessional working group for consideration by the Open-ended Working Group at its twelfth meeting;

VI

Basel Convention Partnership on Plastic Waste

23. *Welcomes* the proposal to establish a Basel Convention partnership on plastic waste;

24. *Decides* to establish a working group of the Basel Convention Partnership on Plastic Waste;

25. *Adopts* the terms of reference for the Partnership;¹¹

26. *Requests* the working group to implement the workplan for the biennium 2020–2021;¹²

27. *Also requests* the working group to coordinate and collaborate on activities with other organizations and initiatives, as appropriate, in order to achieve synergies and avoid duplication, and

¹⁰ Decision VI/21 and UNEP/CHW.6/21, annex.

¹¹ UNEP/CHW.14/INF/16/Rev.1, annex I.

¹² UNEP/CHW.14/INF/16/Rev.1, annex II.

in particular with the Household Waste Partnership and the Global Partnership on Marine Litter and initiatives pursuant to resolution 4/7 of the United Nations Environment Assembly;

28. *Invites* Parties and others, in accordance with the terms of reference for the Partnership, to nominate members of the working group of the Partnership and to inform the Secretariat of their nominations by 31 August 2019;

29. *Requests* the Secretariat to identify relevant actors, and invite them to participate in the Partnership, by 31 August 2019;

30. *Emphasizes* that the Partnership does not have the authority to create additional or abrogate existing rights or responsibilities of Parties under the Basel Convention;

31. *Requests* the Secretariat to facilitate and provide expertise to the Partnership, subject to the availability of resources;

VII

Public awareness, education and information exchange

32. *Recognizes* that behavioural changes by all stakeholders play an important role in the prevention, minimization and collection of plastic waste;

33. *Invites* Parties and others to enhance public awareness, education and information exchange at the national level regarding plastic waste and the importance of its improved management, including through promoting behavioural change by all stakeholders towards its prevention, minimization, collection and recycling;

VIII

Further consideration

34. *Decides* to include, among other activities pertaining to plastic waste, in the work programme of the Open-ended Working Group for 2020–2021, under topic II D on plastic waste, the consideration of the following:

(a) 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;

(b) 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;

35. *Invites* Parties and others to submit to the Secretariat, by 1 June 2020, information on the following plastic waste referred to in entry Y48 in Annex II and entry B3011 in Annex IX to the Convention:

(a) Plastic waste almost exclusively consisting of one cured resin or condensation product including but not limited to the following:

- (i) Urea formaldehyde resins;
- (ii) Phenol formaldehyde resins;
- (iii) Melamine formaldehyde resins;
- (iv) Epoxy resins;
- (v) Alkyd resins;

(b) Plastic waste almost exclusively consisting of one of the following fluorinated polymer wastes:

- (i) Perfluoroethylene/propylene (FEP);
- (ii) Perfluoroalkoxy alkanes:
 - a. Tetrafluoroethylene/perfluoroalkyl vinyl ether (PFA);
 - b. Tetrafluoroethylene/perfluoromethyl vinyl ether (MFA);
- (iii) Polyvinylfluoride (PVF);
- (iv) Polyvinylidene fluoride (PVDF);

36. *Requests* the Secretariat to compile the information referred to in paragraph 35 of the present decision for consideration by the Conference of the Parties at its fifteenth meeting and make it available on the website of the Convention by 1 September 2020;

37. *Also requests* the Secretariat to communicate the decisions of the fourteenth meeting of the Conference of the Parties related to plastic waste, including marine plastic litter and microplastics,¹³ to the United Nations Environment Assembly, the Conference of the Parties to the Stockholm Convention, and the International Conference on Chemicals Management;

38. *Further requests* the Secretariat to report on progress in the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹³ Decisions BC-14/12, BC-14/13, BC-14/18, BC-14/21 and BC-14/23.

BC-14/14: Waste containing nanomaterials

The Conference of the Parties,

Acknowledging the work undertaken by other organizations, in particular the International Labour Organization, the Organization for Economic Cooperation and Development, the United Nations Institute for Training and Research and the World Health Organization, on nanotechnology, the safety of nanomaterials and waste containing nanomaterials,

1. *Takes note* of the report on issues related to waste containing nanomaterials and options for further work under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;¹
2. *Also takes note* of comments² received on the report referred to in paragraph 1 of the present decision pursuant to decision OEWG-11/10;
3. *Encourages* Parties and others to undertake further research and develop other measures, as appropriate, to generate the information needed to better understand the potential risks posed by waste containing nanomaterials;
4. *Invites* Parties and others to make available to the Secretariat, by 31 December 2019, information related to activities aimed at addressing issues related to waste containing nanomaterials, including case studies about and best practices relating to the management of waste containing nanomaterials;
5. *Encourages* Parties to develop strategies for the environmentally sound management of waste containing nanomaterials;
6. *Requests* the Secretariat:
 - (a) To compile the information referred to in paragraph 4 of the present decision for consideration by the Open-ended Working Group at its twelfth meeting;
 - (b) To report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW/OEWG.11/INF/24.

² UNEP/CHW.14/INF/19.

BC-14/15: Committee Administering the Mechanism for Promoting Implementation and Compliance

The Conference of the Parties

1. *Takes note* of the note by the Secretariat on the work of the Committee Administering the Mechanism for Promoting Implementation and Compliance,¹ and welcomes the work undertaken by the Committee since the thirteenth meeting of the Conference of the Parties;

I

Specific submissions regarding Party implementation and compliance

2. *Welcomes* the resolution of implementation and compliance matters set out in six specific submissions;²

3. *Encourages* Parties concerned with a specific submission to cooperate with the Committee with a view to resolving the matter of concern;

4. *Welcomes* the report on the evaluation of the amendment to paragraph 9 (c) of the terms of reference of the mechanism for promoting implementation of and compliance with the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;³

5. *Notes that:*

(a) The Secretariat has successfully made use of the possibility provided under paragraph 9 (c) of the terms of reference to make 13 submissions to the Committee with respect to possible difficulties faced by Parties in complying with their obligations under Article 5 and under paragraph 3 of Article 13 of the Convention, all submissions have been deemed admissible by the Committee, and, as at 31 October 2018, 11 matters had been resolved;

(b) The Secretariat has not yet made use of the possibility, under the amended paragraph 9 (c) of the terms of reference, to make a submission to the Committee with respect to possible difficulties faced by any Party in complying with its obligations under paragraph 1 of Article 3, paragraph 1 (a) of Article 4 and paragraph 2 of Article 13 of the Convention;

(c) Whereas failure to comply with the obligations set out in paragraph 1 of Article 3, paragraph 1 (a) of Article 4 and paragraph 2 of Article 13 of the Convention affects the efficient implementation of the Convention, the obligation to transmit information to the Secretariat pursuant to these provisions only arises under specific circumstances at the national level, and such knowledge would need to be acquired by the Secretariat while it exercises its functions in accordance with Article 16 of the Convention; accordingly, unlike in instances where implementation of and compliance with Article 5 and paragraph 3 of Article 13 of the Convention are at stake, the Secretariat is not in a position to become aware of possible difficulties faced by any Party in complying with such obligations as a result of the mere lack of transmission of information to the Secretariat by a Party;

6. *Agrees*, accordingly, with the Committee's recommendation not to extend the possibility for the Secretariat to make a submission to the Committee with respect to possible difficulties faced by any Party in complying with its obligations under paragraph 1 of Article 3, paragraph 1 (a) of Article 4 and paragraph 2 of Article 13 of the Convention;

II

Review of general issues of compliance and implementation under the Convention

National reporting: individual compliance performance

7. *Notes with concern* that, as at 15 June 2018, 75 Parties had not submitted their reports for the year 2014 and 81 Parties had not submitted their reports for the year 2015;

8. *Also notes with concern* that the overall rate of transmission of national reports since 2009 does not appear to have improved;

9. *Welcomes* the continued improvement in the completeness of national reports transmitted between 2010 and 2015;

¹ UNEP/CHW.14/13.

² The submissions regarding Cabo Verde, Eritrea, Guinea-Bissau, Libya and Turkmenistan, and the submission by Oman.

³ UNEP/CHW.14/INF/20.

10. *Expresses its appreciation* to the 15 Parties that transmitted a complete report for 2014 on time, namely Andorra, Argentina, Armenia, Australia, Azerbaijan, Bulgaria, the Central African Republic, Estonia, Finland, Guinea-Bissau, Lithuania, Poland, Portugal, Singapore and South Africa, and to the 12 Parties that transmitted a complete report for 2015 on time, namely Australia, Azerbaijan, Bulgaria, Egypt, Estonia, Guatemala, Guinea-Bissau, Hungary, Poland, Saint Lucia, Slovakia and South Africa;

11. *Notes with concern* that the targets for the years 2014 and 2015 approved by the Conference of the Parties at its thirteenth meeting have not been met, with 8 per cent of reports due for 2014 and 6 per cent of reports due for 2015 transmitted complete and on time, against a target of 10 per cent, and with 14 per cent of reports for 2014 and 18 per cent of reports for 2015 transmitted complete, whether on time or late, against a target of 20 per cent;

12. *Acknowledges* that the problem of non-reporting, incomplete reporting and late reporting is all the more serious because of the close link between the core obligations of the Convention and the obligation to submit national reports in accordance with paragraph 3 of Article 13 of the Convention;

National reporting: targets

13. *Sets*, as a way of measuring progress in the overall implementation of and compliance with paragraph 3 of Article 13 of the Convention, the following interim targets for the reports: 25 per cent of reports due for 2016 and 2017 are transmitted complete and on time; and 50 per cent of reports due for 2016 and 2017 are transmitted complete, whether on time or late;

National reporting: guidance

14. *Adopts* the benchmark report aimed at facilitating reporting under paragraph 3 of Article 13 of the Basel Convention – examples reflecting Parties' good practices,⁴ and the revised guidance on improving national reporting,⁵ and encourages Parties to use them;

National reporting: additional steps to improve timeliness and completeness of national reporting

15. *Welcomes* the report on the status of reporting and how to improve the timeliness and completeness of reporting;⁶

16. *Decides* to explore how to integrate national reporting into the United Nations Development Assistance Framework, as provided for in the work programme of the Committee for 2020–2021;

17. *Requests* the Secretariat to expand its technical assistance activities aimed at supporting Parties in transmitting their national reports, including country-level technical assistance activities, targeting both the development of inventories and the development of adequate legal and institutional frameworks;

18. *Encourages* Parties that have not transmitted complete national reports on time and that seek support from the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management to include in their application specific deliverables on the transmission of reports pursuant to paragraph 3 of Article 13 of the Convention;

19. *Invites* the Committee to consider elaborating and further assessing measures not included under paragraphs 20 (a) and (b) of the terms of reference of the Committee that may be required when a Party has not submitted its national report for two or more years since the report due in 2016, and to report to the Conference of the Parties at its fifteenth meeting;

20. *Emphasizes* the importance of the transmission of national reports for measuring progress towards achieving the goals and objectives of the Basel Convention strategic framework for 2012–2021 as well as towards achieving the Sustainable Development Goals, in particular using indicator 12.4.1 (number of parties to international multilateral environmental agreements on hazardous waste and other chemicals that meet their commitments and obligations in transmitting

⁴ UNEP/CHW.14/13/Add.4/Rev.1.

⁵ UNEP/CHW.14/13/Add.1.

⁶ UNEP/CHW.14/INF/21.

information as required by each relevant agreement) and indicator 12.4.2 (hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment);

21. *Also emphasizes* the importance of accessing funding, inter alia, through the implementation fund for Parties concerned with a submission to come into compliance with the national reporting obligation, and the importance of targeting financial resources for that purpose;

22. *Further emphasizes* the number of submissions to the Committee that the Secretariat could be in a position to make owing to possible difficulties faced by Parties in meeting their national reporting obligations;⁷

National legislation

23. *Adopts* the guide for the development of national legal frameworks to implement the Basel Convention;⁸

24. *Encourages* entities undertaking activities aimed at assisting Parties to review or develop legislation implementing the Convention to:

- (a) Offer specific support to individual Parties for the development of their legal frameworks;
- (b) Use the best practices identified in responses to the Secretariat's questionnaire;⁹
- (c) Use the relevant guidance adopted by the Conference of the Parties, as well as relevant technical assistance tools developed by the Secretariat;
- (d) Cooperate with the Committee in its work to fulfil its mandate to continuously monitor and oversee activities by organizations to support Parties in reviewing or developing their legal frameworks aimed at implementing the Basel Convention;

Insurance, bond and guarantee

25. *Takes note* of the work done on the guidance to improve the implementation of paragraph 11 of Article 6 of the Convention, on insurance, bond and guarantee;¹⁰

26. *Requests* the Committee to invite comments from Parties and others on the guidance by 30 September 2019, to review and update the guidance, as needed, for consultation with the Open-ended Working Group at its twelfth meeting, and to prepare a revised version of the guidance for consideration and possible adoption by the Conference of the Parties at its fifteenth meeting;

Review of the operation of the implementation fund

27. *Takes note* of the report on the review of the operation of the implementation fund and the conclusions set out therein;¹¹

III

Work programme for the biennium 2020–2021

28. *Approves* the work programme of the Committee for the biennium 2020–2021 set out in the annex to the present decision;

29. *Requests* the Committee:

- (a) To establish priorities, work methods and schedules for the activities in its work programme and to coordinate with the Open-ended Working Group, the Secretariat and the Basel Convention regional and coordinating centres to avoid duplication of activities;

⁷ See UNEP/CHW.14/INF/21, paras. 22 and 23.

⁸ UNEP/CHW.14/13/Add.2/Rev.1.

⁹ See UNEP/CHW/CC.13/INF/11, annex, appendix I, sect. III.4 of the questionnaire.

¹⁰ UNEP/CHW.14/13/Add.3.

¹¹ UNEP/CHW.14/INF/22.

(b) To consult Parties, in advance of the fifteenth meeting of the Conference of the Parties, on an annotated draft work programme for the biennium 2022–2023;

(c) To report to the Conference of the Parties at its fifteenth meeting on the work that it has carried out to fulfil its functions in accordance with paragraphs 23 and 24 of the terms of reference of the mechanism for promoting implementation and compliance;

IV

Election of members of the Committee

30. *Elects*, in accordance with the terms of reference of the mechanism for promoting implementation and compliance with the Basel Convention,¹² the following members to serve on the Committee until the close of the sixteenth meeting of the Conference of the Parties:

African States:

Mr. Paul-Babidou Zarabingui (Central African Republic)

Mr. Florisvindo Jaimilito Rodrigues Furtado (Cabo Verde)

Asia-Pacific States:

Mr. Mohamed Aman (Bahrain)

Mr. Hamed Alinejad (Iran, Islamic Republic of)

Central and Eastern European States:

Mr. Flavius Mihai Ardelean Motoc (Romania)

Ms. Gordana Vesligaj (Croatia)

Latin American and Caribbean States:

Ms. Jimena Nieto Carrasco (Colombia)

Ms. Odessa Duncan (Guyana)

Western European and other States:

Mr. Mark Govoni (Switzerland)

Ms. Nicole Mohammed (United Kingdom of Great Britain and Northern Ireland).

¹² See appendix to decision VI/12.

Annex to decision BC-14/15

Work programme of the Committee Administering the Mechanism for Promoting Implementation and Compliance for the biennium 2020–2021

I. Review of general issues of compliance and implementation under the Convention

<i>Objective</i>	<i>Activity</i>
1. National reporting Improve timely and complete national reporting under paragraph 3 of Article 13 of the Convention	(a) Classify and, as appropriate, publish information on Parties' compliance with their annual national reporting obligations for 2016 and 2017 based on the assumptions, criteria and categories adopted by the Conference of the Parties at its thirteenth meeting ¹ and the targets adopted by the Conference of the Parties at its fourteenth meeting; ² (b) Develop recommendations on the revision of targets referred to in paragraph 13 of decision BC-14/15 for the reports due for 2018 and subsequent years; (c) With a view to increasing the completeness and timeliness of national reporting under paragraph 3 of Article 13, explore how individual Parties can integrate national reporting needs under the Basel Convention into the United Nations Development Assistance Framework; (d) Monitor the activities undertaken by or with the support of the Basel Convention regional and coordinating centres, the United Nations Environment Programme and other entities aimed at assisting Parties to transmit national reports and develop recommendations on improving implementation and compliance with paragraph 3 of Article 13 of the Convention; (e) Develop recommendations on how best to make use of the information contained in the national reports as a means of improving timeliness and completeness of national reporting under paragraph 3 of Article 13 of the Basel Convention.
2. Illegal traffic Prevent and combat illegal traffic	(a) Based on the information provided by Parties in table 9 of their national reports, the forms for confirmed cases of illegal traffic notified to the Secretariat and information provided by relevant international organizations and entities such as the International Criminal Police Organization, World Customs Organization, United Nations Office for Drugs and Crime, United Nations Environment Programme, United Nations University, Organization for Security and Cooperation in Europe, Basel Convention regional and coordinating centres and European Union Network for the Implementation and Enforcement of Environmental Law, undertake a scoping exercise of the extent of illegal traffic with a view to estimating: (i) how many cases of illegal traffic there were; (ii) with respect to which wastes; (iii) in which regions; and (iv) how they were resolved; (b) To better assist Parties to enhance coordination between their competent authorities and enforcement entities, taking into account the information set out in document UNEP/CHW.14/23–UNEP/FAO/RC/COP.9/19–UNEP/POPS/COP.9/26, develop a better understanding of the reasons for: (i) any shortcomings in establishing coordination mechanisms; (ii) the limited amount of information on illegal traffic shared with the Secretariat; and (iii) what can be done to enhance coordination and increase the flow of information;

¹ Decision BC-13/9, para. 12.

² Decision BC-14/15.

<i>Objective</i>	<i>Activity</i>
	<ul style="list-style-type: none"> (c) Establish a dialogue with other multilateral environmental agreements with international trade control regimes to learn from their experience; (d) Review the information provided by Parties in response to question 1 (c) of the reporting format and make recommendations to improve the implementation of paragraphs 3 and 4 of Article 4 of the Convention as they relate to preventing and combating illegal traffic; (e) Review existing cooperative arrangements with international organizations or entities with a mandate regarding preventing and combating illegal traffic (including the International Criminal Police Organization, World Customs Organization, United Nations Office for Drugs and Crime, United Nations Environment Programme, United Nations University, Organization for Security and Cooperation in Europe, Basel Convention regional and coordinating centres and European Union Network for the Implementation and Enforcement of Environmental Law), including the terms of reference of the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), with a view to strengthening such arrangements; (f) Explore modalities for disseminating, especially to enforcement entities, existing guidance and technical assistance tools developed under the Convention to assist Parties to prevent and combat illegal traffic; (g) Oversee the activities undertaken under the Convention to prevent and combat illegal traffic more effectively and develop recommendations to improve implementation and compliance with Article 9 of the Convention.
3. National legislation Improve implementation of and compliance with paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention	<ul style="list-style-type: none"> (a) Invite Parties to undertake a self-review of their legislation for implementing the Convention, using the legislator's checklist,³ and to consider general trends; (b) Monitor progress achieved by Parties in transmitting to the Secretariat texts of national legislation and other measures adopted by them to implement and enforce the Convention; (c) Monitor requests for information received by the Secretariat from Parties aimed at facilitating the development and review of national legal frameworks, as well as the technical assistance activities of the Secretariat aimed at promoting the implementation of paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention; (d) Monitor activities undertaken by or with the support of the Basel Convention regional and coordinating centres, the United Nations Environment Programme and other entities aimed at assisting Parties to develop legal frameworks for the implementation of the Basel Convention; (e) Develop recommendations on how to improve implementation of and compliance with paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention, taking into account activity 2 (d) of the present work programme.
4. Control system Improve the implementation of and compliance with Article 6 of the Convention	<ul style="list-style-type: none"> (a) Review the information provided by Parties in response to questions 3 (g) and 3 (h) of the reporting format; (b) Finalize guidance on the implementation of paragraph 4 of Article 6 of the Convention⁴ by inviting and taking into account any additional comments from Parties and observers, including the World Customs Organization, through consultation with the Open-ended Working Group and through targeted exchanges with the United Nations Division for Ocean Affairs and the Law of the Sea, for consideration and possible adoption by the Conference of the Parties at its fifteenth meeting.

³ See Manual for the Implementation of the Basel Convention, annex I.

⁴ UNEP/CHW.14/INF/26.

<i>Objective</i>	<i>Activity</i>
5. Review and updating Generally improve the implementation of and compliance with the Convention	Regularly review the guidance on legal matters developed by the Committee (e.g., the Manual for the Implementation of the Basel Convention, the guide to the control system and the guidance on illegal traffic), based on periodic feedback from users and suggestions from stakeholders and in the light of decisions adopted by the Conference of the Parties, and make recommendations to the Conference of the Parties on their updating.

II. Specific submissions regarding Party implementation and compliance

1. The Committee shall accord priority to dealing with specific submissions regarding Party implementation and compliance received or initiated in accordance with paragraph 9 of the terms of reference of the mechanism for promoting implementation and compliance.
2. In relation to the implementation fund, the Committee shall make recommendations to the Executive Secretary on the allocation of the available resources from the implementation fund during the period between the fourteenth and fifteenth meetings of the Conference of the Parties to assist Parties in the context of the facilitation procedure set out in paragraphs 19 and 20 of the terms of reference of the mechanism for promoting implementation and compliance. The resources are intended to fund activities listed in the compliance action plans presented by Parties in relation to specific submissions and approved by the Committee.

BC-14/16: Providing further legal clarity

The Conference of the Parties

1. *Welcomes* the work undertaken by the expert working group on the review of Annexes I, III and IV and related aspects of Annex IX to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;
2. *Takes note* of the note by the co-chairs of the expert working group on the status of the work and recommendations on the way forward,¹ the information on the work of the group,² the recommendations for revisions to Annex IV and Annex IX (B1110) prepared by the expert working group³ and the comments from Parties and others received thereon;⁴
3. *Invites* Parties and others to submit to the Secretariat by 15 July 2019 further views on the recommendations for revisions to Annex IV prepared by the expert working group;⁵
4. *Extends* the mandate of the expert working group⁶ to also review entry B1110 in Annex IX and the mirror entry A1180 in Annex VIII, based on the work of the group on entry B1110 thus far;
5. *Requests* the expert working group to continue its work on the basis of the way forward set out in the annex to the present decision;
6. *Extends* the mandate of the expert working group⁷ to also review the consequential implications of the review of Annexes I, III and IV for other annexes of the Convention and for relevant decisions of the Conference of the Parties, inter alia, for the notification and movement documents and the reporting format;
7. *Requests* the Secretariat, subject to the availability of resources, to prepare an analysis of the possible consequential implications of the review of Annexes I, III and IV for other annexes of the Convention and for relevant decisions of the Conference of the Parties, inter alia, for the notification and movement documents and the reporting format, for the consideration of the expert working group;
8. *Requests* the expert working group to report on its findings on the possible consequential implications of the review of Annex IV for other annexes of the Convention and for relevant decisions of the Conference of the Parties, inter alia, for the notification and movement documents and the reporting format, following its own consideration of the matter, to the Open-ended Working Group at its twelfth meeting;
9. *Requests* the regional groups that have not yet nominated 10 experts with relevant expertise to serve as members of the expert working group to nominate the remaining experts by 31 July 2019 through their Bureau representatives, and requests the Secretariat to facilitate the nomination process;
10. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

¹ UNEP/CHW/OEWG.11/INF/30.

² UNEP/CHW.14/14.

³ UNEP/CHW.14/INF/23.

⁴ UNEP/CHW.14/INF/24/Rev.1.

⁵ UNEP/CHW.14/INF/23.

⁶ See section III of and annex II to decision BC-13/2 on the follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention.

⁷ See decision BC-13/2, section III and annex II.

Annex to decision BC-14/16

Way forward to the fifteenth and sixteenth meetings of the Conference of the Parties to the Basel Convention

COP 15

OEWG-12	COP 15
2020	2021
Annex IV: Amendment proposals are presented and discussed	Annex IV: Amendment proposals are negotiated and possibly adopted
Annex VIII (A1180): Amendment proposals are presented and discussed	Annex VIII (A1180): Amendment proposals are negotiated and possibly adopted
Annex IX (B1110): Amendment proposals are presented and discussed	Annex IX (B1110): Amendment proposals are negotiated and possibly adopted

COP 16

OEWG-13	COP 16
2022	2023
Annex I: Amendment proposals are presented and discussed	Annex I: Amendment proposals are negotiated and possibly adopted
Annex III: Amendment proposals are presented and discussed	Annex III: Amendment proposals are negotiated and possibly adopted

BC-14/17: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic

The Conference of the Parties

1. *Welcomes* the implementation and enforcement activities undertaken by the Secretariat,¹ and encourages the Secretariat to further develop those activities;
2. *Invites* enforcement organizations and networks to continue to actively engage in preventing and combating illegal traffic in hazardous wastes and other wastes, and to continue their collaboration with the Secretariat on activities aimed at assisting Parties to prevent and combat illegal traffic;
3. *Urges* Parties to fulfil their obligations set out in paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention, including by updating or developing stringent legislation on the control of transboundary movements of hazardous wastes and by incorporating into their national legislation appropriate sanctions or penalties for illegal traffic in hazardous wastes and other wastes;
4. *Encourages* Parties to continue to provide the Secretariat with the texts of national legislation and other measures adopted by them to implement and enforce the Convention;
5. *Invites* Parties to continue to share information, through the Secretariat, on best practices in preventing and combating illegal traffic, and to report confirmed cases of illegal traffic to the Secretariat using the prescribed form for confirmed cases of illegal traffic;
6. *Invites* Parties that have not yet provided the Secretariat with any of the information on national definitions of hazardous wastes required under Article 3 and paragraph 2 (b) of Article 13 of the Convention, including national lists, or any of the information on import or export restrictions or prohibitions required under paragraphs 1 (a) and (b) of Article 4 of the Convention and paragraphs 2 (c) and (d) of Article 13 of the Convention, to do so as soon as possible and to report, through their designated focal points, any subsequent significant change in that information, using the standardized reporting format or the revised format for national reporting for use by Parties in reporting for the year 2016 and subsequent years;
7. *Acknowledges* the importance of effective implementation of the Convention's provisions in paragraph 4 of Article 6 related to transit, recalls decision BC-13/9, urges Parties to ensure compliance with the Convention in accordance with paragraph 4 of Article 6, and urges stakeholders involved in transboundary movements of wastes, such as exporters and carriers, to comply with national legislation in relation to transit transboundary movements;
8. *Mandates* the Open-ended Working Group to consider at its twelfth meeting whether a common interpretation of the meaning of "State of transit" may be agreed upon;
9. *Requests* the Secretariat:
 - (a) To continue to maintain a collection of best practices for preventing and punishing illegal traffic, forms for reporting confirmed cases of illegal traffic, information on national definitions of hazardous wastes, including national lists, as well as information on import or export restrictions or prohibitions, and to continue to make that information available on the Convention website;
 - (b) To make information on national definitions of hazardous wastes, including national lists, as well as information on import or export restrictions or prohibitions, available in the six official languages of the United Nations, subject to the availability of resources;
 - (c) To provide Parties, upon request, with advice on matters pertaining to the implementation and enforcement of the Convention, including on the development and updating of national legislation or other measures, such as measures to protect themselves from unwanted imports of wastes, and with assistance in the identification of cases of illegal traffic;
 - (d) To continue to cooperate with enforcement organizations and networks;
 - (e) To build on and further develop tools and organize enforcement training activities, subject to the availability of resources, in collaboration with the regional and coordinating centres under the Basel Convention, the secretariats of other relevant multilateral environmental agreements and other international organizations, agencies or programmes, and to assist Parties, in particular

¹ See UNEP/CHW.14/15.

developing-country Parties and Parties with economies in transition, to develop national legislation and other measures to implement and enforce the Convention and to prevent and punish illegal traffic;

(f) To report on the implementation of the present decision to the Conference of the Parties at its fifteenth meeting.

BC-14/18: Technical assistance

I

Technical assistance

The Conference of the Parties

1. *Takes note* of the report on the implementation of the technical assistance plan for the period 2018–2021 in the biennium 2018–2019¹ and the work carried out on monitoring and evaluation;
2. *Invites* developing-country Parties and Parties with economies in transition to submit to the Secretariat, by 31 March 2020, information on their needs for technical assistance and technology transfer, in accordance with the provisions of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal;
3. *Invites* developed-country Parties and others with the capacity to do so to submit to the Secretariat, by 31 March 2020, information on the technical assistance and technology that they have available to be transferred, in accordance with the provisions of the Basel Convention, to developing-country Parties and Parties with economies in transition;
4. *Requests* the Secretariat to continue to collect relevant information on technical assistance for the implementation of the Basel Convention, including information available online, submitted by Parties and other stakeholders or available through other means, such as information related to the Stockholm Convention financial mechanism, in the database referred to in decisions BC-12/9, RC-7/7 and SC-7/16;
5. *Notes* that the technical assistance plan for the implementation of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants for the period 2018–2021² provides Parties with opportunities for training and capacity-building;
6. *Encourages* Parties, the United Nations Environment Programme, the Food and Agriculture Organization of the United Nations, the Global Environment Facility and the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management, according to their mandates and the priorities that have been established, to continue to support the technical assistance plan for the implementation of the Basel, Rotterdam and Stockholm conventions for the period 2018–2021;
7. *Encourages* relevant Parties, in line with Article 10 of the Basel Convention, Article 16 of the Rotterdam Convention and Article 12 of the Stockholm Convention, and invites others in a position to do so to support the implementation of the technical assistance plan for the implementation of the Basel, Rotterdam and Stockholm conventions for the period 2018–2021;
8. *Requests* the Secretariat, subject to the availability of resources:
 - (a) To continue to implement the technical assistance plan for the period 2018–2021 in cooperation with relevant actors;
 - (b) To develop an online survey to collect the information from Parties in accordance with paragraphs 2, 3 and 4 of the present decision, to make the information available on the websites of the conventions, and to prepare a report on the assessment of the information on the needs of developing-country Parties and Parties with economies in transition for technical assistance and technology transfer, based on the information submitted by Parties;
 - (c) To continue to include information on the monitoring and evaluation of projects undertaken under the technical assistance plan for the period 2018–2021 in the report requested in paragraph 10 of the present decision;
 - (d) To develop a technical assistance plan for the period 2022–2025, taking into account the reports referred to in subparagraphs 8 (b) and (c) of the present decision, and to present it for consideration by the Conference of the Parties at its next meeting;

¹ UNEP/CHW.14/INF/25/Rev.1–UNEP/FAO/RC/COP.9/INF/24/Rev.1–UNEP/POPS/COP.9/INF/25/Rev.1.

² UNEP/CHW.13/INF/36–UNEP/FAO/RC/COP.8/INF/26–UNEP/POPS/COP.8/INF/25.

9. *Emphasizes* the key role of the regional centres, as set out in the provisions of the Basel and Stockholm conventions, as well as the regional, subregional and country offices of the Food and Agriculture Organization of the United Nations, the United Nations Environment Programme and other participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals, in delivering technical assistance upon request, particularly at the regional level, for the Basel, Rotterdam and Stockholm conventions and facilitating technology transfer to eligible Parties;

10. *Requests* the Secretariat to report to the Conference of the Parties at its next meeting on the implementation of the present decision, including in particular the continued and effective use of the database for the collection of relevant information;

II

Basel Convention regional and coordinating centres

11. *Emphasizes* the role of the regional and coordinating centres in enhancing the provision of technical assistance for capacity-building to support the national efforts of developing countries and countries with economies in transition to implement the chemicals and waste conventions in accordance with their core functions;

12. *Also emphasizes* the role of the regional and coordinating centres in the promotion of technology transfer relating to the implementation of the Basel Convention, and invites them to cooperate and coordinate among themselves and with relevant partners in areas of expertise in which they are able to provide assistance;

13. *Takes note of:*

(a) The activity reports for the period January 2017–December 2018³ submitted by the Basel Convention regional and coordinating centres;

(b) The report on the activities of the regional and coordinating centres;⁴

(c) The full draft evaluation report on the performance and sustainability of the 13 Basel Convention regional and coordinating centres prepared by the Secretariat⁵ and the summary of the draft evaluation report;⁶

14. *Also takes note of* the work done by the Basel Convention regional and coordinating centres on follow-up to the Partnership for Action on Computing Equipment;

15. *Welcomes* the extensive work that the regional and coordinating centres have already done on the impact of plastic waste, including marine plastic litter and microplastics, and measures for prevention and environmentally sound management, and invites them to continue their activities;

16. *Also welcomes* the procurement capacity assessment⁷ conducted as an integral part of the evaluation of the performance and sustainability of the Basel Convention regional and coordinating centres established under the Convention;⁸

17. *Notes* that it has evaluated, in accordance with the interim criteria and interim methodology set out respectively in annex I and annex II to decision BC-11/13, the performance and sustainability of the 13 Basel Convention regional and coordinating centres established in accordance with decisions III/19, VI/6, VI/8 and VII/10;

18. *Also notes* the performance of the regional centres, and calls for sustained efforts to enhance their performance and their action to support developing-country Parties;

19. *Requests* the Basel Convention regional and coordinating centres to submit to the Secretariat for consideration by the Conference of the Parties at its fifteenth meeting:

(a) Their business plans for the period 1 January 2020–31 December 2023 by 30 September 2019;

(b) Their activity reports for the period 1 January 2019–31 December 2020 by 31 December 2020;

³ Available at www.basel.int/Partners/RegionalCentres/ActivityReports/tabid/2992/Default.aspx.

⁴ See UNEP/CHW.14/INF/29–UNEP/POPS/COP.9/INF/28.

⁵ See UNEP/CHW.14/INF/28/Rev.1–UNEP/POPS/COP.9/INF/27/Rev.1.

⁶ UNEP/CHW.14/17, annex.

⁷ UNEP/CHW.14/INF/28/Rev.1–UNEP/POPS/COP.9/INF/27/Rev.1, annex II.

⁸ See decisions III/19, VI/6, VI/8 and VII/10.

20. *Requests* the Secretariat:

- (a) To prepare a report on the activities of the Basel Convention regional and coordinating centres for consideration by the Conference of the Parties at its fifteenth meeting;
- (b) To prepare a report on the evaluation of the Basel Convention regional and coordinating centres, based on the interim criteria and interim methodology referred to in paragraph 17 of the present decision, for consideration by the Conference of the Parties at its sixteenth meeting;
- (c) To undertake the following activities to facilitate the work of the regional centres, subject to the availability of resources:
 - (i) Organize annual meetings of the directors of the regional centres under the Basel Convention and the Stockholm Convention with a view to enhancing the performance of the regional centres and fostering cooperation and collaboration among them, and attend meetings of the regional centre steering committees;
 - (ii) Facilitate the implementation of regional, subregional and national projects based on the business plans or workplans of the regional centres through the Small Grants Programme of the conventions;
 - (iii) Foster the activities of the regional centres to increase their visibility;

21. *Invites* the Governments of the Russian Federation and Slovakia and authorizes the Secretariat to take the steps necessary to effect the signing, pursuant to decision VI/3, of framework agreements to formalize the establishment of Basel Convention regional centres for the Central and Eastern European region in the Russian Federation and Slovakia;

22. *Decides* to select Panama to host the Basel Convention regional centre to be established for the Central America and Mexico subregion, and authorizes the Secretariat to take the steps necessary to effect the signing, pursuant to decision VI/3 and paragraph 11 of decision BC-13/11, of a framework agreement with the Government of Panama on the establishment of the Basel Convention regional centre to serve the Central America and Mexico subregion;

23. *Also decides* to evaluate, in accordance with the interim criteria and interim methodology set out in annexes I and II to decision BC-11/13, the performance and sustainability of the Basel Convention regional and coordinating centres at its sixteenth meeting and every four years thereafter;

24. *Invites* Parties, observers and financial institutions in a position to do so to provide financial support to enable Basel Convention regional and coordinating centres to implement their business plans with the aim of supporting Parties in their efforts to meet their obligations under the Convention.

BC-14/19: Basel Convention Partnership Programme

The Conference of the Parties,

I

Follow-up partnership to the Partnership for Action on Computing Equipment

Recalling its decisions VI/32 on partnership with environmental non-governmental organizations and with the industry and business sectors, VII/3 on the Basel Convention Partnership Programme, VIII/2 on creating innovative solutions through the Basel Convention for the environmentally sound management of electrical and electronic wastes, VIII/5 on the Basel Convention Partnership Programme and 13/12 on the Partnership for Action on Computing Equipment,

Having regard to the Basel Declaration on Environmentally Sound Management¹ and the Nairobi Declaration on the Environmentally Sound Management of Electrical and Electronic Waste,²

Noting the rapid increase in the amount of electrical and electronic equipment used and purchased globally, which has led to an increasing volume of used and end-of-life electrical and electronic equipment, including computing equipment, which in many instances is not being managed in an environmentally sound manner,

Noting also the potential life-cycle benefits of reusing and recycling used and end-of-life electrical equipment and electronics in an environmentally sound manner, such as reducing greenhouse-gas emissions, conserving natural resources, and providing sustainable economic and social development opportunities in developing countries and countries with economies in transition,

Noting further the importance of the transboundary movement controls under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal to the achievement of environmental protection,

Acknowledging that dissemination of the guidance developed by the Partnership for Action on Computing Equipment and the Mobile Phone Partnership Initiative and other relevant technical guidelines and guidance can contribute to improved implementation of environmentally sound management of end-of-life computing equipment and possibly of other end-of-life electrical and electronic equipment, in particular in developing countries and countries with economies in transition,

Welcoming the proposal of the interim group on a follow-up partnership to the Partnership for Action on Computing Equipment (hereinafter “the Partnership”),

1. *Takes note* of the concept note developed by the interim group as set out in annex I of document UNEP/CHW.14/INF/30, and agrees, in principle, with the terms of reference and the programme of work of the Partnership, as developed by the interim group and set out in annexes II and III of that document;
2. *Emphasizes* that the Partnership does not have the authority to create additional rights or responsibilities for, or abrogate existing rights or responsibilities of, Parties to the Basel Convention;
3. *Takes note* of the funding proposals for the Partnership set out in annex II of document UNEP/CHW.14/INF/30;
4. *Decides* to establish a working group of the Partnership that will operate under the guidance of the Open-ended Working Group;
5. *Invites* Parties, signatories and all other stakeholders, including manufacturers, recyclers, refurbishers, academia, relevant e-waste platforms, non-governmental and intergovernmental organizations and former partners of the Partnership for Action on Computing Equipment to indicate their interest in participating in the working group of the Partnership to the Secretariat no later than 30 September 2019, having regard to the specific expertise and experience required to participate in the activities of the working group;
6. *Invites* Parties and others to submit comments on the terms of reference and the programme of work referred to in paragraph 1 of the present decision to the working group of the Partnership, through the Secretariat, by 30 September 2019;

¹ Adopted by decision V/1 and set out in document UNEP/CHW.5/29, annex II.

² Set out in document UNEP/CHW.8/16, annex IV.

7. *Requests* the working group of the Partnership to prepare a revised version of both the terms of reference and the programme of work, including to prioritize tasks in the programme of work and outline the structure of the leadership of the Partnership, and taking into account comments from Parties and others, and to submit them for consideration by the Open-ended Working Group at its twelfth meeting;

8. *Mandates* the Open-ended Working Group to adopt, at its twelfth meeting, the terms of reference and the programme of work on behalf of the Conference of the Parties;

9. *Requests* the working group of the Partnership to undertake the activities in the programme of work, starting with the following priority activities as set out in Annex III to document UNEP/CHW.14/INF/30:

- (a) Translation of the current guidance documents into additional languages;
- (b) Dissemination activities;

and to report on its progress to the Open-ended Working Group at its twelfth meeting;

10. *Also requests* the working group of the Partnership to coordinate and collaborate, as appropriate, on activities with other organizations and initiatives to establish synergies and prevent duplication of work;

11. *Requests* the Secretariat, subject to the availability of resources, to facilitate the work of and provide expertise to the Partnership, including to collect and disseminate information on the steps taken by Parties to enhance the environmentally sound management of electronic and electrical waste at the national level;

12. *Encourages* Parties and signatories to the Convention and members of industry and international governmental and non-governmental organizations to participate actively in the Partnership and to make financial or in-kind contributions, or both, also taking into account the financial arrangements in the terms of reference, in order:

- (a) To facilitate the participation of developing countries and countries with economies in transition as well as the Basel Convention regional and coordinating centres and the Stockholm Convention regional and subregional centres in the Partnership;
- (b) To facilitate the development of tools and the implementation of activities;

13. *Requests* the Open-ended Working Group to report to the Conference of the Parties at its fifteenth meeting on its implementation of paragraph 8 of the present decision;

II

Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic

14. *Takes note* of the progress report of the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic,³ and acknowledges the progress made by the Network since the thirteenth meeting of the Conference of the Parties;

15. *Encourages* members of the Network to continue to collaborate by exchanging experiences, providing relevant information and undertaking capacity-building activities to prevent and combat illegal traffic;

16. *Invites* the International Criminal Police Organization, the World Customs Organization and the United Nations Office on Drugs and Crime to consider joining the Network as members, and invites other entities with a specific mandate to deliver implementation and enforcement capacity-building activities that could assist Parties to the Basel Convention in preventing and combating illegal traffic of hazardous wastes and other wastes, to consider sending a duly motivated request to the Chair of the Network regarding admission as members of the Network;

17. *Elects* the following representatives of five Parties to the Basel Convention to serve as members of the Network until the fifteenth meeting of the Conference of the Parties:

African States: Ms. Marianne Pulchérie Sessito Donoumassou Simeon (Benin)

Asia-Pacific States: Mr. Mazhar Hayat (Pakistan)

Central and Eastern European States: Mr. Florin-Constantin Homorean (Romania)

³ UNEP/CHW.14/INF/31, annex.

Latin American and Caribbean States: Ms. Leila Devia (Argentina)

Western European and other States: Ms. Katie Olley (United Kingdom of Great Britain and Northern Ireland)

18. *Designates* the following four representatives of the Basel Convention regional and coordinating centres to serve as members of the Network until the fifteenth meeting of the Conference of the Parties:

African region: Basel Convention Regional Centre for the English-speaking African Countries, in South Africa

Asia-Pacific region: Basel Convention Regional Centre for South-East Asia, in Indonesia

Central and Eastern European region: Basel Convention Regional Centre for Central Europe, in Slovakia

Latin American and Caribbean region: Basel Convention Regional Centre for the Caribbean Region, in Trinidad and Tobago

19. *Requests* the Secretariat, subject to the availability of resources, to continue to facilitate and provide expertise to the Network and to organize annual meetings of the Network, and to report to the Conference of the Parties at its fifteenth meeting on the Network's activities;

III

Household Waste Partnership

20. *Takes note* of the draft overall guidance document on the environmentally sound management of household waste developed by the working group of the Household Waste Partnership;⁴

21. *Requests* the working group to prepare a complete draft of the overall guidance document, taking into account the discussions at the fourteenth meeting of the Conference of the Parties and the comments received thus far, and taking into careful consideration the existing guidance under the Basel Convention, in particular on environmentally sound management, by 31 October 2019;

22. *Invites* Parties and others to provide comments thereon to the Secretariat by 31 December 2019;

23. *Requests* the working group to prepare a revised draft of the overall guidance document, taking into account the comments received in accordance with paragraph 22 of the present decision, for consideration by the twelfth meeting of the Open-ended Working Group as an information document;

24. *Also requests* the working group:

(a) To implement the workplan set out in the annex to the present decision;

(b) To coordinate closely with the new Partnership on Plastic Waste established by decision BC-14/13 to prevent overlap in their respective work programmes and to share lessons learned;

25. *Decides* that the Household Waste Partnership shall operate by electronic means and shall hold physical meetings, subject to the availability of resources;

26. *Requests* the Secretariat:

(a) To make the comments received pursuant to paragraph 22 of the present decision available on the website of the Convention and to the working group;

(b) To continue to facilitate and provide expertise to the working group and organize meetings of the working group, subject to the availability of resources;

(c) To report on progress in the implementation of the present decision to the Open-ended Working Group at its twelfth meeting and to the Conference of the Parties at its fifteenth meeting.

⁴ UNEP/CHW.14/INF/32.

Annex to decision BC-14/19

Household Waste Partnership workplan for the biennium 2020-2021

The following tasks are to be undertaken by the working group of the Household Waste Partnership and any project groups established thereunder:

- (a) Further develop the draft overall guidance document on the environmentally sound management of household waste;
- (b) Collect case studies from various regions related to the topics addressed in the guidance document;
- (c) Enhance awareness-raising activities and training on the environmentally sound management of household waste and enhance people's participation in household waste management activities and decision-making;
- (d) Coordinate outreach activities and cooperation with other organizations working on household waste management, including the Partnership on Plastic Waste.

BC-14/20: Work programme of the Open-ended Working Group for the biennium 2020–2021

The Conference of the Parties

Adopts the work programme of the Open-ended Working Group for the biennium 2020–2021 set out in the annex to the present decision.

Annex to decision BC-14/20

Work programme of the Open-ended Working Group for the biennium 2020–2021

<i>Topics</i>	<i>Activities</i>	<i>Mandate</i>	<i>Priority</i>
I. Strategic issues			
A. Strategic framework	Consider a draft report on the final evaluation of the strategic framework for consideration by the Conference of the Parties at its fifteenth meeting.	Decision BC-14/1	High
B. Development of guidelines for environmentally sound management	Consider the revised version of the draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements, taking into account the comments from Parties and others.	Decision BC-14/3	High
II. Scientific and technical matters			
A. Technical guidelines	1. Consider comments and information relating to the review of provisional low persistent organic pollutant content values in the general technical guidelines referred to in decision BC-14/4 and other technical guidelines, as appropriate.	Decision BC-14/4	High
	2. Update the general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants and update specific technical guidelines with regard to the chemicals listed in Annex A to the Stockholm Convention by decisions SC-9/11 and SC-9/12 of the Conference of the Parties to the Stockholm Convention and to the amendment, by decision SC-9/4, of the listing of perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride (PFOSF) in Annex B to the Stockholm Convention, including the following:	Decision BC-14/4	High

<i>Topics</i>	<i>Activities</i>	<i>Mandate</i>	<i>Priority</i>
	(a) Establishment of levels of destruction and irreversible transformation for the chemicals necessary to ensure that when disposed of they do not exhibit the characteristics of persistent organic pollutants specified in paragraph 1 of Annex D to the Stockholm Convention;		
	(b) Determination of which disposal methods constitute environmentally sound disposal as referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention;		
	(c) Establishment, as appropriate, of the concentration levels of the chemicals in order to define for them low persistent organic pollutant content as referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention.		
	3. Consider comments and information relating to the use and testing, on a pilot basis, of the technical guidelines on transboundary movements of electrical and electronic waste and used electrical and electronic equipment, and the results of these activities.	Decision BC-14/5	High
	4. Consider the draft updated technical guidelines on incineration on land (D10) with an extended scope to also address incineration as covered by the operation “use as a fuel (other than in direct incineration) or other means to generate energy” (R1), and the draft updated technical guidelines on specially engineered landfill (D5).	Decision BC-14/6	High
	5. Consider whether the draft updated technical guidelines on hazardous waste physico-chemical treatment (D9) and biological treatment (D8) should be updated.	OEWG-11/15	Medium
	6. Consider the draft updated technical guidelines on the environmentally sound management of wastes consisting of, containing or contaminated with mercury or mercury compounds.	Decision BC-14/8	High
	7. Consider whether the technical guidelines for the environmentally sound management of waste lead-acid batteries referred to in decision VI/22 should be updated.	Decision BC-14/7	Medium
	8. Consider the draft updated technical guidelines for the identification and environmentally sound management of plastic wastes and for their disposal.	Decision BC-14/13	High
B. National reporting	Consider the draft practical guidance on the development of inventories for the waste streams as set out in decision BC-14/10.	Decision BC-14/10	High
C. Electronic approaches to the notification and movement documents	Consider progress made on the activities pertaining to an electronic system for the notification and movement of hazardous and other wastes, set out in decision BC-14/11.	Decision BC-14/11	Medium

<i>Topics</i>	<i>Activities</i>	<i>Mandate</i>	<i>Priority</i>
D. Plastic waste	1. 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.	Decision BC-14/13	High
	2. Consider 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.	Decision BC-14/13	High
E. Waste containing nanomaterials	Consider information related to activities aimed at addressing issues related to waste containing nanomaterials.	Decision BC-14/14	Medium
F. Amendments to the annexes to the Basel Convention	Consider and review any applications for changes and any corrections to the lists of wastes contained in Annexes VIII and IX to the Basel Convention.	Decision VIII/15	High
III. Legal, governance and enforcement matters			
A. Consultation with the Committee	1. Consult with the Committee towards the finalization of the guidance to improve the implementation of paragraph 11 of Article 6 of the Convention, on insurance, bond and guarantee. ¹	Decision BC-14/15	High
Administering the Mechanism for Promoting Implementation and Compliance	2. Consult with the Committee towards the finalization of guidance on the implementation of paragraph 4 of Article 6 of the Convention on transit transboundary movements. ²	Decision BC-14/15	High
B. Providing further legal clarity	1. Consider the proposals for amendments to annexes IV, VIII (A1180) and IX (B1110) prepared by the expert working group on the review of Annexes I, III and IV and related aspects of Annexes VIII and IX.	Decision BC-14/16	High
	2. Consider the findings of the expert working group on the review of Annexes I, III and IV and related aspects of Annexes VIII and IX on the possible consequential implications of the review of Annex IV for other annexes of the Convention and for relevant decisions of the Conference of the Parties, including, inter alia, for the notification and movement documents and the reporting format.	Decision BC-14/16	High
	3. Consider the findings of the expert working group on the review of Annexes I, III and IV and related aspects of Annexes VIII and IX to the Basel Convention to consider, as part of its mandate, whether any additional constituents or characteristics in relation to plastic waste should be added to Annex I or III, respectively, to the Convention.	Decision BC-14/13	Medium

¹ UNEP/CHW.14/13/Add.3.

² UNEP/CHW.14/INF/26.

<i>Topics</i>	<i>Activities</i>	<i>Mandate</i>	<i>Priority</i>
C. National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic	Consider whether a common interpretation of the meaning of “State of transit” may be agreed upon.	Decision BC-14/17	Medium
IV. International cooperation and coordination			
A. Basel Convention Partnership Programme	1. Adopt, on behalf of the Conference of the Parties, the terms of reference and programme of work of the follow-up partnership to the Partnership for Action on Computing Equipment.	Decision BC-14/19	High
	2. Consider progress in the implementation of the priority activities of the work programme of the working group of the follow-up partnership to the Partnership for Action on Computing Equipment.	Decision BC-14/19	High
	3. Consider the revised draft of the overall guidance document on the environmentally sound management of household waste and progress made in the implementation of the workplan of the working group of the Household Waste Partnership for the biennium 2020–2021.	Decision BC-14/19	High
	4. Consider progress made and provide guidance on the implementation of the workplan of the Partnership on Plastic Waste for the biennium 2020–2021.	Decision BC-14/13	High
B. Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System	Consider progress made with regard to the inclusion of Basel Convention wastes in the World Customs Organization Harmonized Commodity Description and Coding System.	Decision BC-14/9	High

BC-14/21: International cooperation and coordination

The Conference of the Parties

1. *Welcomes* the ministerial declarations and the resolutions adopted by the United Nations Environment Assembly at its third and fourth sessions, and joins in the expression of deep concern that our planet is increasingly polluted and in the encouragement to Governments and all other stakeholders to contribute to the effective implementation of the plan “Towards a Pollution-Free Planet”;¹
2. *Joins* the Environment Assembly in emphasizing the need for urgent and resolute action to implement the 2030 Agenda for Sustainable Development² on matters related to the sound management of chemicals and waste, including through relevant improvements to the current international framework for the sound management of chemicals and waste;
3. *Calls upon* all Parties and other stakeholders to intensify and prioritize efforts on the sound management of chemicals and waste towards the achievement by 2020 of target 12.4 of the 2030 Agenda for Sustainable Development, in line with Environment Assembly resolution 4/8 on the sound management of chemicals and waste, including through technical assistance and capacity-building, to enable Parties to meet the relevant goals and targets of the 2030 Agenda as soon as possible;
4. *Requests* the Executive Secretary to cooperate with the Executive Director of the United Nations Environment Programme in fostering the implementation of Environment Assembly resolutions related to the sound management of chemicals and waste and of the plan “Towards a Pollution-Free Planet” in areas relevant to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants;
5. *Takes note* of the report by the Secretariat on international cooperation and coordination during the period 1 January 2017–31 December 2018,³ the information provided by the secretariat of the Strategic Approach to International Chemicals Management on the Strategic Approach and the sound management of chemicals and wastes beyond 2020,⁴ and the information on activities undertaken by the United Nations Environment Programme on programmatic matters pertaining to the Basel, Rotterdam and Stockholm conventions;⁵
6. *Requests* the Secretariat:
 - (a) To continue to make available to the United Nations Environment Programme information relevant to the follow-up and review of the 2030 Agenda for Sustainable Development submitted to it by Parties;
 - (b) To continue to cooperate with the United Nations Environment Programme, the Statistics Division of the Department of Economic and Social Affairs of the United Nations Secretariat and other relevant organizations in the development of methodologies for indicators relevant to the Basel, Rotterdam and Stockholm conventions;
 - (c) To continue, subject to the availability of resources, to assist Parties, upon request, in their efforts to integrate relevant elements of the conventions into their national plans and strategies for sustainable development and, as appropriate, legislation;
 - (d) To continue to work closely with other international organizations, within the scope of their mandates, on activities related to marine plastic litter and microplastics;
 - (e) To continue to participate as an observer, upon invitation, at relevant meetings of the Inter-Organization Programme for the Sound Management of Chemicals, pending the outcome of the actions mentioned in paragraph 8 of the present decision;
7. *Notes* the intention to establish an e-waste coalition composed of the International Labour Organization, the International Telecommunication Union, the International Trade Centre, the United Nations Environment Programme, the United Nations Industrial Development Organization,

¹ UNEP/EA.3/HLS.1.

² General Assembly resolution 70/1.

³ UNEP/CHW.14/INF/36–UNEP/FAO/RC/COP.9/INF/29–UNEP/POPS/COP.9/INF/38.

⁴ UNEP/CHW.14/INF/54–UNEP/FAO/RC/COP.9/INF/44–UNEP/POPS/COP.9/INF/57.

⁵ UNEP/CHW.14/INF/37–UNEP/FAO/RC/COP.9/INF/30–UNEP/POPS/COP.9/INF/39.

the United Nations Institute for Training and Research, the United Nations University, the United Nations Human Settlements Programme, the World Health Organization and the Secretariat that would provide a framework for coordination and collaboration on United Nations system-wide support for e-waste management, and requests the Secretariat, should the coalition be established, to cooperate, as appropriate and subject to the availability of resources, with those members of the coalition that belong to the United Nations system;

8. *Invites* the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals to consider inviting the Basel, Rotterdam and Stockholm conventions to become members of the Programme, and requests the Executive Secretary to take the necessary steps for membership and participation in the Programme;

9. *Requests* the Secretariat to continue to enhance cooperation and coordination with the secretariat of the Minamata Convention on Mercury in programmatic areas such as mercury wastes and their environmentally sound management, capacity-building and the provision of technical assistance, including through regional centres and in other relevant areas of mutual interest to the Basel, Rotterdam and Stockholm conventions;

10. *Also requests* the Secretariat to continue to enhance cooperation and coordination with the secretariat of the Strategic Approach and with other international organizations in areas of relevance to the Basel, Rotterdam and Stockholm conventions, including with the organizations and activities listed in the report by the Secretariat on international cooperation and coordination for the period 1 January 2017–31 December 2018;

11. *Further requests* the Secretariat to report on the implementation of the present decision to the Conference of the Parties at its next meeting.

BC-14/22: Cooperation between the joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the secretariat of the Minamata Convention

The Conference of the Parties,

Recalling that the Executive Director of the United Nations Environment Programme performs secretariat functions for the Basel, Rotterdam and Stockholm conventions as well as for the Minamata Convention on Mercury,

Emphasizing the successive decisions of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions to enhance cooperation and coordination with the secretariat of the Minamata Convention, maximizing the effective and efficient use of resources at all levels, including the provision of any secretariat support that may be requested and is fully funded by the Conference of the Parties to the Minamata Convention,

Welcoming decision MC-2/7 of the Conference of the Parties to the Minamata Convention regarding cooperation between the secretariat of the Minamata Convention and the Secretariat of the Basel, Rotterdam and Stockholm Conventions and the invitation contained therein for the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions to consider adopting, at their next meeting, corresponding decisions on this matter,

1. *Requests* the Executive Director of the United Nations Environment Programme, in the capacity of performing secretariat services for the Basel, Rotterdam and Stockholm conventions:

(a) Mindful of the legal autonomy of the respective secretariats, to maximize the effective and efficient use of resources of the Basel, Rotterdam and Stockholm conventions, including through the sharing of relevant secretariat services with the Minamata Convention, which are performed by the Executive Director of the United Nations Environment Programme, as appropriate, and to implement relevant arrangements as soon as feasible;

(b) To submit an operative proposal, prepared together with the Executive Secretary of the Basel and Stockholm conventions and the United Nations Environment Programme part of the Rotterdam Convention and with the support of the Executive Secretary of the Minamata Convention, on a stable framework for sharing of relevant services in areas such as conference services, knowledge and information management, administrative and information technology services, technical assistance, legal advice and budget preparation, including possible options, for consideration by the conferences of the Parties at their next meeting;

2. *Requests* the Executive Secretary of the Basel and Stockholm conventions and the United Nations Environment Programme part of the Rotterdam Convention to take into consideration paragraph 1 of the present decision in the implementation of the programme of work and budget for the biennium 2020–2021, in line with the continued mandate on this matter contained in decisions BC-13/24, RC-8/17 and SC-8/27;

3. *Requests* the Executive Director of the United Nations Environment Programme to inform the Executive Secretary of the Minamata Convention and the Conference of the Parties to that Convention, at its next meeting, of the present decision, and of any relevant secretariat arrangements already established or being developed or considered pursuant to the present decision.

BC-14/23: Clearing house mechanism for information exchange

The Conference of the Parties

1. *Welcomes* the progress made in the implementation of the joint clearing house mechanism;
2. *Also welcomes* the work of the Secretariat in preparing a draft workplan for the implementation of the joint clearing house mechanism for the biennium 2020–2021;¹
3. *Requests* the Secretariat:
 - (a) To continue the work to implement the strategy of the joint clearing house mechanism² in a gradual and cost-effective manner;
 - (b) To implement the maintenance activities of the clearing house mechanism workplan for the biennium 2020–2021 mentioned in paragraph 2 of the present decision in accordance with the programme of work and budget for the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal for the biennium, while prioritizing recurring activities, in particular with respect to the maintenance of existing systems;
 - (c) To implement, subject to the availability of resources, the new activities of the clearing house mechanism workplan for the biennium 2020–2021 mentioned in paragraph 2 of the present decision in accordance with the programme of work and budget for the Basel Convention for the biennium;
4. *Also requests* the Secretariat:
 - (a) To ensure that activities undertaken in the development of the clearing house mechanism are cost-effective, proportionate and balanced and in line with the capacity and resources of the Secretariat;
 - (b) To participate in meetings by electronic means where possible and to use translations that are already available in the six official languages of the United Nations;
 - (c) To utilize the clearing house mechanism to gather information about regional and national initiatives related to waste management, including those on plastic waste, taking into account and in cooperation with other initiatives;
 - (d) 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 and avoid duplication with existing and future activities, tools and mechanisms;
 - (e) To expand its collaboration with the secretariat of the Minamata Convention on Mercury to exchange information and share experiences and best practices regarding the use of existing clearing house mechanism systems;
5. *Invites* Parties and observers to participate, as appropriate, in the development of the joint clearing house mechanism strategy and in relevant activities of the workplan in accordance with the present decision;
6. *Requests* the Secretariat to keep the strategy under regular review in order to take into account lessons learned and relevant developments with regard to matters such as the multisectoral and multi-stakeholder discussions on the sound management of chemicals and waste beyond 2020.

¹ UNEP/CHW.14/INF/39–UNEP/FAO/RC/COP.9/INF/32–UNEP/POPS/COP.9/INF/41.

² UNEP/CHW.13/INF/47–UNEP/FAO/RC/COP.8/INF/33–UNEP/POPS/COP.8/INF/50.

BC-14/24: Synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes

The Conference of the Parties,

Recalling decisions BC-13/21, RC-8/14 and SC-8/24, on synergies in preventing and combating illegal traffic and trade in hazardous chemicals and wastes,

1. *Takes note* of the information provided by Parties about their experience with the establishment of coordinating mechanisms and lessons learned from such experience, and about cases of illegal trade in hazardous chemicals and wastes;¹
2. *Encourages* Parties that have not yet done so to establish national-level coordination mechanisms with a view to facilitating the exchange of information among relevant authorities responsible for the implementation and enforcement of the provisions of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants, aimed at controlling the export and import of the chemicals and wastes covered under the conventions, and encourages Parties to provide information to the Secretariat about cases of illegal traffic and trade in the chemicals and wastes covered by the Basel, Rotterdam and Stockholm conventions, where the provision of such information is appropriate under existing reporting procedures;
3. *Takes note* of the report, including recommendations, on further areas in which legal clarity could be improved, prepared by the Secretariat;²
4. *Also takes note* of the information provided by the member organizations of the Inter-Organization Programme for the Sound Management of Chemicals, the Basel Convention and Stockholm Convention regional centres, the International Criminal Police Organization, the World Customs Organization, the secretariat of the Montreal Protocol on Substances that Deplete the Ozone Layer and relevant global and regional enforcement networks about their activities aimed at preventing and combating illegal traffic and trade in hazardous chemicals and wastes as well as lessons learned from those activities;³
5. *Encourages* the organizations mentioned in paragraph 4 of the present decision to undertake activities aimed at assisting Parties to the Basel, Rotterdam and Stockholm conventions to prevent and combat illegal traffic and trade in hazardous chemicals and wastes, and to inform the Secretariat thereof;
6. *Requests* the Secretariat:
 - (a) To develop, taking into account lessons learned from experience with the Basel Convention, a draft form and explanatory document to enable Parties to the Rotterdam and Stockholm conventions to voluntarily provide information about cases of trade occurring in contravention of those conventions, for comments by Parties and subsequent consideration by the conferences of the Parties to the Rotterdam and Stockholm conventions at their next meetings;
 - (b) To prepare, taking into account existing information⁴ as well as the information received pursuant to paragraph 5 of the present decision, recommendations concerning opportunities for strengthened cooperation for consideration by the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions at their next meetings;
 - (c) To continue to provide advice and, subject to the availability of resources, undertake technical assistance activities to strengthen the capacity of Parties to prevent and combat illegal traffic and trade in the chemicals and wastes covered by the Basel, Rotterdam and Stockholm conventions;
 - (d) To report on the implementation of the present decision to the Conference of the Parties at its next meeting.

¹ UNEP/CHW.14/23–UNEP/FAO/RC/COP.9/19–UNEP/POPS/COP.9/26 and UNEP/CHW.14/INF/42–UNEP/FAO/RC/COP.9/INF/33–UNEP/POPS/COP.9/INF/42, annex I.

² UNEP/CHW.14/INF/41–UNEP/FAO/RC/COP.9/INF/34–UNEP/POPS/COP.9/INF/43, annex.

³ UNEP/CHW.14/23–UNEP/FAO/RC/COP.9/19–UNEP/POPS/COP.9/26 and UNEP/CHW.14/INF/42–UNEP/FAO/RC/COP.9/INF/33–UNEP/POPS/COP.9/INF/42, annex II.

⁴ UNEP/CHW.14/INF/42–UNEP/FAO/RC/COP.9/INF/33–UNEP/POPS/COP.9/INF/42, annex II.

BC-14/25: From science to action

The Conference of the Parties

1. *Takes note* 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 Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants;¹
2. *Encourages* Parties and others to initiate action that promotes the implementation of the road map;
3. *Requests* the Secretariat, subject to the availability of resources, to undertake capacity-building and training activities to support Parties in taking science-based action in the implementation of the Basel, Rotterdam and Stockholm conventions;
4. *Invites* Parties and observers to submit to the Secretariat, by 30 November 2020, information on action being undertaken to promote the implementation of the road map;
5. *Requests* the Secretariat to continue to cooperate and coordinate with the United Nations Environment Programme and, as appropriate, other relevant organizations, scientific bodies and stakeholders with the aim of strengthening the science-policy interface;
6. *Also requests* the Secretariat to cooperate and coordinate, as appropriate, with the United Nations Environment Programme in the preparation of the assessment of options for strengthening the science-policy interface at the international level for the sound management of chemicals and waste, which was requested of the Executive Director of the United Nations Environment Programme by the United Nations Environment Assembly in its resolution 4/8, particularly with regard to possible synergies and opportunities between the existing mechanisms under the Basel, Rotterdam and Stockholm conventions and the science-policy interface for the wider sound management of chemicals and waste;
7. *Further requests* the Secretariat to report to the Conference of the Parties at its next meeting on the implementation of the present decision.

¹ UNEP/CHW.14/INF/40–UNEP/FAO/RC/COP.9/INF/35–UNEP/POPS/COP.9/INF/44.

BC-14/26: Memorandum of understanding between the United Nations Environment Programme and the Conference of the Parties to the Basel Convention

The Conference of the Parties,

Taking note of the United Nations Environment Programme November 2016 delegation of authority policy and framework for the management and administration of multilateral environmental agreement secretariats and other bodies for which the United Nations Environment Programme provides the secretariat or secretariat functions,¹

Taking note also of the United Nations Environment Programme March 2018 flexible template of options for the provision of secretariat services,²

1. *Adopts* the memorandum of understanding between the Executive Director of the United Nations Environment Programme and the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal as set out in the annex to the present decision;

2. *Requests* the President of the Conference of the Parties, on behalf of the Conference of the Parties, and the Executive Director of the United Nations Environment Programme to sign the memorandum of understanding during or following the closing of the fourteenth meeting of the Conference of the Parties.

¹ UNEP/CHW.14/INF/50–UNEP/FAO/RC/COP.9/INF/43–UNEP/POPS/COP.9/INF/55.

² UNEP/CHW.14/INF/49–UNEP/FAO/RC/COP.9/INF/42–UNEP/POPS/COP.9/INF/54.

Annex to decision BC-14/26¹

MEMORANDUM OF UNDERSTANDING

BETWEEN

THE CONFERENCE OF THE PARTIES TO THE BASEL CONVENTION ON THE CONTROL OF TRANSBOUNDARY MOVEMENTS OF HAZARDOUS WASTES AND THEIR DISPOSAL

AND

THE EXECUTIVE DIRECTOR OF THE UNITED NATIONS ENVIRONMENT PROGRAMME

CONCERNING THE ARRANGEMENTS FOR THE PROVISION OF THE SECRETARIAT FUNCTIONS OF THE BASEL CONVENTION

(hereinafter referred to as the “Memorandum of Understanding”)

The Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (the “Conference of the Parties”) and the Executive Director of the United Nations Environment Programme (the “Executive Director”), as hereinafter also referred to individually as “Party” and collectively as the “Parties”:

Recalling Article 16 of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (the “Convention”), which sets out the functions of the Secretariat of the Convention and provides that at its first meeting, the Conference of the Parties shall designate the Secretariat from among those existing competent intergovernmental organizations which have signified their willingness to carry out the secretariat functions,

Recalling also the decision of the United Nations General Assembly, contained in section II of its resolution 2997 (XXVII) of 15 December 1972, to establish the environment secretariat headed by the Executive Director of the United Nations Environment Programme (“UNEP”), who is responsible to perform, inter alia, such functions as may be entrusted to him by the Governing Council of the United Nations Environment Programme, and recalling, in that context, the relevant decisions of the Governing Council authorizing the participation of the secretariat of the United Nations Environment Programme in the Secretariat to the Convention,

Recalling further decision I/7 of 4 December 1992 of the Conference of the Parties to the Convention, by which the Conference of the Parties requested the United Nations Environment Programme to carry out the functions of the Basel Convention Secretariat, and further requested the Executive Director of UNEP to establish the Secretariat in accordance with the structure contained in the budget and to have the Secretariat located in Geneva,

Recognizing that the Convention and decisions of the Conference of the Parties alone guide the implementation of the Convention and its programme of work and direct the management of its Secretariat on all substantive issues,

Recalling decision BC.Ex-1/1 of the Conference of the Parties to the Convention, decision RC.Ex-1/1 of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure of Certain Hazardous Chemicals and Pesticides in International Trade and decision SC.Ex-1/1 of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants, whereby each Conference of the Parties decided to establish a joint head function of the Basel Convention Secretariat, the Stockholm Convention Secretariat and the UNEP part of the Rotterdam Convention Secretariat,

Recalling also the audit observation in paragraph 17 of the Office of Internal Oversight Services report dated 26 April 2012, on the Audit of the Secretariat of the Convention, which noted that no formal Memorandum of Understanding has been signed between UNEP and the Parties to the

¹ The present annex is reproduced as received, without formal editing.

Convention to further clarify the responsibilities of UNEP and the Convention for administrative and programmatic matters,

Recalling further decisions BC-11/23, BC-12/24 and BC-13/23,

HAVE REACHED THE FOLLOWING UNDERSTANDING:

I. Basic principles

1. The Executive Director performs the functions of the Basel Convention Secretariat set out in paragraph 1 of Article 16 of the Convention, and for this purpose, provides necessary arrangements within UNEP, pursuant to decision I/7 of 4 December 1992 of the Conference of the Parties. In doing so, the Executive Director recognizes the legal autonomy of the Convention in relation to UNEP, and the role and functions of the Secretariat, as a body of the Convention, to serve the Convention and its Parties.
2. The Conference of the Parties acknowledges that the Executive Director is required to comply with the relevant rules, regulations and procedures of the United Nations and UNEP in the provision of the functions of the Basel Convention Secretariat, which should be in conformity with the requirements of the Convention and its Parties and consistent with the relevant decisions of the Conference of the Parties.
3. The Conference of the Parties and the Executive Director recognize that efficient and cost effective operation of the Convention Secretariat is of paramount importance for the effective operations of the Convention. The Executive Director will be guided by this principle in performing the secretariat functions listed in Article 16 of the Convention.
4. The Conference of the Parties and the Executive Director will take full account of each others' views on any significant action they intend within their respective mandates which may affect i) the interests of the Parties to the Convention, the Secretariat, or UNEP, or ii) the efficient and effective administration of the Convention or of the rules and regulations of the United Nations and UNEP.
5. The Conference of the Parties acknowledges that the Executive Director or his/her designated representative is likely to be present when the Conference of the Parties considers and decides on a course of action; however the Conference of the Parties is not necessarily present when the Executive Director does so. There may be actions or decisions to be taken by the Executive Director having policy or other implications for the operation of the Convention or its Secretariat in respect of which the Executive Secretary and the Conference of the Parties should be informed. In such cases, it is of particular importance for the Executive Director involve the Executive Secretary in the decision-making or action-taking process and, if appropriate, consult with the Conference of the Parties. In the event of differing opinions, the Conference of the Parties and the Executive Director should seek to develop a course of action that is mutually acceptable in advance of taking action.
6. The Conference of the Parties acknowledges that its President is expected to keep all of the Parties to the Convention, apprised of his or her interaction with the Executive Director on behalf of the Conference of the Parties.

A. Executive Secretary and staff of the Secretariat

7. The Executive Director will arrange for the recruitment of the Executive Secretary in accordance with the structure of the Secretariat set out in the applicable decisions of the Conference of the Parties, who will be selected in accordance with the United Nations staff rules and regulations. It is noted that in accordance with the relevant staff regulations and rules of the United Nations governing staff selection applicable to UNEP, recommendations for selection for position of the Executive Secretary at the D-2 level will be made by the Executive Director to the Senior Review Group of the United Nations Secretariat for review. Upon review, the Senior Review Group will make its recommendation to the Secretary-General of the United Nations, who will make the selection decision.
8. The Executive Director, bearing in mind the relevant decisions of the Conference of the Parties, will consult with the Conference of the Parties through its President, or a Vice-President designated by the President in his/her absence, on the recruitment, selection, and appointment of the Executive Secretary and will ensure that the United Nations staff rules and regulations applicable to UNEP will govern the recruitment, selection, and appointment of all UNEP secretariat staff, including the Executive Secretary.

9. Subject to paragraph 8 above, the Executive Director may respectively extend or discontinue the contract of the Executive Secretary in accordance with the United Nations rules and regulations. To the extent possible within his/her powers, the Executive Director is encouraged to consult with the Conference of the Parties through its President as appropriate at all stages of this process.

10. The Executive Director will provide the necessary administrative and financial support within the approved and available financial resources of the Secretariat or Convention to ensure that the Secretariat operates with the necessary human resources. The Executive Director will ensure that any vacancy occurring among the staff of the Secretariat will be filled in accordance with the United Nations staff rules and regulations applicable to UNEP as soon as possible, noting the knowledge, experience and expertise required for such posts. The Executive Director, in accordance with the United Nations rules and regulations as applicable to UNEP may delegate to the Executive Secretary the authority to take appointment decisions for the staff of the Secretariat.

11. The Executive Director will ensure that the needs of the Secretariat for Junior Professional Officers (JPOs) are, unless specified otherwise by donor governments, fully included without prioritization by UNEP, in the list that UNEP annually shares with donor governments supporting JPOs.

12. The Executive Director, including through the Executive Secretary, as appropriate, will advise the Conference of the Parties of any unforeseen delays in filling any posts, recruiting gratis personnel or JPOs or other human resources matters related to the Secretariat. The Executive Director understands the importance of, reporting to the Convention's governing bodies on the status of such recruitments.

B. Delegation of authority

13. The Executive Director delegates the necessary authority to the Executive Secretary on administrative and financial matters to enable the Executive Secretary to manage, take decisions and represent the Secretariat with the level of autonomy required for maintaining the efficient and cost-effective operations of the Secretariat. Such delegation covers, inter alia, programme management, financial and physical resources management, human resources management and any other related matters, where decisions by the Executive Secretary may be required for the effective operation of the Secretariat.

14. The Executive Secretary may, in turn, delegate this authority further down either along reporting lines and/or to a manager within the Secretariat with a clear understanding that he/she, however, retains full accountability and responsibility for any wrong doing by his/her subordinates.

15. UNEP has adopted a delegation of authority policy and framework (DAPF) for the management and administration of the secretariats of multilateral environmental agreements, which came into force on 1 November 2016. The Executive Director will ensure that the Executive Secretary exercises any such delegated authority in accordance with the applicable rules and regulations of the United Nations and UNEP and the Executive Director's commitments in this Memorandum of Understanding. In the event of intended actions or decisions by the Executive Director in relation to the DAPF having policy or other implications for the operation of the Convention or its Secretariat the Executive Director will involve the Executive Secretary in the decision-making or action-taking process and, if needed, consult with the Conference of the Parties.

C. Administrative and programme support costs

16. The Executive Director will work with the Executive Secretary to determine the Convention's administrative service requirements and to identify the most efficient means by which to ensure that the Convention receives the necessary administrative and financial support, within the available financial resources, in accordance with the rules and regulations of the UN and UNEP and consistent with the decisions of the Conference of the Parties, in particular decision BC-VI/41 on financial matters and decision BC-10/28 on the "financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat".

17. In particular, the Executive Director will allocate an appropriate share, which should initially not be less than 67% of the annual Programme Support Costs (PSC) income attributable to all of the trust funds of the Convention to the Secretariat. The allocation will be based upon receipt of an annual cost plan that demonstrates that these funds will be used efficiently and effectively in support of Convention activities.

18. The Executive Director will also allocate an appropriate share, which should initially not be more than 33%, of the PSC income attributable to all of the trust funds of the Convention to finance

the part of UNEP's central administrative services that support the Basel Convention. The central administrative services are set out in English only in the annex to the present Memorandum of Understanding, including those performed by UNON and UNOG on behalf of UNEP, the UN's Office of Internal Oversight Services (OIOS) and the Board of Auditors.

19. In accordance with the applicable UN administrative instructions,² the statement of the Programme Support account will be included in the published financial statements of UNEP. The Executive Director will provide full transparency in respect of the allocation of PSC between the Secretariat and central administrative services.

20. Pursuant to rule 7 of the financial rules for the Conference of the Parties, its subsidiary bodies and the Secretariat of the Convention set out in decision BC-10/28 of the Conference of the Parties to the Convention, the Conference of the Parties reimburses UNEP for the services provided to the Conference of the Parties, its subsidiary bodies and the Convention Secretariat from the funds referred to in rule 4, paragraphs 1, 3 and 4, on such terms as may from time to time be agreed upon in writing between the Conference of the Parties and UNEP or, in the absence of such agreement, in accordance with the general policy of the United Nations.

D. Financial matters and budgets

21. The financial operations of the Convention are recorded in trust funds established in accordance with Financial Regulations and Rules of the United Nations, Article V of the General Procedures Governing the Operation of the Funds of UNEP and consistent with the financial rules for the Conference of the Parties, its subsidiary bodies and the Secretariat of the Convention set out in its decision BC-VI/41 on financial matters and in its decision BC-10/28. In respect of matters not specifically provided for by the rules as contained in these decisions, the Financial Regulations and Rules of the United Nations shall apply, and in the event of any conflict between the decisions of the Conference of the Parties and the Financial Regulations and Rules of the United Nations, the Financial Regulations and Rules of the United Nations shall prevail.

22. Pursuant to decision BC-VI/41 on "financial matters" and to decision BC-10/28 on the "financial rules for the Conference of the Parties, its subsidiary bodies and the Convention Secretariat", as adopted by the Conference of the Parties to the Basel Convention, the accounts and financial management of all funds governed by these rules shall be subject to the internal and external audit process of the United Nations. An interim statement of accounts for the first year of the financial period shall be provided to the Conference of the Parties during the second year of the period, and a final audited statement of accounts for the full financial period shall be provided to the Conference of the Parties as soon as possible after the accounts for the financial period are closed. The Conference of the Parties shall be informed of any relevant remarks in the reports of the United Nations Board of Auditors on financial statements of UNEP.

23. The Conference of the Parties to the Convention, including through its President, oversee the development and execution of the budget managed by the Secretariat as derived from the trust funds of the Convention.

24. The Executive Director will ensure that the Executive Secretary will comply with the specific decisions adopted at each meeting of the Conference of the Parties, including with respect to matters related to the financing and budgeting of the Secretariat, taking into account the availability of resources and in accordance with the Financial Regulations and Rules of the United Nations, UNEP.

25. The Conference of the Parties understands that a copy of the draft Secretariat budget will be shared with the Executive Director for review and comments before the final proposed budget is submitted by the Executive Secretary for consideration by the Conference of the Parties at its next meeting.

E. Performance evaluation and management review

26. Evaluation of the performance of the staff and other relevant personnel of the Secretariat is conducted in accordance with the relevant rules and regulations of the United Nations as applied to UNEP.

27. Through the delegation of authority referred to in section B above, the Executive Secretary will manage the performance of all staff of the Secretariat other than himself/herself. The Executive Director or his/her Deputy will appraise the performances of the Executive Secretary. Performance

² ST/AI/286.

appraisal will be conducted through the United Nations performance management and evaluation system currently in use.

28. The Executive Director will ensure the Conference of the Parties has access to information regarding the applicable criteria for performance appraisal under the United Nations performance management and evaluation system.

29. In case of appraising the programmatic performance of the Executive Secretary, and his/her subordinate staff, the Executive Director acknowledges that the substantive work programme of the Secretariat is determined by the Conference of the Parties and its subsidiary bodies alone.

30. The Executive Director will ensure that the Executive Secretary acts in conformity with the provisions of the Convention, in particular with its Articles 15 and 16, as well as with the rules and regulations of the United Nations on these and other substantive functions as may be entrusted to the Secretariat by the Parties to the Convention.

31. The Executive Director will ensure that the Executive Secretary implements the decisions and conclusions of the Conference of the Parties, during and between the meetings of the Conference of the Parties.

32. The Executive Director will consult with the Conference of the Parties on any matter with respect to the performance of the Executive Secretary. The Executive Director will invite the Conference of the Parties, through its President, to provide comments regarding the performance of the Executive Secretary prior to commencing that person's performance appraisal.

33. At the request of the Executive Director or by his/her own initiative, the Executive Secretary may, in consultation with the Conference of the Parties or at its request, commission an independent management review of the Secretariat and its functions, with a view to promoting cost efficiency, transparency and furthering the goals and implementation of the Convention. Such reviews are not audits or investigations and will not therefore impinge upon the prerogatives of the Board of Auditors, OIOS and the UN's information disclosure policies. The Executive Secretary will keep the Conference of the Parties and the Executive Director fully informed of any such reviews that are undertaken.

II. Report

34. The Executive Director will submit, 90 (ninety) days in advance of each ordinary meeting of the Conference of the Parties, a report on the implementation of this Memorandum of Understanding.

35. The report will provide the Parties to the Convention with detailed information on administration services provided to the Convention by UNEP and include a financial statement on the allocation of PSC between the Secretariat and central administrative services with the understanding that the level of details will be consistent with the needs of the Parties to the Convention and within the procedures applicable to UNEP.

III. Programmatic relationship

36. The Conference of the Parties understands that the Convention may provide a context for implementation of certain aspects of the Medium-term Strategy and the programme of work of UNEP, through its Costed Programme of Work, Revised Strategic Framework, and vice versa, subject to the approval of the Conference of the Parties and to the extent consistent with the Convention.

37. The Executive Director will consult with the Executive Secretary on activities which UNEP might undertake in providing programmatic support to the Convention. The Executive Secretary will consult with the Executive Director on activities which might be undertaken within the framework and mandate of the Convention for implementation of certain aspects of the Medium-term Strategy and programme of work of UNEP.

38. The Executive Director and the Executive Secretary will consult with each other in the planning, development and implementation of any projects and programmes that relate to the provision of support for the implementation of the Convention and in any joint funding arrangements for implementing the Convention which are, or are proposed to be, arranged with donors.

39. The Executive Director may call meetings of secretariats of multilateral environmental agreements, as well as joint meetings of all senior staff employed through UNEP, and invite the Executive Secretary to participate in those meetings. The Executive Director may meet the costs of travel and other expenses related to the Executive Secretary's participation in any such meetings.

40. The Conference of the Parties will be informed by the Executive Secretary regarding all proposals relating to programmatic support referred to in paragraph 37 and about the outcome of meetings referred to in paragraph 39.

IV. Implementation of the Agreement

41. The Conference of the Parties and the Executive Director, keeping the Executive Secretary informed, will hold consultations on a regular basis, and as needed, on all issues related to the implementation of the present Memorandum of Understanding. These consultations will be conducted through the President of the Conference of the Parties, who will seek the views of the Parties to the Convention and reflect these during the consultations, or may be conducted as otherwise mutually determined by the Conference of the Parties and the Executive Director.

42. On specific issues, the President may designate the Vice-Presidents of the Conference of the Parties to conduct such consultations. The Executive Director, in his/her absence, may be represented by designated senior representatives, or consultations may take place as otherwise mutually determined by the Conference of the Parties and the Executive Director.

43. In case of any difference of opinion regarding the implementation or interpretation of the present Memorandum of Understanding, the Executive Director and the Conference of the Parties through its President will hold consultations and make every effort to reach a mutually acceptable outcome.

V. Final provisions

44. The present Memorandum of Understanding does not impose, nor is it intended to impose, any legally binding commitments.

45. The present Memorandum of Understanding is entered into without prejudice to any administrative arrangements which might be agreed upon between UNEP and the Basel Convention or any other relevant multilateral environmental agreements in the future.

46. This Memorandum of Understanding becomes operative on the date on which both the Conference of the Parties, represented by its President, and the Executive Director have signed.

47. Upon signature by both Parties, this Memorandum of Understanding will supersede any previous agreements between the Parties to it.

48. The present Memorandum of Understanding may, at the request of the Parties to it, be reviewed at any time, including with a view to amending or terminating it. Without prejudice to the rules of procedure for meetings of the Conference of the Parties, such a request, to be made by the Bureau on behalf of the Conference of the Parties or by the Executive Director will be made at least 4 (four) months in advance and will then be addressed at the next meeting of the Conference of the Parties. Any modifications to, including termination of, the present Memorandum of Understanding will be mutually agreed in writing between the Parties to it.

IN WITNESS WHEREOF, the duly authorized representatives of the Parties to the present Memorandum of Understanding affix their signatures below.

**For the United Nations
Environment Programme:**

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

Ms. Joyce Msuya
Acting Executive Director

Mr. Abraham Zivayi Matiza
President

Date: _____

Date: _____

Annex to the Memorandum of Understanding

[English only]

UNEP's core services in support of the Basel, Rotterdam and Stockholm conventions

The table below provides the list of core administrative and support services provided by United Nations Environment Programme (UNEP) in support of the Basel, Rotterdam and Stockholm (BRS) conventions. Core administrative and support services are those services provided by UNEP against the 33% share of the programme support costs income attributable to all of the trust funds of the BRS conventions. The list of core services is not exhaustive and may include additional core services, as mutually agreed from time to time between UNEP and the Secretariat of the BRS conventions. The table below is without prejudice to the delegation of authority from the Executive Director of UNEP to the Executive Secretary of the BRS conventions.

Service Category	Description
Policy, guidelines and procedures	<p>All policies concerning administrative arrangements are governed by the United Nations General Assembly resolutions and those of United Nations Environment Programme's governing body. United Nations Financial Regulations and Rules supplemented by Multilateral Environmental Agreements' and entities' financial procedures or rules ensure effective and efficient use of resources in accordance with the purposes for which funds are provided, within authorized limits and available income. The United Nations Financial Regulations and Rules also regulate the organization's procurement activities.</p> <p>United Nations Staff Regulations and Rules set the framework within which United Nations Environment Programme's personnel, including different categories of staff members, consultants and independent contractors, are recruited and administered.</p> <p>United Nations Secretariat policies supplement and provide details on the implementation of the resolutions and regulations. They are embodied in United Nations administrative issuances i.e. Secretary-General's Bulletins, Administrative Instructions and Information Circulars which may be further interpreted and translated into guidelines and procedures for day to day operations.</p>
Human Resources	Recruitment, staff administration, training, performance management and medical and counselling services.
<i>Talent Acquisition and Management</i>	Developing staffing plans and implementing related recruitment activities namely classification, vacancy announcement, assessments, evaluation, review and selection.
<i>Staff Administration</i>	On-boarding staff, administering contracts, processing entitlements and benefits, review and update of dependency status, leave records, lateral move, separation from service etc. Administering end-of-service and post-retirement benefits including pension fund deductions and After Service Health Insurance scheme.
<i>Staff development and training</i>	<p>Mandatory training of personnel on issues such as security, ethics and integrity, competency based interviewing skills, management development programme etc.</p> <p>Identify capacity building needs and provide opportunities for continuous learning with a view to build a multi-skilled workforce promoting career development for staff. These include in-house developed training modules on Results Based Management and Gender Mainstreaming, among others. Including the arrangement of training opportunities for UNEP Geneva colleagues.</p>
<i>Performance Management</i>	Implementing and monitoring compliance with performance management policies, process and tools (INSPIRA) to reward/recognize/retain staff and address underperformance. Supporting rebuttal process guidance and conducting training on writing workplans and performance assessments. Managing the Financial Disclosure programme.

Service Category	Description
<i>Medical and Counselling Services</i>	Providing occupational health services with emphasis on preventive health care and emergency response. Also includes professional counselling service to address issues such as stress, burnout, depression etc. UN Cares, the UN system-wide program on HIV, is designed to reduce the impact of HIV in the UN workplace.
Budget and Finance	Preparation, management, oversight and reporting of budgets and financial resources of the governing bodies and donors.
<i>Budgeting / Fund Management</i>	Preparation, presentation and justification of budgets to the governing bodies. Processing budgetary authorizations and financial transactions. Advising staff, management and governing bodies on the use of financial resources. Creating, maintaining and closing Trust Funds.
<i>General Accounting / Financial Statements</i>	Authority to sign the consolidated financial statements rests with the Executive Director. Extracts from the consolidated statements are signed by UNON. Maintenance of accounts and preparation of Financial Statements including the Programme Support account. Processing accounting entries/adjustments including donor refunds; year-end accruals; statutory reporting and support to the annual external audit.
<i>Payments / Expenditure</i>	Processing payments to Implementing Partners, consultants, vendors and meeting participants. Monitoring advances and recording expenditures from financial reports received from Implementing Partners.
<i>Payroll</i>	Processing payment of salaries, entitlements and related advances and maintenance of payroll accounts.
<i>Contributions /Cash Management</i>	Authority to accept contributions from the Parties rests with the United Nations Environment Programme Executive Director. Issuing invoices to Parties, recording and monitoring contribution receivables, processing contributions upon receipt of payments; reconciling applied deposit accounts.
<i>Treasury/Banking/ Investment</i>	Receipt and disbursement of funds, House Bank management, bank reconciliations. Maintenance of banking details for staff, vendors, implementing partners and consultants. Investment of United Nations Environment Programme funds in the right products is managed by UNHQ Treasury.
<i>Oversight</i>	Coordinate internal audit, investigation, inspection and external audit.
Legal	Legal advice, opinions and representation in the Internal Justice System.
<i>Advisory and Representation</i>	Provision of corporate legal advice and institutional support. Representing the organisation before the Management Evaluation Unit with regards to requests filed by staff members. Representing the organisation at the United Nations Dispute Tribunal (UNDT) and provision of support to the Office of Legal Affairs with regards to appeals filed at the United Nations Appeals Tribunal. Negotiating settlements of claims; provision of legal support and advice in mediation, conciliation and arbitration. Legal and institutional support in disciplinary procedures; provision of legal advice in cases of alleged misconduct and relevant investigations. Reviewing and clearing Host Country Agreements and legal instruments in accordance with the Delegation of Authority Policy and Framework for the Management and Administration of Multilateral Environmental Agreements. Provision of legal advice on human resources issues e.g., interpretation of the Staff Regulations and Rules, advise on outside activities, separation from employment, settlements. Coordinating audits, inspections and evaluations undertaken by the Office of Internal Oversight Services. Providing advice on engaging with implementing partners, provision of templates for this purpose.

Service Category	Description
Support Services	Services to support operations including office space, premises, host country arrangements and protocols.
<i>Contracts and Procurement</i>	Supervising procurement related functions and providing advice on procurement proposals of significant financial or operational impact; reviewing the proposed strategy/approach to best serve office's interests. Providing oversight over the service providers. Representation at the High Level Committee on Management Procurement Network on development of policies and procedures of interest to the office. Liaising with the contracts committee for the preparation and presentation of cases for approval and addressing to follow-up queries. Provision of general contract administration services including amendment, extension or closure.
<i>Inventory / Asset Management</i>	Provision of services to manage inventory of equipment items and assets including bar coding, maintain records and track movement of items; conduct physical inventories; process the disposal of obsolete and unserviceable items.
<i>Travel, Shipping and Visa</i>	Providing advice on developments in Secretariat travel policies and procedures. Processing travel for staff members, consultants and meeting participants for official purposes and staff entitlement related travel; management of travel agent contract and airline negotiations. Shipping services, handled through external vendors under contracts include all aspects of incoming and outgoing official shipments of organizational goods and property as well as staff members' personal effects during recruitment, transfer and separation.
<i>Host Country Relations</i>	In addition to administering the hosting agreement with the country of duty station, the services include re-entry passes of staff and dependents, consultants and interns; duty free import of goods and fuel; tax exemptions; registration of vehicles, issuance/renewal of driving licenses and transfer of ownership; processing special visa request in emergency situations and for VIPs.
<i>Facilities Management</i>	Provision of comfortable and efficient working environment for the staff well as for the visitors by maintaining office premises including gardening and parking areas; utilities' supply and maintenance of security systems.
<i>Mail Pouch</i>	Providing mail, diplomatic pouch and international courier services; dispatching outbound mail; sorting and delivering all incoming mail; advising on different mail services i.e postal, international express courier and diplomatic pouch, including but not limited to cost, transit days, document preparation, etc.
<i>Archives/Document Management</i>	Advising on and overseeing the implementation of policies for the management of archives in accordance with established archival standards and practices. Maintaining and managing archives.
<i>Security and Safety</i>	Protection of UN personnel and property by providing a safe and secure work environment and regular security advisories; issuance of IDs for staff and visitors to the UN offices.
<i>Enterprise Resource Programme (ERP) – Umoja***</i>	Advising on all aspects of workflow analysis, business process reengineering and organizational transformation. Managing core transformational activities connected to the Umoja implementation and system life cycle. Providing training and guidance on Umoja functionality, access and modality for the execution of administrative processes.
<i>Enterprise Risk Management (ERM) and Internal Controls</i>	Implementation of the United Nations Secretariat ERM policy and framework, its monitoring and development. Advise on developments and activities related to the life cycle of ERM. Liaison directly with the UN Secretariat's Department of Management for all issues relating to ERM and IC implementation and update of the ERM treatment plan.

Service Category	Description
Information and Communications Technology	Computing, telecommunications, office automation, infrastructure support including electronic mail as well as consulting, advisory and help desk services.
<i>ICT Infrastructure and services</i>	Provision of secure infrastructure services such as internet connectivity and WiFi access; local area network and systems directory services; office computer, standard software productivity tools and security software; email, file storage and sharing, print, IP telephony; computer and video conference services. Provision of cloud and on-premise hosting services for websites, software applications, and databases. Access to corporate internet/intranet and mail systems.
<i>Software development and maintenance</i>	Providing advice from tactical, operational and strategic aspects with consideration to the specific needs of the office. Making recommendations on cost effective options e.g. outsourcing or in-house IT services. Provision of customised / off the shelf software applications to support the specific needs of office.
<i>Help desk services</i>	Provision of local and global services to staff in resolving various IT related issues for the UN enterprise applications.

*** Umoja project and maintenance costs are apportioned based on expenditure incurred and met by respective divisions and MEAs as common costs. These include service fees and costs associated with Umoja (such as license fees), requests raised through iNeed and any administrative costs associated with services provided by UNON and UNOG especially those that were delivered through OSC (travel, payment of invoices, HR/consultant services)

BC-14/27: Dates and venue of the next meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions

The Conference of the Parties

1. *Decides* to accept with thanks the offer by the Government of Kenya to host the next meetings of the conferences of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants in 2021 at the headquarters of the United Nations Environment Programme in Nairobi, and, accordingly, agrees to convene these meetings back to back, from 17 to 28 May 2021 in Nairobi, subject to the conclusion of a host country agreement between the host Government and the Secretariat;
2. *Also decides* that the meetings will include joint sessions, where appropriate, on joint issues;
3. *Further decides* that the meetings will include a high-level segment of no more than one day's duration;
4. *Requests* the Executive Secretary, in order to assist Parties in preparing for the back-to-back meetings, to support, subject to the availability of resources, regional meetings to assist regional preparatory processes, coordinated with other regional meetings;
5. *Invites* Parties to submit offers to host the 2023 meetings of the conferences of the Parties, if possible by 31 March 2021, for consideration during the meetings of the conferences of the Parties in 2021.

BC-14/28: Existing United Nations guidelines on the mobilization of resources from non-State actors

The Conference of the Parties

Requests the Secretariat to assess the relevance for the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants of existing guidelines developed by the United Nations system on the mobilization of resources from non-State actors, such as private-sector entities, non-governmental organizations and development banks, to inform possible future arrangements relating to this matter, for consideration by the Conference of the Parties at its next meeting.

BC-14/29: Programme of work and budget for the Basel Convention for the biennium 2020–2021

The Conference of the Parties,

Taking note of the financial reports on the Basel Convention trust funds for 2018 and estimated expenditures for 2019 from the trust fund for the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal (Basel Convention general trust fund),¹

I

Basel Convention general trust fund

1. *Approves* the programme budget for the Basel Convention for the biennium 2020–2021 of 4,856,141 United States dollars for 2020 and 4,856,141 United States dollars for 2021 for the purposes set out in table 1 of the present decision;
2. *Authorizes* the Executive Secretary of the Basel Convention to make commitments in an amount up to the approved operational budget, drawing upon available cash resources;
3. *Decides* to maintain the working capital reserve at the level of 15 per cent of the annual average of the biennial operational budgets for the biennium 2020–2021;
4. *Adopts* the indicative scale of assessments for the apportionment of expenses for the biennium 2020–2021 set out in table 2 of the present decision, and authorizes the Executive Secretary, consistent with the Financial Regulations and Rules of the United Nations, to adjust the scale to include all Parties for which the Convention enters into force before 1 January 2020 for 2020 and before 1 January 2021 for 2021;
5. *Recalls* that contributions to the Basel Convention general trust fund are expected by 1 January of the year for which those contributions have been budgeted, urges Parties to pay their contributions promptly, encourages Parties in a position to do so to pay their contributions by 16 October 2019 for the calendar year 2020 and by 16 October 2020 for the calendar year 2021, and requests the Secretariat to notify Parties of the amounts of their contributions as early as possible in the year preceding the year in which they are due;
6. *Reiterates the ongoing concern* that a number of Parties have not paid their contributions to the Basel Convention general trust fund for 2018 and prior years, contrary to the provisions of paragraph 3 (a) of rule 5 of the financial rules, and urges Parties to pay their outstanding contributions in full as soon as possible;
7. *Requests* the Secretariat to work directly with the permanent missions, ministries of foreign affairs and focal points of the Parties in this situation, so that they fully pay their arrears and assessed contributions as soon as possible, and to present at regional meetings information on the current situation² regarding arrears and their consequences;
8. *Requests* the Executive Director of the United Nations Environment Programme to continue to work closely with the Executive Secretary of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants to improve the timely communication of information on the payment of contributions, including arrears;
9. *Recalls* the provisions of paragraph 3 (e) of rule 5 of the financial rules on outstanding contributions due from 1 January 2001 onwards and paragraph 8 of decision BC-13/24, and decides to continue the practice that no representative of any Party whose contributions are in arrears for four or more years and that has not agreed on or is not respecting a schedule of payments implemented in accordance with paragraph 3 (d) of rule 5 of the financial rules shall be eligible to receive financial support for attendance at intersessional workshops or other informal meetings, as arrears that have been outstanding for more than four years must be treated as 100 per cent doubtful debts under the International Public Sector Accounting Standards;

¹ UNEP/CHW.14/INF/45/Rev.1.

² For the present decision, “current situation” consists of the current status of arrears, difficulties with paying assessed contributions due to restrictions that go beyond national jurisdiction, and the status of any payment plans agreed on with the Secretariat.

10. *Notes* the efforts of the Executive Secretary and the President of the Conference of the Parties, who through a jointly signed letter invited the ministers for foreign affairs of Parties with contributions in arrears to take timely action to rectify those arrears, requests that this practice continue, and thanks those Parties that have responded in a positive manner by paying their outstanding contributions;

11. *Adopts* the staffing table for the Secretariat for the biennium 2020–2021 used for costing purposes to set the overall budget, which is set out in table 3 of the present decision;

12. *Authorizes* the Executive Secretary to continue to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that positions remain at the same level or become lower, the Executive Secretary remains within the overall cost of the staff numbers set out in table 3 of the present decision for the biennium 2020–2021, in line with the recommendation of the Office of Internal Oversight Services,³ and that it leads to no additional budget obligations being incurred beyond that biennium;

13. *Requests* the Executive Secretary to report to the Conference of the Parties at its fifteenth meeting on the level of positions filled against the approved staffing table;

14. *Authorizes* the Executive Secretary, on an exceptional basis, to draw down from the available surplus of the Basel Convention general trust fund the amount of 24,129 United States dollars in 2020–2021 for specified activities listed in table 4 of the present decision;

II

Basel Convention special trust fund for voluntary contributions

15. *Takes note* of the funding estimates included in table 1 of the present decision for activities under the Convention to be financed from the trust fund to assist developing countries and other countries in need of technical assistance in the implementation of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal (Basel Convention special trust fund for voluntary contributions) in the amount of 4,533,161 United States dollars for 2020 and 4,533,161 United States dollars for 2021;

16. *Notes* that the Basel Convention special trust fund for voluntary contributions requirement presented in the budget represents the Secretariat's best efforts to be realistic and reflects priorities agreed upon by all Parties, and urges Parties, and invites non-Parties and others, to make voluntary contributions to the technical cooperation trust fund so as to encourage contributions from donors;

17. *Also notes* the importance of having funding available in the Basel Convention special trust fund for voluntary contributions for the participation of developing-country Parties, in particular least developed countries and small island developing States, and Parties with economies in transition, in the meetings of the Convention;

18. *Urges* Parties, and invites others in a position to do so, to contribute urgently to the Basel Convention special trust fund for voluntary contributions with a view to ensuring the full and effective participation of developing-country Parties, in particular least developed countries and small island developing States, and Parties with economies in transition, in the meetings of the Conference of the Parties and its subsidiary bodies;

19. *Requests* the Executive Secretary, in line with decision 3/3 on the management of trust funds and earmarked contributions adopted by the United Nations Environment Assembly of the United Nations Environment Programme, in consultation with the relevant Parties and/or donors, as appropriate and in accordance with the terms of the respective agreements/funds, to reassign the balances in inactive trust funds when the activities for which they were established have ended, with a view to supporting the implementation of appropriate activities of the programme of work funded by voluntary funds;

III

Preparations for the next biennium

20. *Decides* that the two trust funds for the Basel Convention shall be continued until 31 December 2021, and requests the Executive Director of the United Nations Environment

³ Office of Internal Oversight Services, Internal Audit Division, Report 2014/024, available at <https://oios.un.org/audit-reports>.

Programme to extend them for the biennium 2020–2021, subject to the approval of the United Nations Environment Assembly of the United Nations Environment Programme;

21. *Notes* the efforts since 2012 to enhance efficiency in the use of financial and human resources in the Secretariat, and encourages the Executive Secretary to continue such efforts in the future work of the Secretariat;

22. *Requests* the Executive Secretary to prepare a budget for the biennium 2022–2023, for consideration by the Conference of the Parties at its fifteenth meeting, explaining the key principles, assumptions and programmatic strategy on which the budget is based and presenting expenditures for the biennium 2020–2021 in a programmatic format;

23. *Also requests* the Executive Secretary to determine the staffing levels, numbers and structure of the Secretariat in a staffing table and reflect the total actual costs in the budgets of the conventions for the biennium 2022–2023;

24. *Notes* the need to facilitate priority-setting by providing Parties with timely information on the financial consequences of various options and, to that end, requests the Executive Secretary to include in the proposed operational budget for the biennium 2022–2023 two alternative funding scenarios that take account of any efficiencies identified as a result of paragraph 21 of the present decision and are based on:

(a) The Executive Secretary's assessment of the required changes in the operational budget, which should not exceed a 5 per cent increase over the 2020–2021 level in nominal terms, to finance all proposals before the Conference of the Parties that have budgetary implications;

(b) Maintaining the operational budget at the 2020–2021 level in nominal terms;

25. *Requests* the Executive Secretary, at the fifteenth meeting of the Conference of the Parties, to provide, where relevant, cost estimates for actions that have budgetary implications that are not foreseen in the draft programme of work but are included in proposed draft decisions, before the adoption of those decisions by the Conference of the Parties;

26. *Stresses* the need to ensure that the proposal for the 2022–2023 technical cooperation trust fund requirement presented in the budget is realistic and represents the agreed priorities of all Parties so as to encourage voluntary contributions from donors.

Table 1
Programme budget, reserves and financing for the 2020–2021 biennium⁴

(United States dollars)

Activity	General Trust Funds			Voluntary Trust Funds		
	Basel (BCL)	Rotterdam (ROL)	Stockholm (SCL)	Basel (BDL)	Rotterdam (RVL)	Stockholm (SVL)
1 Basel COP	566,286			1,132,379		
2 Rotterdam COP		566,286			1,132,379	
3 Stockholm COP			566,286			1,132,379
4 Basel OEWG	344,146			594,160		
5 Rotterdam CRC		474,370			102,200	
6 Stockholm POPRC			912,722			100,560
7 Basel, Rotterdam, Stockholm Bureaux	42,865	26,491	37,390			
10 Basel ICC	38,346			141,402		
12 Support for Scientific Bodies				40,000	40,000	40,000
13 Technical Assistance and Capacity Development	10,000	10,000	10,000	622,979	522,960	682,959
14 Basel Training and Capacity Development				1,460,000		
15 Rotterdam Training and Capacity Development					1,100,000	
16 Stockholm Training and Capacity Development			50,000			1,100,000
18 Partnerships				1,250,000	300,000	45,000
19 Basel and Stockholm Support for Regional Centres				344,150		344,150
20 Basel Scientific Support	336,250		20,000	355,000		
21 Rotterdam Scientific Support		60,000			105,700	
22 Stockholm Scientific Support			145,000			292,000
23 Stockholm Effectiveness Evaluation and GMP			60,000			420,000
24 Basel and Stockholm National Reporting	40,000		70,000	90,000		10,000
25 Clearing House Mechanism (*joint activities)	42,705	92,792	42,703	83,334	83,332	83,334
26 Publications	23,782	23,732	23,782	54,618	54,518	54,618
27 Communication, Outreach and Public Awareness	8,834	8,833	8,833	54,000	54,000	54,000
28 Executive Direction, Management and Administration	200,774	213,844	217,181			
29 International Cooperation	3,333	3,333	3,334			
30 Resource Mobilization and Financial Mechanisms (*)			165,000	12,000	12,000	97,000
32 Basel Legal and Policy Activities				763,914		
33 Legal and Policy Activities				50,000		
34 Basel Country Led Initiative (ESM and Further Legal Clarity)				529,840		
35 Office Maintenance	359,340	209,670	359,340			
36 ICT Services	100,000	80,000	100,000			
Staffing	6,478,278	5,600,047	7,774,766	445,518	445,518	445,518
Total approved Programme of Work (excl. PSC)	8,594,940	7,369,398	10,566,338	8,023,294	3,952,607	4,901,518
Programme Support Costs (PSC) 13%	1,117,342	958,022	1,373,624	1,043,028	513,839	637,197
Total approved Programme of Work (incl. PSC)	9,712,282	8,327,420	11,939,962	9,066,322	4,466,446	5,538,715
(*) Specific activities earmarked to be funded from General Trust Fund provisional cash balance/surpluses (excluding PSC). See table 4 for details.						
	21,353	10,396	186,352	-	-	-
For reference only:						
Total modified (*) to reflect utilisation of cash balance/surpluses (excl. PSC)	8,573,588	7,359,002	10,379,987	8,023,294	3,952,607	4,901,518
Programme Support Costs 13%	1,114,566	956,670	1,349,398	1,043,028	513,839	637,197
Total modified (*) to reflect utilisation of cash balance/surpluses (incl. PSC)	9,688,154	8,315,672	11,729,385	9,066,322	4,466,446	5,538,715

Note:

The figures in the table above are based on detailed budget which contains breakdowns at component/sub-activity levels and decimals have been rounded up.

⁴ Table 1 is presented in English only and without formal editing.

	<i>Basel^c</i>	<i>Rotterdam^c</i>	<i>Stockholm^c</i>	<i>Total</i>
	<i>2020–2021</i>	<i>2020–2021¹</i>	<i>2020–2021</i>	<i>2020–2021¹</i>
Approved budgets for 2020–2021				
Proposed Budget Direct Costs 2020–2021	8,594,940	7,369,398	10,566,338	26,530,676
Programme Support Costs (13%)	1,117,342	958,022	1,373,624	3,448,988
Total Operational Budget 2020–2021	9,712,282	8,327,420	11,939,962	29,979,664
Current Level of the Working Capital Reserve (15%)	722,615	617,933	868,667	2,209,215
Required Level of the Working Capital Reserve (15%)	728,421	624,557	895,497	2,248,475
Change in the Working Capital Reserve	5,806	6,624	26,830	39,260
Current Level of the Rotterdam Special Contingency Reserve	–	292,540	–	292,540
Required level of the Rotterdam Special Contingency Reserve	–	330,318	–	330,318
Change in the Rotterdam Special Contingency Reserve (adjustment of account for fluctuations in salary scales)	–¹	37,778	–	37,778
Total Resources Required for 2020–2021	9,718,088	8,371,822	11,966,792	30,056,702
Proposed funding of the 2020–2021 Budget				
Draw down from the provisional cash balance 31.12.2019 (Act 25 and Act 30.2)	24,129	11,747	210,578	246,454
Funded from the Host Country Contributions of Switzerland (excluding Swiss assessed contribution) ^{2,4,5,6}	–	668,896	1,808,075	2,476,971
Funded from the Host Country Contribution of Italy ^{3,5}	–	1,337,793	–	1,337,793
Funded from the Assessed Contributions of Parties	9,963,959	6,353,385	9,948,139	25,995,484

¹ The amount of the special contingency reserve has been modified to reflect the increase in staff costs between 2018–2019 and 2020–2021 for Rome-based staff who are provided by the Food and Agriculture Organization of the United Nations (FAO) as an in-kind contribution to the Rotterdam Convention.

² Switzerland's host country contribution to the Rotterdam Convention is €1,200,000 for the biennium, of which 50 per cent, or €600,000, is allocated to the general trust fund and 50 per cent, or €600,000, is allocated to the trust fund for voluntary contributions and converted into United States dollars.

³ Italy's host country contribution to the Rotterdam Convention General Trust Fund is €1,200,000 for the biennium.

⁴ Switzerland's host country contribution to the Stockholm Convention is CHF 4,000,000 for the biennium, of which 50 per cent, or CHF 2,000,000, is allocated to the general trust fund, and 50 per cent, or CHF 2,000,000, is allocated to the trust fund for voluntary contributions. The contribution of CHF 2,000,000 for the biennium to the general trust fund is equal to \$1,808,075 and includes Switzerland's assessed contribution to the Stockholm Convention of \$150,788 (\$75,394 per annum).

⁵ Host country contributions for the Rotterdam Convention are pledged in euros and converted into United States dollars using the United Nations operational rate of exchange of 1 United States dollar = 0.897 euros for May 2019.

⁶ Host country contributions for the Stockholm Convention are pledged in Swiss francs and converted into United States dollars using the United Nations operational rate of exchange of 1 United States dollar = 1.021 Swiss francs for May 2019.

Table 2
Assessed contributions apportioned to Parties to the Basel, Rotterdam and Stockholm conventions for the 2020–2021 biennium⁵

(United States dollars)

United Nations Secretariat scale		Basel Convention (BCL)		Rotterdam Convention (ROL)		Stockholm Convention (SCL)	
Party	United Nations scale per cent	Basel Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Rotterdam Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Stockholm Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium
	(1)	(2)	(4)	(3)	(4)	(3)	(4)
	Per cent	No.	United States dollars	No.	United States dollars	Per cent	United States dollars
1 Afghanistan	0.007	1	424	1	318	0.010	497
2 Albania	0.008	2	485	2	318	0.010	497
3 Algeria	0.138	3	8 364	–	n.a.	0.182	9 039
4 Andorra	0.005	4	303	–	n.a.	n.a.	n.a.
5 Angola	0.010	5	485	–	n.a.	0.010	497
6 Antigua and Barbuda	0.002	6	121	3	318	0.010	497
7 Argentina	0.915	7	55 459	4	36 521	1.205	59 935
8 Armenia	0.007	8	424	5	318	0.010	497
9 Australia	2.210	9	133 951	6	88 208	2.910	144 762
10 Austria	0.677	10	41 034	7	27 021	0.892	44 346
11 Azerbaijan	0.049	11	2 970	–	n.a.	0.065	3 210
12 Bahamas	0.018	12	1 091	–	n.a.	0.024	1 179
13 Bahrain	0.050	13	3 031	8	1 996	0.066	3 275
14 Bangladesh	0.010	14	485	–	n.a.	0.010	497
15 Barbados	0.007	15	424	–	n.a.	0.010	497
16 Belarus	0.049	16	2 970	–	n.a.	0.065	3 210
17 Belgium	0.821	17	49 762	9	32 769	1.081	53 778
18 Belize	0.001	18	61	10	318	0.010	497
19 Benin	0.003	19	182	11	318	0.010	497
20 Bhutan	0.001	20	61	–	n.a.	n.a.	n.a.
21 Bolivia (Plurinational State of)	0.016	21	970	12	639	0.021	1 048
22 Bosnia and Herzegovina	0.012	22	727	13	479	0.016	786

⁵ Table 2 is presented in English only and without formal editing.

<i>United Nations Secretariat scale</i>		<i>Basel Convention (BCL)</i>			<i>Rotterdam Convention (ROL)</i>			<i>Stockholm Convention (SCL)</i>		
<i>Party</i>	<i>United Nations scale per cent</i>		<i>Basel Convention adjusted scale per cent</i>	<i>Average annual contribution for biennium</i>		<i>Rotterdam Convention adjusted scale per cent</i>	<i>Average annual contribution for biennium</i>		<i>Stockholm Convention adjusted scale per cent</i>	<i>Average annual contribution for biennium</i>
	(1)	No.	(2)	(4)	No.	(3)	(4)	No.	(3)	(4)
	<i>Per cent</i>		<i>Per cent</i>	<i>United States dollars</i>		<i>Per cent</i>	<i>United States dollars</i>		<i>Per cent</i>	<i>United States dollars</i>
23 Botswana	0.014	23	0.018	849	14	0.018	559	21	0.018	917
24 Brazil	2.948	24	3.686	178 682	15	3.704	117 664	22	3.882	193 103
25 Brunei Darussalam	0.025	25	0.031	1 515	–	n.a.	n.a.	–	n.a.	n.a.
26 Bulgaria	0.046	26	0.058	2 788	16	0.058	1 836	23	0.061	3 013
27 Burkina Faso	0.003	27	0.004	182	17	0.010	318	24	0.010	497
28 Burundi	0.001	28	0.001	61	18	0.010	318	25	0.010	497
29 Cabo Verde	0.001	29	0.001	61	19	0.010	318	26	0.010	497
30 Cambodia	0.006	30	0.008	364	20	0.010	318	27	0.010	497
31 Cameroon	0.013	31	0.016	788	21	0.016	519	28	0.017	852
32 Canada	2.734	32	3.419	165 711	22	3.435	109 123	29	3.600	179 086
33 Central African Republic	0.001	33	0.001	61	–	n.a.	n.a.	30	0.010	497
34 Chad	0.004	34	0.005	242	23	0.010	318	31	0.010	497
35 Chile	0.407	35	0.509	24 669	24	0.511	16 245	32	0.536	26 660
36 China	12.005	36	15.012	727 639	25	15.084	479 158	33	15.809	786 366
37 Colombia	0.288	37	0.360	17 456	26	0.362	11 495	34	0.379	18 865
38 Comoros	0.001	38	0.001	61	–	n.a.	n.a.	35	0.010	497
39 Congo	0.006	39	0.008	364	27	0.010	318	36	0.010	497
40 Cook Islands	0.001	40	0.001	61	28	0.010	318	37	0.010	497
41 Costa Rica	0.062	41	0.078	3 758	29	0.078	2 475	38	0.082	4 061
42 Côte d'Ivoire	0.013	42	0.016	788	30	0.016	519	39	0.017	852
43 Croatia	0.077	43	0.096	4 667	31	0.097	3 073	40	0.101	5 044
44 Cuba	0.080	44	0.100	4 849	32	0.101	3 193	41	0.105	5 240
45 Cyprus	0.036	45	0.045	2 182	33	0.045	1 437	42	0.047	2 358
46 Czechia	0.311	46	0.389	18 850	34	0.391	12 413	43	0.410	20 371
47 Democratic People's Republic of Korea	0.006	47	0.008	364	35	0.010	318	44	0.010	497
48 Democratic Republic of the Congo	0.010	48	0.013	606	36	0.010	318	45	0.010	497
49 Denmark	0.554	49	0.693	33 579	37	0.696	22 112	46	0.730	36 289
50 Djibouti	0.001	50	0.001	61	38	0.010	318	47	0.010	497

United Nations Secretariat scale				Basel Convention (BCL)		Rotterdam Convention (ROL)		Stockholm Convention (SCL)			
Party		United Nations scale per cent		Basel Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium		Rotterdam Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium		Stockholm Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium
		(1)		(2)	(4)		(3)	(4)		(3)	(4)
		Per cent	No.	Per cent	United States dollars	No.	Per cent	United States dollars	No.	Per cent	United States dollars
51	Dominica	0.001	51	0.001	61	39	0.010	318	48	0.010	497
52	Dominican Republic	0.053	52	0.066	3 212	40	0.067	2 115	49	0.070	3 472
53	Ecuador	0.080	53	0.100	4 849	41	0.101	3 193	50	0.105	5 240
54	Egypt	0.186	54	0.233	11 274	–	n.a.	n.a.	51	0.245	12 184
55	El Salvador	0.012	55	0.015	727	42	0.015	479	52	0.016	786
56	Equatorial Guinea	0.016	56	0.020	970	43	0.020	639	–	n.a.	n.a.
57	Eritrea	0.001	57	0.001	61	44	0.010	318	53	0.010	497
58	Estonia	0.039	58	0.049	2 364	45	0.049	1 557	54	0.051	2 555
59	Eswatini	0.002	59	0.003	121	46	0.010	318	55	0.010	497
60	Ethiopia	0.010	60	0.010	485	47	0.010	318	56	0.010	497
61	European Union	2.500	61	2.500	121 174	48	2.500	79 417	57	2.500	124 352
62	Fiji	0.003		n.a.	n.a.	–	n.a.	n.a.	58	0.010	497
63	Finland	0.421	62	0.526	25 517	49	0.529	16 803	59	0.554	27 577
64	France	4.427	63	5.536	268 326	50	5.562	176 696	60	5.830	289 983
65	Gabon	0.015	64	0.019	909	51	0.019	599	61	0.020	983
66	Gambia	0.001	65	0.001	61	52	0.010	318	62	0.010	497
67	Georgia	0.008	66	0.010	485	53	0.010	318	63	0.010	497
68	Germany	6.090	67	7.616	369 123	54	7.652	243 071	64	8.020	398 915
69	Ghana	0.015	68	0.019	909	55	0.019	599	65	0.020	983
70	Greece	0.366	69	0.458	22 184	56	0.460	14 608	66	0.482	23 974
71	Guatemala	0.036	70	0.045	2 182	57	0.045	1 437	67	0.047	2 358
72	Guinea	0.003	71	0.004	182	58	0.010	318	68	0.010	497
73	Guinea-Bissau	0.001	72	0.001	61	59	0.010	318	69	0.010	497
74	Guyana	0.002	73	0.003	121	60	0.010	318	70	0.010	497
75	Honduras	0.009	74	0.011	546	61	0.010	318	71	0.010	497
76	Hungary	0.206	75	0.258	12 486	62	0.259	8 222	72	0.271	13 494
77	Iceland	0.028	76	0.035	1 697	–	n.a.	n.a.	73	0.037	1 834
78	India	0.834	77	1.043	50 550	63	1.048	33 288	74	1.098	54 630
79	Indonesia	0.543	78	0.679	32 912	64	0.682	21 673	75	0.715	35 568
80	Iran (Islamic Republic of)	0.398	79	0.498	24 123	65	0.500	15 885	76	0.524	26 070

<i>United Nations Secretariat scale</i>		<i>Basel Convention (BCL)</i>		<i>Rotterdam Convention (ROL)</i>		<i>Stockholm Convention (SCL)</i>	
<i>Party</i>	<i>United Nations scale per cent</i>	<i>Basel Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>	<i>Rotterdam Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>	<i>Stockholm Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>
	(1)	(2)	(4)	(3)	(4)	(3)	(4)
	<i>Per cent</i>	No.	<i>Per cent</i>	<i>United States dollars</i>	No.	<i>Per cent</i>	<i>United States dollars</i>
81 Iraq	0.129	80	0.161	7 819	66	0.162	5 149
82 Ireland	0.371	81	0.464	22 487	67	0.466	14 808
83 Israel	0.490	82	0.613	29 700	68	0.616	19 557
84 Italy	3.307	83	4.135	200 442	69	4.155	131 993
85 Jamaica	0.008	84	0.010	485	70	0.010	318
86 Japan	8.564	85	10.709	519 076	71	10.760	341 817
87 Jordan	0.021	86	0.026	1 273	72	0.026	838
88 Kazakhstan	0.178	87	0.223	10 789	73	0.224	7 105
89 Kenya	0.024	88	0.030	1 455	74	0.030	958
90 Kiribati	0.001	89	0.001	61	–	n.a.	n.a.
91 Kuwait	0.252	90	0.315	15 274	75	0.317	10 058
92 Kyrgyzstan	0.002	91	0.003	121	76	0.010	318
93 Lao People's Democratic Republic	0.005	92	0.006	303	77	0.010	318
94 Latvia	0.047	93	0.059	2 849	78	0.059	1 876
95 Lebanon	0.047	94	0.059	2 849	79	0.059	1 876
96 Lesotho	0.001	95	0.001	61	80	0.010	318
97 Liberia	0.001	96	0.001	61	81	0.010	318
98 Libya	0.030	97	0.038	1 818	82	0.038	1 197
99 Liechtenstein	0.009	98	0.011	546	83	0.010	318
100 Lithuania	0.071	99	0.089	4 303	84	0.089	2 834
101 Luxembourg	0.067	100	0.084	4 061	85	0.084	2 674
102 Madagascar	0.004	101	0.005	242	86	0.010	318
103 Malawi	0.002	102	0.003	121	87	0.010	318
104 Malaysia	0.341	103	0.426	20 668	88	0.428	13 610
105 Maldives	0.004	104	0.005	242	89	0.010	318
106 Mali	0.004	105	0.005	242	90	0.010	318
107 Malta	0.017	106	0.021	1 030	91	0.020	639
108 Marshall Islands	0.001	107	0.001	61	92	0.010	318
109 Mauritania	0.002	108	0.003	121	93	0.010	318
110 Mauritius	0.011	109	0.014	667	94	0.014	439

United Nations Secretariat scale				Basel Convention (BCL)		Rotterdam Convention (ROL)		Stockholm Convention (SCL)			
Party		United Nations scale per cent		Basel Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Rotterdam Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Stockholm Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium		
		(1)		(2)	(4)		(3)	(4)	(3)	(4)	
		Per cent	No.	Per cent	United States dollars	No.	Per cent	United States dollars	No.	Per cent	United States dollars
111	Mexico	1.292	110	1.616	78 310	95	1.623	51 568	104	1.701	84 630
112	Micronesia (Federated States of)	0.001	111	0.001	61	–	n.a.	n.a.	105	0.010	497
113	Monaco	0.011	112	0.014	667	–	n.a.	n.a.	106	0.014	721
114	Mongolia	0.005	113	0.006	303	96	0.010	318	107	0.010	497
115	Montenegro	0.004	114	0.005	242	97	0.010	318	108	0.010	497
116	Morocco	0.055	115	0.069	3 334	98	0.069	2 195	109	0.072	3 603
117	Mozambique	0.004	116	0.005	242	99	0.010	318	110	0.010	497
118	Myanmar	0.010	117	0.010	485	–	n.a.	n.a.	111	0.010	497
119	Namibia	0.009	118	0.011	546	100	0.010	318	112	0.010	497
120	Nauru	0.001	119	0.001	61	–	n.a.	n.a.	113	0.010	497
121	Nepal	0.007	120	0.009	424	101	0.010	318	114	0.010	497
122	Netherlands	1.356	121	1.696	82 189	102	1.704	54 122	115	1.786	88 822
123	New Zealand	0.291	122	0.364	17 638	103	0.366	11 615	116	0.383	19 061
124	Nicaragua	0.005	123	0.006	303	104	0.010	318	117	0.010	497
125	Niger	0.002	124	0.003	121	105	0.010	318	118	0.010	497
126	Nigeria	0.250	125	0.313	15 153	106	0.314	9 978	119	0.329	16 376
127	Niue	0.001		n.a.	n.a.	–	n.a.	n.a.	120	0.010	497
128	North Macedonia	0.007	140	0.009	424	119	0.010	318	135	0.010	497
129	Norway	0.754	126	0.943	45 701	107	0.947	30 095	121	0.993	49 389
130	Oman	0.115	127	0.144	6 970	108	0.144	4 590	122	0.151	7 533
131	Pakistan	0.115	128	0.144	6 970	109	0.144	4 590	123	0.151	7 533
132	Palau	0.001	129	0.001	61	–	n.a.	n.a.	124	0.010	497
133	Panama	0.045	130	0.056	2 728	110	0.057	1 796	125	0.059	2 948
134	Papua New Guinea	0.010	131	0.013	606	–	n.a.	n.a.	126	0.010	497
135	Paraguay	0.016	132	0.020	970	111	0.020	639	127	0.021	1 048
136	Peru	0.152	133	0.190	9 213	112	0.191	6 067	128	0.200	9 956
137	Philippines	0.205	134	0.256	12 425	113	0.258	8 182	129	0.270	13 428
138	Poland	0.802	135	1.003	48 610	114	1.008	32 010	130	1.056	52 534
139	Portugal	0.350	136	0.438	21 214	115	0.440	13 970	131	0.461	22 926
140	Qatar	0.282	137	0.353	17 092	116	0.354	11 256	132	0.371	18 472

United Nations Secretariat scale				Basel Convention (BCL)		Rotterdam Convention (ROL)		Stockholm Convention (SCL)			
Party		United Nations scale per cent		Basel Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Rotterdam Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium	Stockholm Convention adjusted scale per cent	Average <u>annual</u> contribution for biennium		
		(1)		(2)	(4)	(3)	(4)	(3)	(4)		
		Per cent	No.	Per cent	United States dollars	No.	Per cent	United States dollars	No.	United States dollars	
141	Republic of Korea	2.267	138	2.835	137 406	117	2.848	90 483	133	148 496	
142	Republic of Moldova	0.003	139	0.004	182	118	0.010	318	134	497	
144	Romania	0.198	141	0.248	12 001	120	0.249	7 903	136	12 970	
145	Russian Federation	2.405	142	3.007	145 770	121	3.022	95 991	137	157 535	
146	Rwanda	0.003	143	0.004	182	122	0.010	318	138	497	
147	Saint Kitts and Nevis	0.001	144	0.001	61	123	0.010	318	139	497	
148	Saint Lucia	0.001	145	0.001	61	–	n.a.	n.a.	140	497	
149	Saint Vincent and the Grenadines	0.001	146	0.001	61	124	0.010	318	141	497	
150	Samoa	0.001	147	0.001	61	125	0.010	318	142	497	
151	Sao Tome and Principe	0.001	148	0.001	61	126	0.010	318	143	497	
152	Saudi Arabia	1.172	149	1.466	71 037	127	1.473	46 778	144	76 770	
153	Senegal	0.007	150	0.009	424	128	0.010	318	145	497	
154	Serbia	0.028	151	0.035	1 697	129	0.035	1 118	146	1 834	
155	Seychelles	0.002	152	0.003	121	–	n.a	n.a.	147	497	
156	Sierra Leone	0.001	153	0.001	61	130	0.010	318	148	497	
157	Singapore	0.485	154	0.606	29 397	131	0.609	19 358	149	31 769	
158	Slovakia	0.153	155	0.191	9 274	132	0.192	6 107	150	10 022	
159	Slovenia	0.076	156	0.095	4 606	133	0.095	3 033	151	4 978	
160	Solomon Islands	0.001		n.a.	n.a.	–	n.a.	n.a.	152	497	
161	Somalia	0.001	157	0.001	61	134	0.010	318	153	497	
162	South Africa	0.272	158	0.340	16 486	135	0.342	10 856	154	17 817	
163	Spain	2.146	159	2.684	130 072	136	2.696	85 654	155	140 570	
164	Sri Lanka	0.044	160	0.055	2 667	137	0.055	1 756	156	2 882	
165	State of Palestine	0.001	161	0.001	61	138	0.010	318	157	497	
166	Sudan	0.010	162	0.010	485	139	0.010	318	158	497	
167	Suriname	0.005	163	0.006	303	140	0.010	318	159	497	
168	Sweden	0.906	164	1.133	54 914	141	1.138	36 161	160	59 346	
169	Switzerland	1.151	165	1.439	69 764	142	1.446	45 940	161	75 394	

United Nations Secretariat scale				Basel Convention (BCL)		Rotterdam Convention (ROL)		Stockholm Convention (SCL)							
Party		United Nations scale per cent		Basel Convention adjusted scale per cent		Average <u>annual</u> contribution for biennium		Rotterdam Convention adjusted scale per cent		Average <u>annual</u> contribution for biennium		Stockholm Convention adjusted scale per cent		Average <u>annual</u> contribution for biennium	
		(1)		(2)	(4)			(3)	(4)			(3)	(4)		
		Per cent	No.	Per cent	United States dollars	No.	Per cent	United States dollars	No.	Per cent	United States dollars				
170	Syrian Arab Republic	0.011	166	0.014	667	143	0.014	439	162	0.014	721				
171	Tajikistan	0.004	167	0.005	242	—	n.a.	n.a.	163	0.010	497				
172	Thailand	0.307	168	0.384	18 608	144	0.386	12 253	164	0.404	20 109				
173	Togo	0.002	169	0.003	121	145	0.010	318	165	0.010	497				
174	Tonga	0.001	170	0.001	61	146	0.010	318	166	0.010	497				
175	Trinidad and Tobago	0.040	171	0.050	2 424	147	0.050	1 597	167	0.053	2 620				
176	Tunisia	0.025	172	0.031	1 515	148	0.031	998	168	0.033	1 638				
177	Turkey	1.371	173	1.714	83 098	149	1.723	54 721	169	1.805	89 805				
178	Turkmenistan	0.033	174	0.041	2 000	—	n.a.	n.a.	—	n.a.	n.a.				
179	Tuvalu	0.001		n.a.	n.a.	—	n.a.	n.a.	170	0.010	497				
180	Uganda	0.008	175	0.010	485	150	0.010	318	171	0.010	497				
181	Ukraine	0.057	176	0.071	3 455	151	0.072	2 275	172	0.075	3 734				
182	United Arab Emirates	0.616	177	0.770	37 337	152	0.774	24 587	173	0.811	40 350				
183	United Kingdom of Great Britain and Northern Ireland	4.567	178	5.711	276 812	153	5.738	182 284	174	6.014	299 153				
184	United Republic of Tanzania	0.010	179	0.010	485	154	0.010	318	175	0.010	497				
185	Uruguay	0.087	180	0.109	5 273	155	0.109	3 472	176	0.115	5 699				
186	Uzbekistan	0.032	181	0.040	1 940	—	n.a.	n.a.	—	n.a.	n.a.				
187	Vanuatu	0.001	182	0.001	61	156	0.010	318	177	0.010	497				
188	Venezuela (Bolivarian Republic of)	0.728	183	0.910	44 125	157	0.915	29 057	178	0.959	47 686				
189	Viet Nam	0.077	184	0.096	4 667	158	0.097	3 073	179	0.101	5 044				
190	Yemen	0.010	185	0.010	485	159	0.010	318	180	0.010	497				
191	Zambia	0.009	186	0.011	546	160	0.010	318	181	0.010	497				
192	Zimbabwe	0.005	187	0.006	303	161	0.010	318	182	0.010	497				

<i>United Nations Secretariat scale</i>		<i>Basel Convention (BCL)</i>		<i>Rotterdam Convention (ROL)</i>		<i>Stockholm Convention (SCL)</i>	
<i>Party</i>	<i>United Nations scale per cent</i>	<i>Basel Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>	<i>Rotterdam Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>	<i>Stockholm Convention adjusted scale per cent</i>	<i>Average <u>annual</u> contribution for biennium</i>
	(1)	(2)	(4)	(3)	(4)	(3)	(4)
	<i>Per cent</i>	<i>No.</i>	<i>Per cent</i>	<i>United States dollars</i>	<i>No.</i>	<i>Per cent</i>	<i>United States dollars</i>
Total per year	80.489		100.000	4 846 980		100.000	3 176 692
Total per biennium				9 693 959			6 353 385

Notes:

- (1) United Nations scale of assessment as per resolution 73/271 of 22 December 2018 adopted by the General Assembly at its seventieth session for the years 2019, 2020 and 2021.
- (2) As per rule 5, paragraph 1 (a) of the financial rules of the Basel Convention, contributions made each year by Parties should be based on an indicative scale based on the United Nations scale approved by General Assembly and should be adjusted to ensure that: (i) no Party contributes less than 0.001 per cent of the total; (ii) no one contribution exceeds 22 per cent of the total; (iii) no contribution from a least developed country Party exceeds 0.01 per cent of the total.
- (3) As per rule 5, paragraph 1 (a) of the financial rules of the Rotterdam and Stockholm conventions, contributions made each year by Parties should be based on an indicative scale based on the United Nations scale approved by General Assembly and should be adjusted to ensure that: (i) no Party contributes less than 0.01 per cent of the total; (ii) no one contribution exceeds 22 per cent of the total; (iii) no contribution from a least developed country Party exceeds 0.01 per cent of the total.
- (4) This is the annual contribution to be paid by the Parties both in 2020 and 2021. It is the same for both years and is based on the total required funds for the biennium and the average requirement for the year.

Table 3

Indicative staffing table for the Basel, Rotterdam and Stockholm conventions for the biennium 2020–2021⁶**Posts funded from the general trust funds (used for costing purposes only)**

<i>Staff category and level</i>	<i>Approved 2018–2019 BRS</i>				<i>Total proposed 2020–2021 BRS</i>			
	<i>Core funded</i>	<i>In-kind by FAO</i>	<i>UNEP PSC</i>	<i>Total</i>	<i>Core funded</i>	<i>In-kind by FAO</i>	<i>UNEP PSC</i>	<i>Total</i>
A. Professional categories								
D-2 level	1.00	0.25	—	1.25	1.00	0.25	—	1.25
D-1 level	1.00	—	—	1.00	1.00	—	—	1.00
P-5 level	7.00	—	—	7.00	7.00	—	—	7.00
P-4 level	7.00	—	2.00	9.00	7.00	—	2.00	9.00
P-3 level	16.00	1.00	—	17.00	16.00	1.00	—	17.00
P-2 level	2.00	—	—	2.00	2.00	—	—	2.00
<i>Subtotal A</i>	<i>34.00</i>	<i>1.25</i>	<i>2.00</i>	37.25	<i>34.00</i>	<i>1.25</i>	<i>2.00</i>	37.25
B. General Service category GS	12.00	1.25	6.00	19.25	12.00	1.25	6.00	19.25
<i>Subtotal B</i>	<i>12.00</i>	<i>1.25</i>	<i>6.00</i>	19.25	<i>12.00</i>	<i>1.25</i>	<i>6.00</i>	19.25
Total (A+B)	46.00	2.50	8.00	56.50	46.00	2.50	8.00	56.50
Remarks	(1)	(2)	(3)		(1)	(2)	(3)	

Notes

- (1) Post funded by assessed contributions.
- (2) Provided by FAO as an in-kind contribution in its capacity as part of the Rotterdam Convention Secretariat.
- (3) Funded by the programme support cost (PSC) of 13 per cent accrued from both assessed (core) and voluntary contributions, includes finance, administration and logistics staff.

⁶ Table 3 is presented in English only and without formal editing.

**Posts funded from voluntary special and technical cooperation trust funds
(used for costing purposes only)**

<i>Staff category and level</i>	<i>Approved 2018–2019 BRS</i>	<i>Total proposed 2020–2021 BRS</i>
A. Professional categories		
D-2 level	–	–
D-1 level	–	–
P-5 level	–	–
P-4 level	–	–
P-3 level	1.00	1.00
P-2 level	–	–
<i>Subtotal A</i>	<i>1.00</i>	<i>1.00</i>
B. General Service category	1.00	3.00
GS		
<i>Subtotal B</i>	<i>1.00</i>	<i>3.00</i>
Total (A+B)	2.00	4.00
Remarks		(1)

Notes

- (1) Voluntary funded staff in above table will be recruited subject to the availability of voluntary funds. Additional voluntary funded positions in Geneva could be added to support the implementation of voluntary funded projects, throughout the duration of the project, subject to availability of funds and project needs.

Provisional projected salary costs for Geneva for the biennium 2020–2021*(United States dollars)***Duty station: Geneva**

<i>Staff category and level</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>	<i>2020–2021</i>
A. Professional category					
D-2	297,246	306,163	315,348	324,809	640,157
D-1	297,246	306,163	315,348	324,809	640,157
P-5	259,526	267,312	275,331	283,591	558,922
P-4	224,010	230,730	237,652	244,781	482,433
P-3	189,780	195,474	201,338	207,378	408,716
P-2	161,259	166,096	171,079	176,212	347,291
B. General Service category					
GS	143,673	147,984	152,423	156,996	309,419
C. Other direct personnel costs					
Retirement/Separation and replacement recruitment costs	—	—	—	—	262,775
ICSC review of entitlements (revised)	—	—	—	—	130,000
Remarks	(1)	(2)	(2)	(2)	(3) (4)

- (1) Average actual salary costs including UN staff entitlement of BRS Geneva staff for June-July 2018 was used as basis to project future salary costs. These actual costs take into account the decrease in salaries in Geneva duty station due to the ICSC salary review undertaken in 2017 and resulting in a reduction in the post adjustment affecting the staff costs.
- (2) Staff costs for 2019, 2020 and 2021 were estimated by using the actual costs of 2018 with an increase of a standard 3 per cent per annum to cover for salary step increase, inflation, exchange rate fluctuations and unexpected changes in salary costs.
- (3) The projected actual salary costs for the biennium exclude the estimated retirement/separation and replacement recruitment costs. These costs are an integral part of the staffing costs and have been added separately for transparency. In the biennium 2020-2021 BRS has 5 staff members that have the right to retire during the biennium as they are between 62-65 years, however, they have the right to decide to stay until 65 years. In addition there may be other staff that leaves to another job. In these calculations we have only taken into account 3 retirements or separations or mobility (when a person changes jobs or resigns) and their replacements. These costs include both Geneva and Rome staff movements.
- (4) The International Civil Servants Commission (ICSC) has proposed to the General Assembly in the Annual Report of the ICSC for the year 2018 (A/73/30) that the General Assembly approves changes in staff entitlements. If approved by the UN General Assembly, the following proposed changes would affect the BRS Secretariat staff costs: 4.4% increase in P-staff pensionable remuneration, 25% increase of annual dependency allowance, 1.83% increase in base/floor salary scale of P-staff (proposed zero net effect). In addition ICSC will undertake a new review of post-adjustment calculations and review other entitlements that may increase the salary costs further. The cost of these changes if approved, have been estimated to be higher than the amount presented in the current proposal. At 2019 COP this amount was adjusted to take into account the actual outcome of the GA resolution, and the pensionable remuneration amount was revised with USD 30,000 from USD 100,000 to USD 130,000.

Provisional projected salary costs for Rome for the biennium 2020-2021*(United States dollars)***Duty station: Rome**

<i>Staff category and level</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>	<i>2020–2021</i>
A. Professional category					
D-2	273,432	273,432	281,635	290,084	571,719
P-5	245,911	253,288	260,887	268,713	529,600
P-4	239,383	246,565	253,962	261,580	515,542
P-3	195,324	201,184	207,220	213,436	420,656
P-2	154,396	159,028	163,799	168,713	332,512
B. General Service category					
GS	111,430	114,773	118,216	121,763	239,979
C. Other direct personnel costs					
Retirement/Separation and replacement recruitment costs	–	–	–	–	–
ICSC review of entitlements	–	–	–	–	–
Remarks	(1)	(2)	(2)	(2)	(2) (3) (4)

Notes

- (1) Average actual salary costs for 2018 including staff entitlements and improved cost recovery uplift (ICRU) in respect to Rome staff was used as a basis to project future salary costs for staff salaries in GS and P1-P5 levels. For the in-kind post at the D-2 level, we have used the FAO standard salary cost for 2018–2019 as the post incumbency has changed during 2018.
- (2) Staff costs for 2019, 2020 and 2021 were estimated by using the actual costs of 2018 increased by a standard 3 per cent per annum.
- (3) No retirements are foreseen in Rome office for the 2020–2021 biennium. Other possible mobility related staff movements have been accounted for under Geneva staff budget.
- (4) Rome staff costs in terms of the proposed ICSC changes in entitlements have been included under Geneva staff costs “ICSC review of entitlements”.

Table 4

Specified activities to be funded from the available surpluses in the conventions' general trust funds in 2020–2021⁷

<i>Draw down from the provisional cash balance 31 December 2019 of the general trust funds</i>	<i>Basel Convention (BCL)</i>	<i>Rotterdam Convention (ROL)</i>	<i>Stockholm Convention (SCL)</i>	<i>Total</i>
	<i>2020–2021</i>	<i>2020–2021</i>	<i>2020–2021</i>	<i>2020–2021</i>
Activity 25 Clearing house mechanism	21 353	10 396	21 352	53 101
Activity 30.2 Financial mechanism assessment report			165 000	165 000
Total direct costs	21 353	10 396	186 352	218 101
Programme support costs (13 per cent)	2 776	1 351	24 226	28 353
Total specific activities to be drawn down from the provisional projected cash balance 31 December 2019 of the general trust funds	24 129	11 747	210 578	246 454

⁷ Table 4 is presented in English only and without formal editing.