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**Conference of the Parties to the Basel Convention  
on the Control of Transboundary Movements of  
Hazardous Wastes and Their Disposal  
Eleventh meeting  
Geneva, 28 April–10 May 2013**

## **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 eleventh meeting**

### **Introduction**

1. The eleventh ordinary meeting of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal was held at the Geneva International Conference Centre from 28 April to 10 May 2013.
2. The meeting was held in coordination with the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants and the second simultaneous extraordinary meetings of the conferences of the parties to the three conventions.
3. Brief regular sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention took place on the morning and afternoon of 28 April for the purposes of opening the meeting and adopting its agenda, respectively, and full regular sessions were held on 3, 4 and 6 May. In addition, on the afternoon of 28 April and the afternoon of 29 April, full sessions were held simultaneously with sessions of the ordinary meetings of the conferences of the parties to the Rotterdam and Stockholm conventions to address cross-cutting issues of concern to the three conventions and on the morning of 29 April a full session was held simultaneously with a session of the ordinary meeting of the Conference of the Parties to the Stockholm Convention to address cross-cutting issues of concern to the two conventions. Brief individual and simultaneous sessions were also held from time to time as necessary until the end of all the meetings on 10 May. On the afternoon of 9 May and the morning of 10 May a high-level segment featuring ministerial roundtable discussions was held. A report on the high-level segment is set out in annex II to the report of the second simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4). The closing session of the meeting, along with the closing sessions of the other ordinary and extraordinary meetings, was held on the evening of 10 May.
4. The separate sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention and the simultaneous sessions of the three ordinary meetings are described in the present report. The separate sessions of the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention, the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention and the second simultaneous extraordinary meetings of the three conventions are described in the reports of those meetings, which are set out in documents

UNEP/FAO/RC/COP.6/20, UNEP/POPS/COP.6/33 and UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4, respectively.

## **I. Opening of the meeting**

5. The eleventh ordinary meeting of the Conference of the Parties to the Basel Convention was opened at 10 a.m. on Sunday, 28 April 2013, by Mr. Franz Perrez (Switzerland), President of the Conference of the Parties.

6. Opening remarks were made during the second extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, which began immediately after the opening of the current meeting, and are summarized in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4).

## **II. Adoption of the agenda**

7. The Conference of the Parties adopted the following agenda, on the basis of the provisional agenda set out in document UNEP/CHW.11/1:

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 eleventh meeting of the Conference of the Parties.
4. Matters related to the implementation of the Convention:
  - (a) Strategic issues:
    - (i) Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention;
    - (ii) Strategic framework;
  - (b) Scientific and technical matters:
    - (i) Technical guidelines;
    - (ii) Amendments to the annexes to the Basel Convention;
    - (iii) Classification and hazard characterization of wastes;
    - (iv) National reporting;
  - (c) Legal, compliance and governance matters:
    - (i) Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention;
    - (ii) National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic;
  - (d) Technical assistance:
    - (i) Capacity-building;
    - (ii) Basel Convention regional and coordinating centres;
    - (iii) Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention;
  - (e) International cooperation, coordination and partnerships:
    - (i) Basel Convention Partnership Programme;
    - (ii) Environmentally sound dismantling of ships;
    - (iii) Cooperation with the International Maritime Organization;

- (iv) Other international cooperation and coordination;
  - (f) Resource mobilization and financial resources;
  - (g) Operations and work programme of the Open-ended Working Group for 2014–2015.
5. Programme of work of the Secretariat and adoption of the budget.
  6. Venue and date of the twelfth meeting of the Conference of the Parties.
  7. Other matters.
  8. Adoption of the report.
  9. Closure of the meeting.

### III. Organizational matters

#### A. Attendance

8. The meeting was attended by representatives of the following 155 Parties: Albania, Algeria, Antigua and Barbuda, Argentina, Armenia, Australia, Austria, Azerbaijan, Bahrain, Bangladesh, Barbados, Belarus, Belgium, Belize, Benin, Bhutan, Bolivia (Plurinational State of), Bosnia and Herzegovina, Botswana, Brazil, Bulgaria, Burkina Faso, Burundi, Cambodia, Cameroon, Canada, Chile, China, Colombia, Congo, Cook Islands, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Cyprus, Czech Republic, Democratic People's Republic of Korea, Democratic Republic of the Congo, Denmark, Djibouti, Dominican Republic, Ecuador, Egypt, El Salvador, Eritrea, Estonia, Ethiopia, European Union, Finland, France, Gabon, Georgia, Germany, Ghana, Greece, Guatemala, Guinea, Guinea-Bissau, Guyana, Honduras, Hungary, 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, Liechtenstein, Lithuania, Luxembourg, Madagascar, Malawi, Malaysia, Maldives, Mali, Malta, Mauritania, Mauritius, Mexico, Micronesia (Federated States of), Mongolia, Montenegro, Morocco, Mozambique, Namibia, Nepal, Netherlands, New Zealand, Nicaragua, Niger, Nigeria, Norway, Oman, Pakistan, Palau, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Poland, Qatar, Republic of Korea, Republic of Moldova, Romania, Russian Federation, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Samoa, Saudi Arabia, Senegal, Serbia, Seychelles, Singapore, Slovakia, South Africa, Spain, Sri Lanka, Sudan, Suriname, Swaziland, Sweden, Switzerland, Thailand, the former Yugoslav Republic of Macedonia, Togo, Trinidad and Tobago, Turkey, Uganda, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Uzbekistan, Venezuela (Bolivarian Republic of), Viet Nam, Yemen, Zambia, Zimbabwe.

9. In addition, the meeting was attended by representatives of two States that were not parties to the Convention: the State of Palestine and the United States of America. It was also attended by representatives of 12 parties that did not submit valid credentials: Central African Republic, Chad, Comoros, Dominica, Gambia, Libya, Nauru, Rwanda, Syrian Arab Republic, Tonga, Tunisia, Ukraine.

10. The following United Nations bodies and specialized agencies were represented as observers: Food and Agriculture Organization of the United Nations, Global Environment Facility, International Labour Organization, International Maritime Organization, International Telecommunication Union, Office for the Coordination of Humanitarian Affairs, Office of the United Nations High Commissioner for Human Rights, United Nations Conference on Trade and Development, United Nations Development Programme, United Nations Industrial Development Organization, United Nations Institute for Training and Research, United Nations University, World Bank, World Health Organization, World Intellectual Property Organization, World Trade Organization.

11. The following intergovernmental organizations were also represented as observers: League of Arab States, Organization for Economic Cooperation and Development, South Asia Cooperative Environmental Programme, South Centre.

12. The following Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres were represented as observers: Basel Convention Regional Centre for Arab States, Egypt; Stockholm Convention Regional Centre, Kenya; Basel Convention Coordinating Centre for the African Region, Nigeria; Basel Convention Regional Centre for French-speaking Countries in Africa/Stockholm Convention Regional Centre, Senegal; Basel Convention Regional Centre for English-speaking Countries in Africa/Stockholm Convention Regional Centre, South Africa; Basel Convention Regional Centre for Asia and the Pacific/Stockholm Convention Regional

Centre, China; Stockholm Convention Regional Centre, India; Basel Convention Regional Centre for South-East Asia/Stockholm Convention Regional Centre, Indonesia; Stockholm Convention Regional Centre, Kuwait; Stockholm Convention Regional Centre, Czech Republic; Basel Convention Regional Centre for the South American Region, Argentina; Stockholm Convention Regional Centre, Brazil; Basel Convention Regional Centre for the Caribbean Region, Trinidad and Tobago; Basel Convention Coordinating Centre for the Latin America and Caribbean Region/Stockholm Convention Regional Centre, Uruguay; Stockholm Convention Regional Centre, Spain.

13. A number of non-governmental organizations were represented as observers. The names of those organizations are included in the list of participants (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/26).

## **B. Election of officers**

14. In accordance with rule 21 of the rules of procedure, the following members of the Bureau elected at the tenth meeting of the Conference of the Parties served during the current meeting:

President:	Mr. Franz Perrez (Switzerland)
Vice-Presidents:	Mr. Abdul Mohsin Mahmood Al-Mahmood (Bahrain)
	Mr. Andrzej Jagusiewicz (Poland)
	Mr. James Mulolo (Zambia)
Rapporteur	Ms. Yocasta Valenzuela (Dominican Republic)

15. Following the adoption of decision BC-11/24 on the amendment to rule 21 of the rules of procedure, as discussed in section E of chapter VII of the present report, in accordance with rule 21 as so amended the Conference of the Parties elected the following members of the new Bureau, 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. Andrzej Jagusiewicz (Poland)
Vice-Presidents:	Ms. Mara Curaba (Belgium)
	Mr. Hadi Farajvand (Islamic Republic of Iran)
	Ms. Gillian Guthrie (Jamaica)
	Mr. Henry Williams (Liberia)
	Mr. Sergey Trepelkov (Russian Federation)
	Mr. Flavien Joubert (Seychelles)
	Mr. Luca Arnold (Switzerland)
	Mr. Patricio Silva (Uruguay)
	Mr. Ali Abdullah Ahmed Al-Dobhani (Yemen)

## **C. Organization of work**

16. The Conference of the Parties agreed to conduct its work during the current meeting in accordance with the agreement of the parties to the Basel, Rotterdam and Stockholm conventions reached during the first session of the second simultaneous extraordinary meetings of the conferences of the parties to the three conventions, as described in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4).

17. In carrying out its work, the Conference of the Parties had before it working and information documents pertaining to the various items on the meeting agenda. A list of those documents, arranged according to the agenda items to which they pertain, is set out in annex II to the present report.

## **D. Report on the credentials of representatives to the eleventh meeting of the Conference of the Parties**

18. Introducing the item, the representative of the Secretariat recalled that, in accordance with rule 19 of the rules of procedure, the Bureau would examine the credentials of the representatives of the parties present at the current meeting and submit a report to the Conference of the Parties.

19. Subsequently, the President reported that following its examination of credentials received, the Bureau had decided that those parties that had submitted copies of credentials or had not submitted

credentials would have until noon on 9 May to submit original credentials, failing which they would from that point be treated as observers for purposes of the current meeting.

20. On the basis of the above, on the afternoon of Thursday, 9 May, the Bureau reported that it had examined the credentials of 166 parties that had registered for the meeting. Of those, the credentials of 149 had been found to be in order, and 17 parties whose representatives lacked acceptable credentials had been identified. Those 17 parties were therefore deemed to be participating as observers in the meeting of the Conference of the Parties and would be recorded as such in the report of the meeting and the list of participants. The Bureau, however, recommended that parties submitting original credentials to the Secretariat by noon on Thursday, 16 May 2013, be listed as parties in the final report of the meeting and in the final list of participants.

21. Following a discussion, the Conference of the Parties agreed with the Bureau's report.

## **IV. Matters related to the implementation of the Convention**

### **A. Strategic issues**

#### **1. Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention**

22. Introducing the item, the President recalled that at its tenth meeting the Conference of the Parties had adopted decision BC-10/3, on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention. The decision recommended activities to be undertaken by parties, Basel Convention regional centres, the Secretariat and other stakeholders in seven sections: section A on addressing entry into force of the Ban Amendment; section B on developing guidelines for environmentally sound management; section C on providing further legal clarity; section D on further strengthening the Basel Convention regional and coordinating centres; section E on combating illegal traffic more effectively; section F on assisting developing countries facing specific challenges with regard to prohibiting the import of hazardous wastes; and section G on building capacity.

23. The parties agreed to address sections A, B and C under the present agenda item, section D under agenda item 4 (d) (ii), sections E and F under agenda item 4 (c) (ii), and section G under agenda items 4 (d) (i) and 4 (e). The representative of the Secretariat then introduced the relevant documentation and outlined activities undertaken to date to implement the decision.

#### **(a) Addressing the entry into force of the Ban Amendment**

24. In her introduction, the representative of the Secretariat informed the parties that, since the tenth meeting of the Conference of the Parties to the Basel Convention, Lesotho, Malta, Monaco and Saudi Arabia had ratified the Ban Amendment, bringing the total number of ratifications to 75 as at 10 April 2013. Fifteen additional instruments of ratification, approval or acceptance were still required for the Amendment to enter into force, as confirmed by the communication from the United Nations Office of Legal Affairs reproduced in document UNEP/CHW.11/INF/34.

25. During the ensuing discussion, a number of representatives reported on their countries' progress toward ratification. Several representatives welcomed the new ratifications and continuing efforts in that regard by countries that had not yet ratified the amendment. One representative speaking on behalf of a group of countries proposed changes to the draft decision on the matter set out in the note by the Secretariat on follow-up to the Indonesian-Swiss country-led initiative (UNEP/CHW.11/3). Two other representatives asked that the proposed changes be discussed in a contact group.

#### **(b) Developing guidelines for environmentally-sound management**

26. The co-chairs of the technical expert group that had been mandated to complete the development of a framework for the environmentally sound management of hazardous wastes and other wastes, Mr. Kazuhiko Takemoto (Japan) and Mr. Mohammed Khashashneh (Jordan), gave a brief presentation outlining the work of the group, which had convened three meetings during 2012 and 2013 at which it had developed a draft framework.

27. A conference room paper was then introduced to facilitate follow-up work that could be undertaken to implement the framework. The conference room paper identified four areas for priority action.

28. All representatives who spoke expressed their appreciation for the work done to develop the framework for the environmentally sound management of hazardous wastes and other wastes; they thanked in particular the co-chairs of the technical expert group, with most saying that they supported

adoption of the framework developed by the group. One representative stressed the importance of involving the private sector in the implementation of the framework, and another questioned what the source of funding for implementing the framework would be. One representative, speaking on behalf of a group of countries, said that the group wished to propose editorial changes to both the framework and the related draft decision.

29. A number of representatives stressed the importance of undertaking future activities to implement the framework. A number of representatives, including one speaking on behalf of a group of countries, stressed the role of regional centres in the implementation of the framework. Another representative recalled the need for technical and financial assistance for developing countries to support its implementation.

**(c) Providing further legal clarity**

30. Several representatives, some also speaking on behalf of groups of countries, welcomed the development of guidance aimed at providing further legal clarity in respect of the terminology employed in connection with the Convention, highlighting the need to distinguish between waste and non-waste. Some representatives noted overlap with work being undertaken in other contexts, stressing the need to ensure consistency between the manner in which terms were used under the Convention and the manner in which they were used in other relevant forums and instruments. Several representatives said that there was a need for changes to the draft glossary of terms set out in an addendum to the note by the Secretariat (UNEP/CHW.11/3/Add.2).

31. The President proposed the establishment of a small group, facilitated by Ms. Jimena Nieto (Colombia), to discuss and develop a proposal on the best way to deal with the matter of legal clarity, including whether it should be placed under the mandate of one of the contact groups that had been established under other agenda items.

32. Subsequently, the facilitator of the small group reported that there was general consensus within the group on the need to avoid the inclusion of different definitions of the same term in different instruments associated with the convention and to develop one glossary of overarching terms as well as guidance regarding the definitions of those terms. She said that the group believed that a contact group should address the issues.

**(d) Contact groups and adoption of a draft decision**

33. The parties agreed to establish a contact group on strategic matters, co-chaired by Mr. Alberto Capra (Argentina) and Ms. Jane Stratford (United Kingdom of Great Britain and Northern Ireland). The group was requested to propose follow-up activities to implement the framework on the basis of the conference room paper and the discussions in plenary. The group would also look into the following sections of the draft decision set out in document UNEP/CHW.11/3: preamble; section I on addressing the entry into force of the Ban Amendment; and section II on developing guidelines for environmentally sound management, including consideration of the proposed changes to the framework.

34. Further consideration of section III of the draft decision set out in document UNEP/CHW.11/3 on providing further legal clarity was entrusted to the contact group on compliance and other legal matters that was established during the simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention.

35. Subsequently, the co-chair of the contact group on strategic matters reported that the group had reached agreement on a revised version of the draft framework for the environmentally sound management of hazardous wastes and other wastes, as set out in document UNEP/CHW.11/3/Add.1/Rev.1, and was continuing its deliberations on an associated draft decision.

36. The Conference of the Parties agreed to the framework for the environmentally sound management of hazardous wastes and other wastes as revised by the contact group, pending adoption of a related decision and noting that it might be necessary to adjust certain definitions used in the framework consistent with the outcome of the discussions on providing further legal clarity and harmonizing the terminology used under the Convention. The co-chair of the contact group later reported that the group had reached agreement on decision text on entry into force of the Ban Amendment and on developing guidelines for environmentally sound management, including two annexes. The first annex provided a non-exhaustive list of actions to be considered for the implementation of the framework and the second provided the terms of reference for an expert working group mandated to develop and implement actions in support of the framework.

37. Reporting on the outcome of the contact group on compliance and other legal matters, the co-chair said that the group had reached agreement on decision text on legal clarity.
38. At a subsequent session the Conference of the Parties adopted an omnibus draft decision prepared by the contact groups, as orally amended and subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.
39. Following adoption of the decision, it was reported that several countries had pledged both in-kind and financial support for follow-up actions to implement the framework for the environmentally sound management of hazardous wastes and other wastes. Decision BC-11/1, on follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **2. Strategic framework**

40. Drawing attention to the note by the Secretariat on the report on progress in the implementation of the Strategic Framework (UNEP/CHW.11/4), the representative of the Secretariat said that the framework, which had been adopted by the Conference of the Parties at its tenth meeting, consisted of a vision, guiding principles, strategic goals and objectives, means of implementation and indicators for measuring achievement and performance. She noted that the Secretariat continued to cooperate closely with parties, Basel Convention regional centres and other partners in implementing the strategic framework through its programme of work and that information in that regard had been made available to the Conference under the agenda items on capacity-building, on international cooperation, coordination and partnerships and on resource mobilization and financial resources. A report on the creation of a baseline for the mid-term and final evaluations of the strategic framework had been developed on the basis of information received from parties. The report was available in document UNEP/CHW.11/INF/6.
41. In the ensuing discussion, several representatives welcomed the report and highlighted the importance of the strategic framework. Many representatives emphasized the need for further technical and financial assistance to enable developing country parties to differentiate between hazardous wastes and other wastes, to undertake monitoring of transboundary movements and to implement the Convention generally. One representative, speaking on behalf of a group of countries, emphasized the role of the regional centres in assisting developing countries in that context and suggested that regional centres should be empowered with the tools necessary for that purpose.
42. Noting that few parties had provided the information necessary for establishing a robust baseline for the evaluation of the framework, a number of representatives encouraged those parties that had not yet done so to submit the necessary information to enable the Secretariat to further develop the baseline study. One representative said that it was important to explore the reasons for parties' failure to submit information, including whether it might be due to a lack of time and whether a different approach to data collection might produce a higher response rate. She said that the Open-ended Working Group had a role to play in guiding the reporting on and evaluation of the implementation of the strategic framework on a periodic basis and could receive progress reports. It could then identify challenges in implementing the strategic framework so that they could be addressed at an early stage.
43. Several representatives proposed changes to the draft decision set out in document UNEP/CHW.11/4. The Secretariat was requested to prepare a revised draft decision, based on the draft decision in document UNEP/CHW.11/4 and the discussions in plenary.
44. The Conference of the Parties adopted the draft decision, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.
45. Decision BC-11/2, on the report on progress on the implementation of the strategic framework, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **B. Scientific and technical matters**

### **1. Technical guidelines**

#### **(a) Technical guidelines on persistent organic pollutant wastes**

46. The discussion summarized in the present section, on technical guidelines on persistent organic pollutant wastes (agenda item 4 (b) (i)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 47–54 below are

replicated in the report of the Conference of the Parties to the Stockholm Convention on the work of its eleventh meeting (UNEP/POPS/COP.6/33), paragraphs 90–97.

47. The parties discussed technical guidelines on persistent organic pollutant wastes, on the agenda of the meeting of the parties to the Basel Convention, together with measures to reduce or eliminate releases from wastes, on the agenda of the meeting of the parties to the Stockholm Convention.

48. The representative of the Secretariat introduced the issues, recalling previous decisions of the conferences of the parties relating to the updating of technical guidelines and related cooperation between the Basel and Stockholm conventions on persistent organic pollutant waste issues. She also drew attention to the small intersessional working group established to monitor and assist in the further development of the guidelines that, chaired by Canada, had been reconvened to prepare a programme of work for updating the Basel Convention general technical guidelines and preparing or updating specific technical guidelines on the 10 persistent organic pollutants newly listed under the Stockholm Convention.

49. Three countries and two organizations had undertaken specific assignments under the programme: Canada, to continue to serve as the overall coordinator and to take the lead in updating the general technical guidelines on persistent organic pollutant wastes and developing technical guidelines for wastes consisting of, containing or contaminated with PFOS and its salts and PFOSF; China, to take the lead in drafting technical guidelines on wastes consisting of, containing or contaminated with polybrominated diphenyl ethers; Japan, to take the lead in updating the technical guidelines on wastes consisting of, containing or contaminated with polychlorinated biphenyls, polychlorinated terphenyls, or polybrominated biphenyls to include hexabromobiphenyls; UNEP, to take the lead in updating the technical guidelines on wastes consisting of, containing or contaminated with unintentionally produced persistent organic pollutants; and the Food and Agriculture Organization of the United Nations (FAO), to take the lead in updating the technical guidelines for wastes consisting of, containing or contaminated with pesticides.

50. Ms. Anne Daniel (Canada) reported on the convening of the small intersessional working group, thanking the other countries and organizations that had taken on lead assignments on other technical guidelines. She also suggested that the draft decision in the relevant pre-session document would require amendment with regard to timelines for the programme of work for updating the Basel Convention guidelines. She noted the relationship between the work on the Basel Convention guidelines and work under the Stockholm Convention on national implementation plans and best available techniques and best environmental practices.

51. In the ensuing discussion several representatives expressed appreciation for the work taken on by Canada and others.

52. One representative, speaking on behalf of a group of countries, acknowledged the cooperation between the Basel and Stockholm conventions on updating the technical guidelines and on measures to reduce or eliminate releases from wastes contaminated with persistent organic pollutants. He welcomed the preparatory work and the progress report on the implementation of the programme of work for the development or updating of guidelines, especially with regard to concentration limits and environmentally sound disposal, and suggested that further discussion of that issue should take place in a contact group during the eleventh meeting of the parties to the Basel Convention. He encouraged experts from the Stockholm Convention to continue to play an active role in the small intersessional working group on the development of technical guidelines either by participating directly or working in tandem with participants from the Basel Convention. Similarly, he said, relevant Basel Convention representatives could usefully participate as government observers at meetings of the Stockholm Convention's Persistent Organic Pollutants Review Committee, where their expertise on waste management could inform discussions on risk management evaluations for persistent organic pollutants. He also encouraged parties to increase dialogue and cooperation between Basel and Stockholm convention national focal points and regional centres with regard to persistent organic pollutant waste management.

53. One representative said that pesticide containers transported to developing countries should meet international requirements, especially with regard to labelling. He also said that the Global Environment Facility (GEF) and the Basel and Stockholm convention secretariats, along with the regional centres and developed countries, should provide cost effective and environmentally friendly technologies to developing countries for the destruction and elimination of PCB-containing wastes, including transformers, oils and pesticides. His country had developed guidelines for the use of shredded tyres as an alternative fuel in the cement industry, and it proposed that the Secretariat should develop guidelines on the 10 persistent organic pollutants newly listed under the Stockholm Convention.



54. The representative of Japan said that his country, as lead country in their updating, intended to continue to review the technical guidelines on polychlorinated biphenyls, polychlorinated terphenyls and polybrominated biphenyls and to add information on hexabromobiphenyls, including information on chemical properties that were of significance to the environmentally sound management of wastes. In that regard he said that he would consider comments from parties and organizations.

55. Following the discussion in plenary, the Conference of the Parties requested the contact group on technical matters, established as described in paragraph 64 below, to prepare a draft decision on the technical guidelines on the environmentally sound management of persistent organic pollutant wastes, using the draft decision text in paragraph 34 of the note by the Secretariat on technical guidelines (UNEP/CHW.11/7) as its starting point and taking into account the listing of hexabromocyclododecane in the Stockholm Convention and the invitations by the Conference of the Parties to that convention.

56. Subsequently the Conference of the Parties adopted a draft decision on the subject, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

57. Decision BC-11/3, on technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants, as adopted by the Conference of the Parties, is set out in annex I to the present report.

**(b) Technical guidelines on transboundary movements of electronic and electrical waste (e-waste), in particular regarding the distinction between waste and non-waste**

58. Introducing the sub-item, the representative of the Secretariat recalled that following the eighth meeting of the Open-ended Working Group the Secretariat, in consultation with the small intersessional working group for the further development of the technical guidelines on e-waste, had prepared revised technical guidelines based on comments received and additional information collected. The revised guidelines were presented in document UNEP/CHW.11/7/Add.1 and the comments received had been published on the website of the Basel Convention.

59. All who spoke during the ensuing discussion expressed appreciation for the work of the intersessional working group and the Secretariat in preparing the draft guidelines, which would serve as a useful tool, particularly in addressing the vital issue of distinguishing between waste and non-waste in electronic and electrical equipment and the various control processes required in each case.

60. Several representatives, including one speaking on behalf of a group of countries, said that it was important to establish a definition of used products. In addition, it would be advisable for procedures for controlling the transboundary movement of e-waste to be incorporated into the domestic legislation of importing countries.

61. Several representatives described national efforts to address e-waste, including the strengthening of legislation, the preparation of inventories and the collection of mobile phones and their batteries and peripherals. Many representatives from developing countries, however, said that enormous quantities of e-waste were flowing into and accumulating in their countries. Consequently, there was a need for greater action to combat illicit trade in e-waste and to minimize the export and import of electronic products that were near the end of their useful lives. In addition, technical assistance and information were needed throughout the developing world in order to ensure that countries had the capacity to ascertain the functionality of electronic items, to refurbish them when practicable and to dispose of them in an environmentally sound manner. Accordingly, the regional centres should be strengthened to enable them to perform their functions, such as training and the promotion of the technical guidelines.

62. Many representatives said that the technical guidelines should be adopted at the current meeting. Several representatives, including one speaking on behalf of a group of countries, said that they wished to make specific suggestions in a contact group on technical matters to ensure that the guidelines were in line with the provisions of the Convention.

63. One representative said that some enterprises were taking advantage of the lack of a clear distinction between waste and non-waste products and the lack of customs codes for such items in order to avoid controls. Recalling that under paragraph 31 of the Doha Declaration the Secretariat could be granted observer status in the Trade and Environment Committee of the World Trade Organization, she suggested that the Secretariat might work with that committee to dispel the confusion in the context of trade negotiations.

64. The parties agreed to establish a contact group on technical matters, to be chaired by Mr. Michael Ernst (Germany) and Ms. Che Asmah Ibrahim (Malaysia). Taking into account the views expressed, the contact group was requested to revise the draft technical guidelines on transboundary movements of e-waste set out in document UNEP/CHW.11/7/Add.1 and to prepare a draft decision on the environmentally sound management of e-waste using the draft decision text in paragraph 10 of the note by the Secretariat on technical guidelines (UNEP/CHW.11/7) as its starting point. As noted in the preceding section, the group would also aim to prepare a draft decision on the technical guidelines on the environmentally sound management of persistent organic pollutant wastes, using the draft decision text in paragraph 34 of document UNEP/CHW.11/7 as its starting point and taking into account the listing of hexabromocyclododecane in the Stockholm Convention and the invitations by the Conference of the Parties to that convention.

65. The chair of the contact group on technical matters subsequently reported that the group had not been able to reach agreement on the draft technical guidelines on used equipment and e-wastes. The contact group had accordingly agreed to prepare a draft decision on continued work on the guidelines during the period leading up to the twelfth meeting of the Conference of the Parties.

66. Subsequently, the Conference of the Parties adopted the draft decision prepared by the contact group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

67. Many representatives then took the floor to express frustration that the guidelines had not been adopted at the current meeting. The guidelines, they said, represented a significant tool for developing countries dealing with e-waste and many years of work had gone in to developing them. The current meeting was a unique opportunity for adopting the guidelines given the attendance of a large number of representatives from developing countries, many of whom were seeing the guidelines for the first time. The failure to adopt the guidelines, it was said, was attributable to the undue influence of industry, which had led a number of parties to argue for a significant number of exceptions to the application of the proposed guidelines.

68. Decision BC-11/4, on technical guidelines on transboundary movements of electronic and electrical 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 annex I to the present report.

(c) **Revised technical guidelines on the environmentally sound management of used tyres, technical guidelines on the environmentally sound management of mercury wastes and technical guidelines on the co-processing of hazardous waste in cement kilns**

69. Introducing the sub-item, the representative of the Secretariat recalled that at its tenth meeting the Conference of the Parties had adopted the revised technical guidelines for the environmentally sound management of used tyres, technical guidelines for the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury, and technical guidelines on the environmentally sound co-processing of hazardous wastes in cement kilns and had requested the Secretariat to make them available to parties and stakeholders and to prepare a compilation of the comments on their experience in using the guidelines for consideration by the Conference of the Parties at its eleventh meeting. The comments received were compiled in document UNEP/CHW.11/INF/16.

70. In the ensuing discussion a number of representatives described advances in their countries in the environmentally sound management of used tyres and mercury wastes and the reprocessing of hazardous wastes in cement kilns. Another representative said that the used tyre guidelines had been especially helpful to his country.

71. One representative, speaking on behalf of a group of countries and supported by the representative of another party, proposed that the guidelines on the environmentally sound management of mercury wastes should be updated in the light of the Minamata Convention on Mercury.

72. The Conference of the Parties took note of the information provided in the documents prepared by the Secretariat on the revised technical guidelines on the environmentally sound management of used tyres, the technical guidelines on the environmentally sound management of mercury wastes and the technical guidelines on the environmentally sound co-processing of hazardous wastes in cement kilns. In addition, it requested the Secretariat to prepare a draft decision on the technical guidelines on the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury, in line with the views expressed, and to submit it for consideration by the contact group on technical matters.

73. The Conference of the Parties subsequently adopted the draft decision prepared by the contact group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

74. Decision BC-11/5, 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 annex I to the present report.

## **2. Amendments to the annexes to the Basel Convention**

75. Introducing the sub-item, the President recalled that at its eighth meeting the Conference of the Parties had adopted a revised procedure for the review or adjustment of the lists of wastes listed in Annexes VIII and IX to the Basel Convention, including applications for the addition of new entries to those lists.

76. The representative of the Secretariat reported that the Secretariat had received applications for new entries to Annex IX from Finland, Ireland and the Netherlands, as detailed in the note by the Secretariat in the issue (UNEP/CHW.11/8). At its tenth meeting, the Conference of the Parties had agreed that, taking into account the procedure for consideration of proposed amendments to Annexes VIII and IX, the Secretariat should transmit the applications to the Open-ended Working Group for consideration at its next meeting. At its eighth meeting, the Open-ended Working Group, in its decision OEWG-8/6, had agreed to forward draft entry B3075 to the Conference of the Parties for consideration at its eleventh meeting; had taken note of the possible alternative draft entry, B3025, to be considered by the Conference of the Parties at its eleventh meeting; and had invited comments on the applications and requested the Secretariat to make them available on the website of the Basel Convention and as an information document for the current meeting. As at 28 February 2013, the Secretariat had received comments from Canada, the Central African Republic, Colombia, the European Union and its member States, and Mexico, which were presented in document UNEP/CHW11/INF/17. In addition, the comments received from the European Union and its member States included a proposal for alternative wording for entry B3025 and two additional entries for Annex IX to the Basel Convention.

77. Several representatives, including one speaking on behalf of a group of countries, underscored the importance of parties engaging in careful consideration of technical issues related to Annexes VIII and IX during the current meeting, perhaps within the context of a contact group. A number of representatives expressed concern regarding specific aspects of draft entries B3025, B3026, B3027 and B3075, on the grounds that they would pose difficulties in the context of their domestic regulatory structures.

78. The parties agreed to refer the matter to the contact group on technical matters. The contact group was requested to consider the applications for new entries to Annex IX to the Basel Convention that were contained in document UNEP/CHW.11/8 and to prepare a draft decision for consideration by the Conference of the Parties, using the proposed action contained in document UNEP/CHW.11/8 as a starting point for its deliberations and taking into account the views expressed in plenary.

79. Subsequently, the Conference of the Parties adopted a revised version of the draft decision set out in document UNEP/CHW.11/8 prepared by the contact group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

80. Decision BC-11/6, on amendments to Annex IX to the Basel Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **3. Classification and hazard characterization of wastes**

81. The representative of the Secretariat drew attention to a report on cooperation with the World Customs Organization (WCO) on the classification and hazard characterization of wastes (UNEP/CHW.11/9), outlining continuing cooperation with WCO, under the guidance of the Open-ended Working Group, aimed at the establishment of customs codes under the Harmonized Commodity Description and Coding System for the wastes covered by the Basel Convention.

82. Speaking on behalf of a group of countries, one representative expressed appreciation for the continuing cooperation between the Secretariat and WCO and support for the Secretariat's proposal to amend the Harmonized System.

83. A number of representatives said that there was a need for further training on the different coding systems to ensure optimum cooperation with customs officials in the identification of hazardous wastes and other wastes.

84. The Conference of the Parties took note of the information provided by the Secretariat and the comments made by parties in plenary.

#### **4. National reporting**

85. The discussion summarized in the present section, on reporting (agenda item 4 (b) (iv)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 86–96 below are replicated in the report of the Conference of the Parties to the Stockholm Convention on the work of its eleventh meeting (UNEP/POPS/COP.6/33), paragraphs 175–185.

86. The parties discussed reporting under both the Basel and Stockholm conventions, focusing on how to improve reporting completeness and timeliness and considering specific issues under each convention. The parties had before them the elements of a strategy for increasing the rate of reporting under Article 15 of the Stockholm Convention (UNEP/POPS/COP.6/INF/28) and draft decisions on reporting pursuant to Article 15 of the Stockholm Convention (UNEP/POPS/COP.6/26) and on national reporting under the Basel Convention (UNEP/CHW.11/13).

87. The representative of the Secretariat drew attention to other relevant documentation and highlighted work undertaken to synergize and simplify reporting under the two conventions. She also noted that two national reporting workshops, convened with financial support provided by the European Commission and organized with the Basel Convention regional centres, had been held in Indonesia in April 2012 for Asian parties and in El Salvador in July 2012 for the Latin American and Caribbean region. The Governments of Norway and Japan had also provided funds and experts to support those events. Financial support from the Government of Norway had also allowed the Secretariat to start work on the implementation of a new electronic reporting system for the Basel Convention.

88. In the ensuing discussion one representative who had participated in the national reporting workshop in Indonesia expressed appreciation to the Basel Convention regional centre for South East Asia, which had assisted in its organization, as well as the hope that such workshops would spark the development of inventories.

89. Several representatives emphasized the importance of regular reporting to make it possible to monitor implementation of the conventions and to evaluate their effectiveness, with one stressing the value of sharing information on regulation and operational matters. One representative said that such prioritization of reporting could also be used as a tool for identifying priority needs to donors.

90. Many representatives deplored what they said was the low rate of national reporting and suggested that it was an indication of the complexity of and time required to complete the forms, as well as a lack of the human and financial resources needed for data collecting. One representative, speaking on behalf of a group of countries, urged regional centres to assist parties to prepare their national classification systems and national inventories of hazardous wastes and other wastes. Two representatives said that there should be a review of reporting according to the Y codes set out in the annexes to the Basel Convention.

91. Several representatives described challenges that their countries faced in meeting their reporting obligations and suggested that the Secretariat try to address them by including a question in the reporting forms that would allow parties to enumerate the difficulties they faced in collecting data and submitting their national reports. Several representatives said that such difficulties included collecting and sorting data, including precise data rather than estimates; communication difficulties between the Secretariat and parties; out-of-date contact details for national focal points; varying country circumstances and needs; a lack of inventories and the capacity to develop them; the frequency of reporting; a lack of appropriate computer systems; and the complexity of the reporting formats. One representative said that additional work could be done to streamline the information requested by limiting it to key information.

92. Many representatives supported the continued development of electronic reporting systems that were user-friendly and simple, with one suggesting that the existing electronic reporting system could be enhanced to facilitate reporting by parties having multi-layered governance systems. Several representatives said that there was a need for more simplified reporting formats.

93. One representative, recalling a multi-party programme that had enabled information-sharing, suggested that a regional event could be convened to provide a venue for experience-sharing. In a similar vein, others suggested that parties could benefit from capacity-building in respect of national reporting that would enable them subsequently to assist other parties in their regions, including

through the regional centres. One representative suggested that the information to be reported by parties be prioritized, with only the most important information being reported annually and other information being reported less frequently.

94. Several representatives expressed appreciation to the Secretariat for efforts made to simplify the reporting procedures and provide training and webinars but added that parties could benefit from further assistance. Some suggested that further guidance documents should be concise and specific and that draft guidance documents should be shared with parties before being finalized. Many representatives said that additional technical assistance should be provided to countries to assist them to meet their reporting requirements and that consideration should be given to providing appropriate financial assistance.

95. One representative, noting the potential for synergies between reporting under the Basel and Stockholm conventions and the future mercury convention, said that requirements for the latter should be developed at an early stage.

96. The parties agreed to establish a small drafting group, chaired by Ms. Sara Broomhall (Australia), to consider amending the draft decision on Basel Convention reporting set out in document UNEP/CHW.11/13.

97. Subsequently, the Conference of the Parties adopted the draft decision, as revised by the small drafting group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement the decision or that the decision would have no budgetary implications.

98. Decision BC-11/7, on national reporting, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **C. Legal, compliance and governance matters**

### **1. Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

99. The discussion summarized in the present section, on the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention (agenda item 4 (c) (i)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 100–124 below are replicated in the report of the Conference of the Parties to the Rotterdam Convention on the work of its sixth meeting (UNEP/FAO/RC/COP.6/20), paragraphs 91–115, and the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 199–223.

100. Introducing the item, the President said that the aim of the parties with regard to the present item was to exchange information on progress in respect of the establishment and functioning of compliance mechanisms under the Basel, Rotterdam and Stockholm conventions, thus contributing to synergies among the three conventions. The discussion would be in four parts: issues for decision by the parties to the Basel Convention regarding the Committee Administering the Mechanism for Promoting Implementation and Compliance with the Basel Convention (Implementation and Compliance Committee); lessons learned from the experience of the Implementation and Compliance Committee; compliance under the Rotterdam Convention; and compliance under the Stockholm Convention.

#### **(a) Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

101. Introducing the sub-item, the representative of the Secretariat said that the main issues under consideration were the report of the Implementation and Compliance Committee, including a draft decision set out in the note by the Secretariat on the item (UNEP/CHW.11/10), and the election of five new members of the Committee. The report of the Committee was supported by draft terms of reference for cooperative arrangements on preventing and combating illegal traffic (UNEP/CHW.11/10/Add.1), as well as two information documents setting out three guidance documents under the Convention, namely, draft guidance on the take-back provision, a preliminary draft guide on the development of inventories and a draft revised guide to the control system (UNEP/CHW.11/INF/18); and the classification of compliance performance on national reporting and comments received thereon (UNEP/CHW.11/INF/14).

102. Ms. Daniel, as a member of the Implementation and Compliance Committee and on behalf of Ms. Nieto, Chair of the Committee, presented an oral report on the work of the Committee during the previous biennium. On the mode of operation of the Committee, she said that considerable efforts had been made to improve the efficiency and transparency of the Committee's activities through intersessional work and by making documentation and reporting more widely available. The Committee had last met in November 2012, when it had considered nine specific submissions by parties. The Committee had also made progress on a number of key initiatives, including terms of reference for cooperative arrangements on illegal traffic and guidance documents on the take-back provision, the development of inventories and the control system. Given the increased workload of the Committee, she welcomed proposals to extend the length of its meetings to three days or to hold an additional meeting during each biennium. With regard to the Committee's specific submissions mandate, the focus of the work of the Committee was on identification of the causes of non-compliance and the provision of assistance to help parties to return to compliance. With regard to the review of general issues of implementation and compliance, she noted that no party had reported fully and on time for the years 2009 and 2010, and she suggested that the Conference of the Parties might undertake further work on the issue of national reporting. In conclusion, she recalled that at its tenth meeting the Conference of the Parties to the Basel Convention had invited the conferences of the parties to the Rotterdam and Stockholm conventions to take note of the Implementation and Compliance Committee's legal framework programme and consider opportunities for cooperation.

103. During the ensuing discussion, several representatives welcomed the report on the work of the Implementation and Compliance Committee and the progress that had been made in improving the efficiency of its operations. There was general support for the facilitative and supportive approach adopted by the Implementation and Compliance Committee in dealing with cases of non-compliance. One representative said that the increased workload of the Committee warranted giving it more time to work.

104. One representative, speaking on behalf of a group of countries, expressed concern that national reporting targets had not been met and urged the Secretariat to provide further assistance with reporting systems and inventories. Another representative said that a lack of resources was preventing many countries from meeting their national reporting obligations and that financial support was therefore of great importance.

105. A number of representatives expressed support for extending the Secretariat trigger. One representative, speaking on behalf of a group of countries, said that the implementation fund did not follow the usual governance arrangements for voluntary funds, which discouraged contributions. Referring to the consultative process on financing options for chemicals and wastes, she also said that the fund increased fragmentation. Another representative said that financial accountability was key and that the respective responsibilities of the Committee and the Executive Secretary should be clarified.

106. Several representatives highlighted the issue of illegal traffic as one of particular importance to their countries and regions. One representative, speaking on behalf of a group of countries, highlighted the numerous difficulties that developing countries in particular faced when dealing with illegal trade in hazardous and other wastes and suggested a number of actions that would help in that regard, including information sharing, knowledge and technology transfer, strengthening of monitoring mechanisms and training. Another representative said that greater efforts should be made to identify and deal with those engaged in illegal traffic.

**(b) Lessons learned from the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

107. Introducing the sub-item, the representative of the Secretariat noted that the Implementation and Compliance Committee had a dual mandate: first, to consider specific submissions in instances where parties were faced with non-compliance; and, second, to review general issues of implementation and compliance pertaining, for instance, to national reporting, illegal traffic and other relevant matters. Aspects of the compliance mechanism under the Basel Convention that might be of interest to other similar instruments included the facilitative nature of the mechanism; its triggers; the availability to parties of financial resources from the implementation fund; and the value of the general review mandate in building the Committee's understanding of difficulties that parties might face, which facilitated the prevention of non-compliance.

108. In the ensuing discussion, several parties highlighted lessons that could be learned from the long experience of the Implementation and Compliance Committee. One representative, speaking on behalf of a group of countries, expressed support for the facilitative approach of the Committee, welcomed the elaboration of voluntary compliance action plans and the work on national reports and

said that there was scope for further mutually supportive work. Several representatives said that any compliance regime under the other conventions should be supportive and not punitive. In that regard, one representative said that a self-trigger was preferable to any other.

109. Several representatives said that the lessons from the Implementation and Compliance Committee were more applicable to the Rotterdam Convention than to the Stockholm Convention, given that the latter was concerned with the control of chemicals, including through the provision of financial resources through the financial mechanism, while the obligations under the Basel and Rotterdam conventions were more of a procedural nature. Several representatives said that further work was needed to develop the financial mechanisms under the Stockholm Convention before turning attention to the compliance mechanism. One representative said that positive decisions by the Conference of the Parties to the Stockholm Convention on such matters as technology transfer and financial assistance would help lay the foundation for the establishment of a compliance mechanism. Another representative, speaking on behalf of a group of parties, said that decisions pertaining to financial support should be distinguished from decisions pertaining to non-compliance.

**(c) Compliance under the Rotterdam Convention**

110. The representative of the Secretariat, in her introduction, recalled that the Conference of the Parties to the Rotterdam Convention, at its fifth meeting, had decided that, at its sixth meeting, it should continue its consideration of procedures and institutional mechanisms on non-compliance required under Article 17 of the Convention, based on the draft text contained in the annex to decision RC-5/8 (UNEP/FAO/RC/COP.6/13). Should such procedures and mechanisms be adopted and a compliance committee established, the Conference would need to elect the members of the committee.

111. In the ensuing discussion, all representatives who spoke said that it was necessary to establish an effective compliance mechanism under the Rotterdam Convention as a matter of priority at the current meeting. One representative, speaking on behalf of a group of parties, drew attention to the fact that efforts at previous meetings had failed owing to entrenched positions on just three outstanding issues: submissions, decision-making and information. Precedents under other conventions could provide guidance.

112. It was generally agreed that the overarching goal of a compliance mechanism should be to assist parties in meeting their obligations under the Convention. Several representatives stressed that any mechanism should be facilitative and flexible, with a particular focus on cooperation between parties. One representative added that it should be non-punitive and non-adversarial. One representative called for a particular focus on a facilitation process; another said that further discussions in regional groups would be needed before going any further. Another representative said that the mechanism should provide the necessary support to help bring parties into compliance, including advice and studies to determine the reasons for non-compliance; nevertheless compliance should not be regarded as dependent on receiving such support.

113. Several representatives drew attention to compliance mechanisms under other processes that could serve as models in the case of the Rotterdam and Stockholm conventions, including the proposed Minamata Convention on Mercury, recently approved by the intergovernmental negotiating committee that had developed it, and the Basel Convention. Regarding the Minamata Convention, one representative described its compliance mechanism as the most recent and modern in international law, while another observed that it had not been agreed to in isolation but as part of a larger package of measures.

114. Several representatives said that compliance issues should be discussed in a contact group. A number of representatives, including one speaking on behalf of a group of countries, said that such a contact group should base its work on the text set out in the annex to decision RC-5/8; however, the draft text proposed by the co-chairs of the contact group at the fifth meeting of the Conference of the Parties, contained in the appendix to that annex, was not an acceptable basis for future negotiations.

**(d) Compliance under the Stockholm Convention**

115. The representative of the Secretariat, in her introduction, recalled that the Conference of the Parties to the Stockholm Convention had considered the issue of non-compliance at each of its previous meetings but had failed to reach agreement on the adoption of the procedures and institutional mechanisms required under Article 17. The Conference had decided, in decision SC-5/19, to continue to work on the matter at the current meeting on the basis of the draft text set out in the annex to decision SC-4/33. It had also invited the Bureau to facilitate intersessional consultations among the parties to promote a policy dialogue with a view to resolving outstanding issues and facilitating the adoption of a compliance mechanism at the current meeting. Ms. Daniel, as Vice-President of the Conference of the Parties, had been requested to initiate the consultations.

116. The Conference could base its work at the current meeting on the draft text set out in annex I to the note by the Secretariat on the procedures and institutional mechanisms for determining non-compliance with the provisions of the Stockholm Convention and for the treatment of parties found to be in non-compliance (UNEP/POPS/COP.6/29) or on the draft text resulting from the intersessional consultations set out in annex II to that document. Should the procedures and mechanisms be adopted and a compliance committee established, the Conference would need to elect the members of the committee.

117. Ms. Daniel then reported on the efforts made in the intersessional period to remove the obstacles to consensus that had arisen at the previous meetings of the conferences of the parties. Consultations had been held with China and the European Union and its member States and, thanks to their commitment and flexibility, solutions had been found and incorporated into the draft text set out in annex II to document UNEP/POPS/COP.6/29. Further consultations with other interested parties had, however, not been possible.

118. In the ensuing discussion, many representatives expressed a strong commitment to bringing the long and difficult negotiations on non-compliance to a positive conclusion at the current meeting. The underlying principles and nature of the requisite compliance mechanism, as well as the obstacles to a consensus, were much the same as in the case of the Rotterdam Convention, and lessons should be drawn from the compliance mechanisms of the Minamata and Basel conventions; developments during the twenty-seventh session of the UNEP Governing Council should also be taken into account. One representative, however, questioned the relevance of the Minamata model, as that Convention related specifically to mercury. Several representatives drew attention to the difficulties preventing their countries from achieving compliance, the solution to which would require a focus on the provision of technical and financial resources and scientific expertise. One representative objected to wording in paragraph 4 bis of the draft decision in annex II to document UNEP/POPS/COP.6/29, on the grounds that it could be interpreted to oblige individual developed country parties to provide financial assistance. One representative, speaking on behalf of a group of countries, said that they opposed using the text in annex II to document UNEP/POPS/COP.6/29 as the basis for discussion at the current meeting. Another representative suggested that the concept of collective responsibility should be considered and that developing countries should not be considered to be in non-compliance in the absence of adequate technical and financial assistance.

**(e) Contact group on compliance and other legal matters**

119. The parties agreed to establish a contact group on compliance and other legal matters under the Basel, Rotterdam and Stockholm conventions, to be co-chaired by Ms. Daniel and Ms. Nieto. Taking into account the discussions in plenary at the current meeting and the lessons learned from the Implementation and Compliance Committee of the Basel Convention, the group would take as its starting point the draft decisions set out in the annex to document UNEP/FAO/RC/COP.6/13, for the Rotterdam Convention, and annex I to document UNEP/POPS/COP.6/29, for the Stockholm Convention. The group would also consider Basel Convention compliance issues based on documents UNEP/CHW.11/10 and Add.1, together with, in due course, other legal matters that might arise, for instance on the issue of legal clarity.

120. Following discussions in the contact group, the co-chair of the group reported that, in the case of the Basel Convention, the group had reached agreement on the text of a draft decision setting out two annexes: the terms of reference for cooperative arrangements on illegal traffic, also referred to as the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), as well as the programme of work of the Implementation and Compliance Committee for 2014–2015. Japan offered funding to organize the first meeting of ENFORCE.

121. Subsequently, the co-chair of the contact group reported on the outcome of the discussions on compliance under the Rotterdam and Stockholm conventions. With regard to the Rotterdam Convention, the group had made some progress but had been unable to reach agreement on a voting rule or the question of whether the compliance mechanism could be brought into play by a third trigger. A number of representatives had insisted that a compliance mechanism without a third trigger would not be effective, but others had said that they were not comfortable with anything beyond a self trigger and a party-to-party trigger.

122. For the Stockholm Convention compliance mechanism, three issues remained: first, the need to agree on the objective, nature and underlying principles of the compliance mechanism; second, the question of a third trigger; and third, the possible measures that the compliance committee could recommend to the Conference of the Parties to address compliance issues. There was also disagreement regarding a proposal that the measures under the compliance procedure not apply to any



developing country party or party with an economy in transition whose non-compliance was attributed to a lack of technology or technical or financial assistance.

123. During the discussion of the issue, the President of the Conference of the Parties to the Stockholm Convention reported that in an effort to resolve the impasse he had established a friends-of-the-President group and had engaged in informal consultations with interested parties. At the last session of the meeting he tabled a compromise proposal for both the Stockholm and Rotterdam conventions that was based on the outcome of the contact group discussions, the meetings of the friends-of-the-President group and his own consultations. Those who spoke in the discussion that followed praised the hard work of the contact group co-chairs and the President in attempting to find a solution to the issue, but the President's proposals proved unacceptable to many parties.

124. The conferences of the parties to the Rotterdam and Stockholm conventions agreed to consider the procedures and mechanisms on compliance further at their seventh meetings. They also agreed that the draft texts on compliance mechanisms and procedures as they stood at the conclusion of the contact group's deliberations at the current meeting would form the basis for the discussions at their seventh meetings and that they would take up the matter as early as possible during those meetings.

125. The Conference of the Parties to the Basel Convention adopted a revised version of the draft decision set out in document UNEP/CHW.11/10 prepared by the contact group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

126. Decision BC-11/8, on the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

127. By paragraph 16 of the decision the following four representatives of parties were elected to serve as members of ENFORCE:

African States:	Mr. Dany Mpolesha Kankonda (Democratic Republic of the Congo)
Asia-Pacific States:	Ms. Lumbini Keviella (Sri Lanka)
Latin American and Caribbean States:	Ms. Karla Acosta Resendiz (Mexico)
Western European and other States:	Mr. Santiago Davila Sena (Spain)

128. By paragraph 17 of the decision the following four representatives of the Basel Convention regional and coordinating centres were designated to serve as members of ENFORCE:

African region: Basel Convention Coordinating Centre for the African Region in Nigeria
Asian and Pacific region: Basel Convention Regional Centre for Asia and the Pacific Region in China
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 South American Region in Argentina

**(f) Membership of the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

129. The Conference of the Parties elected the following five members of the Implementation and Compliance Committee:

African States	Mr. Abdel Shafei Osman (Egypt)
Asia-Pacific States:	Ms. Che Asmah Ibrahim (Malaysia)
Eastern European States:	Mr. Djordje Vukotić (Serbia)
Latin American and Caribbean States:	Mr. Wilehaldo Cruz (Mexico)
Western European and other States:	Mr. Mark Govoni (Switzerland)

130. Decision BC-11/9, on the membership of the Committee, is set out in annex I to the present report.

## **2. National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic**

131. Introducing the item, the representative of the Secretariat recalled that by various decisions the Conference of the Parties, at its tenth meeting, had requested the Secretariat to undertake specified activities on national legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic, as described in the note by the Secretariat on the issue (UNEP/CHW.11/12). Also of relevance to the present item were the follow-up activities undertaken pursuant to sections E and F (relating to illegal traffic and the import of hazardous wastes) of decision BC-10/3 on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention, as described in document UNEP/CHW.11/3. A draft decision contained in document UNEP/CHW.11/12 encompassed further possible activities that could be undertaken in regard to those issues.

132. The Conference of the Parties adopted the draft decision set out in document UNEP/CHW.11/12, as orally amended, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

133. Decision BC-11/10, 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 annex I to the present report.

## **D. Technical assistance**

### **1. Capacity-building**

### **2. Basel Convention regional and coordinating centres**

134. The discussion summarized in the present section, on technical assistance (agenda items 4 (d) (i) on capacity-building and 4 (d) (ii) on the Basel Convention regional and coordinating centres), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 135–143 and 147–153 below are replicated in the report of the Conference of the Parties to the Rotterdam Convention on the work of its sixth meeting (UNEP/FAO/RC/COP.6/20), paragraphs 139–147 and 150–156, and the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 133–141 and 144–150.

135. The parties first discussed general issues related to the delivery of technical assistance to parties to the three conventions and then the regional centres under the Basel and Stockholm conventions, including a proposed methodology for evaluating their performance and sustainability.

#### **(a) General issues related to the delivery of technical assistance**

136. The representative of the Secretariat drew attention to the relevant documentation and introduced the general issues related to the approach to the delivery of technical assistance to the parties to the Basel, Rotterdam and Stockholm conventions.

137. In the ensuing discussion, general support was expressed for the Secretariat's efforts to seek synergies in technical assistance activities. Many representatives, including one speaking on behalf of a group of countries, said that adequate and sustainable technical assistance, particularly through capacity-building and technology transfer, was crucial in enabling developing countries to implement their obligations under the conventions. One representative said that the goal of synergies should be not only to economize on resources but also to close the large gap between the needs of developing countries and the assistance provided. Several representatives suggested that a mechanism was needed for identifying countries' needs and setting technical assistance priorities.

138. There was general agreement that the regional centres were central to the delivery of technical assistance. Some representatives, however, noted that the centres' host countries were developing countries and said that all parties, including developed countries, had obligations to support the centres. One representative said that local capacity coupled with external financing should be used in the delivery of technical assistance. Several representatives said that technical assistance should also be delivered through cooperation among United Nations bodies, including UNEP and FAO, while a number said that other private-sector and public-sector stakeholders should be encouraged to participate through partnerships.

139. Several representatives, including one speaking on behalf of a group of countries, said that targeted projects were required to assist countries and regions with specific needs, particularly in the

areas of electrical and electronic waste and chemicals management. One representative, however, said that sharing the outcomes of regional meetings could also be helpful in addressing common concerns.

140. Many representatives, including two speaking on behalf of groups of countries, welcomed the use of webinars for training. Many representatives, however, cautioned that technical and language barriers limited their usefulness in some countries. Several representatives suggested that webinars should be offered in French and Spanish in addition to English. A number of representatives said that face-to-face workshops were more effective than webinars as a training tool.

141. On the subject of lessons learned, one representative, speaking on behalf of a group of countries, said that the Secretariat should further refine its information-gathering technique using the clearing-house mechanism to ensure the receipt of comprehensive and accurate information.

142. A representative of the Inter-Organization Programme for the Sound Management of Chemicals outlined activities of the Programme's nine participating organizations in support of the Rotterdam and Stockholm conventions. The organizations, he said, coordinated policies and technical guidance and engaged in a wide range of activities to support countries in implementing their obligations under the conventions, and in 2012 the Programme had launched a toolbox that provided guidance on appropriate national action to solve chemicals management problems.

143. Following their discussion the parties agreed to refer the matters discussed under this heading to a joint contact group on technical assistance and financial resources. The establishment of that contact group is discussed in subsection 3 of section F, below.

144. The co-chair of the contact group on technical assistance and financial resources subsequently introduced a conference room paper setting set out a revised version of the draft decision set out in the note by the Secretariat on the issue (UNEP/CHW.11/15).

145. The Conference of the Parties adopted the draft decision, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

146. Decision BC-11/11, on technical assistance, as adopted by the Conference of the Parties, is set out in annex I to the present report.

**(b) Issues pertaining to regional centres under the Basel and Stockholm conventions**

147. The representative of the Secretariat drew attention to an extensive list of documents pertaining to the issues to be discussed under this heading, including the business plans, workplans, activity reports and draft criteria for the evaluation of the performance of the Basel Convention regional and coordinating centres that had been prepared at the request of the Basel Convention Expanded Bureau, along with a draft methodology for evaluating the performance and sustainability of the Stockholm Convention regional centres. She noted that the Secretariat and the regional centres had organized a fair on the regional delivery of assistance, to take place during the Conference. The fair would aim at showcasing how regional centres and the regional offices could assist parties in their implementation of the Basel, Rotterdam and Stockholm conventions.

148. Many representatives, including two speaking on behalf of groups of countries, underscored the importance of regional and subregional centres for capacity-building, technical assistance, information exchange and other activities that could assist parties in implementing the three conventions in a synergistic manner, and many described how the centres had worked with their Governments and other actors on related activities. Several representatives, however, said that despite their important role regional centres should not be the only mechanism for the provision of technical assistance and capacity-building. Many identified areas in which centres should develop more initiatives, including e-wastes, capacity-building, institutional strengthening, border controls, toxic chemicals in international trade, stockpiles of obsolete chemicals, information exchange within and across regions, and mobilizing private sector involvement, among others.

149. Many representatives, including one speaking on behalf of a group of countries, said that it was important to strengthen the capacity of the regional centres and to support them with increased and sustained financial resources drawn from all parties and other sources. Several representatives said that it was important to capitalize on the ability of other international organizations to conduct technical assistance and capacity-building activities and work with the regional centres, with one drawing specific attention to the regional offices of FAO, UNEP and the United Nations Development Programme.

150. Several representatives, including one speaking on behalf of a group of countries, called for the adoption of criteria for evaluating all regional centres, with some expressing support for the draft

methodology developed by the Secretariat. One representative, speaking on behalf of a group of countries, proposed that all existing centres should be extended only for two years so that decisions on their further renewal, as well as decisions on any new centre, could take such evaluations into account. Several representatives proposed evaluating not only the activities and efficiency of the regional centres, but also the financial resources, including their source, that each had been provided to undertake capacity-building and technical assistance activities.

151. One representative said that it was important to coordinate the location and operations of centres within regions to take advantage of their comparative abilities, experience and expertise. Another representative called for a more harmonized approach to the Basel and Stockholm convention regional centres. One representative requested that parties review the process for making decisions regarding new centres and that no additional centres be designated until that review had been completed and criteria for evaluating current and potential new centres had been developed. One representative requested that the parties consider creating a subregional centre in Central Asia.

152. One representative said that the private sector had not participated in activities undertaken by the centres in his region and that such participation was critical to information exchange, technology transfer and evaluating and adopting alternatives. Another said that it was important to share information across regions regarding the content and results of activities and workshops undertaken by a particular regional centre.

153. Following their discussion the parties agreed to refer the matters discussed under the present heading to a joint contact group on technical assistance and financial resources. The establishment of that contact group is discussed in subsection 3 of section F, below.

154. One of the co-chairs of the contact group on technical assistance and financial resources subsequently introduced a conference room paper setting out a revised version of the draft decision set out in the note by the Secretariat on the Basel Convention regional and coordinating centres (UNEP/CHW.11/5). The other co-chair of the contact group reported that the group had decided to incorporate in a separate draft decision a number of issues that had been covered by the draft decision set out in the note by the Secretariat on the process for evaluating the performance and sustainability of the centres (UNEP/CHW.11/5/Add.1).

155. The Conference of the Parties adopted two draft decisions, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

156. Decisions BC-11/12, on the Basel Convention regional and coordinating centres, and BC-11/13, on the process for evaluating the performance and sustainability of the Basel Convention regional and coordinating centres, as adopted by the Conference of the Parties, are set out in annex I to the present report.

**(c) Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention**

157. Introducing the item, the representative of the Secretariat recalled that, by decision V/32, the Conference of the Parties had established an emergency assistance mechanism allowing the Secretariat, upon request, to use funds contributed to the Trust Fund to assist developing country parties and parties with economies in transition in cases of incidents occurring during transboundary movements of hazardous wastes and other wastes. In addition, by decision BC-10/22, the Conference of the Parties had requested the Secretariat to develop a draft report containing recommendations on the expediency of the procedures under that mechanism, the adequacy of resources available for use, cooperation with other international organizations and agencies in responding to emergency situations and a comparative study of similar mechanisms operated by other international organizations.

158. In the ensuing discussion, one representative, speaking on behalf of a group of countries, said that the report of the Secretariat represented a complete analysis of the current situation and identified the factors limiting the ability of the mechanism to provide the emergency assistance envisaged under decision V/32. There was a need for the Secretariat to identify a more effective approach on the basis of the report and to present further proposals to the Conference of the Parties at its twelfth meeting. In addition, the funds available were inadequate to fulfil the stipulations of decision V/32 with regard to capacity-building and transfer of technology, and the Secretariat might wish to reconsider its role in that regard, including through discussions with relevant partners.

159. The Conference of the Parties adopted the draft decision set out in the note by the Secretariat on the issue (UNEP/CHW.11/14), as orally amended, subject to confirmation from the contact group on

synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

160. Subsequently, one representative expressed concern that the sub-item had been taken up by the parties earlier than originally envisaged in the meeting schedule.

161. Decision BC-11/14, on implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **E. International cooperation, coordination and partnerships**

### **1. Basel Convention Partnership Programme**

162. The Conference of the Parties considered the sub-item in two parts: the first, on the Basel Convention Partnership Programme, was considered under item 4 (e) (iv), on other international cooperation and coordination and the second, on the Partnership for Action on Computing Equipment (PACE), was considered under the present agenda item.

163. Mr. Marco Buletti (Switzerland) and Mr. Oladele Osibanjo (Nigeria), the PACE co-chairs, reported on activities implemented since the tenth meeting of the Conference of the Parties to assist developing countries and countries with economies in transition in the environmentally sound management of used and end-of-life computing equipment, including field testing of the guidelines on the environmentally sound testing, refurbishment and repair of used computing equipment and on environmentally sound material recovery and recycling of end-of-life computing equipment; the work of project groups working on priority tasks assigned under the extended mandate received from the Conference of the Parties at its tenth meeting; a pilot project in Jordan on the collection and management of used and end-of-life computing equipment from informal sectors; and workshops organized in 2013 in El Salvador and Trinidad and Tobago. The Conference of the Parties was invited to consider the draft decision in the note by the Secretariat on the issue (UNEP/CHW.11/6), together with the proposed programme of work for 2014–2015 presented in the annex to that document.

164. In the ensuing discussion, a number of representatives, including one speaking on behalf of a group of countries, expressed support for the draft decision and requested that the PACE guidance document be submitted to a contact group for further consideration.

165. The Conference of the Parties agreed that the contact group on technical matters should consider the draft decision set out in document UNEP/CHW.11/6, along with sections 1, 2, 4 and 5 of the PACE guidance document, with the option that it might also consider section 3, on transboundary movements of used computing equipment, once the technical guidelines on transboundary movements of electronic and electrical waste had been finalized.

166. Following discussions in the contact group, the co-chair reported that the group had concurred on changes to the draft decision and sections 1, 2, 4 and 5 of the PACE guidance document.

167. The Conference of the Parties adopted the revised draft decision, including the adoption of sections 1, 2, 4 and 5 of the PACE guidance document, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

168. Decision BC-11/15, on the Partnership for Action on Computing Equipment, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **2. Environmentally sound dismantling of ships**

169. The representative of the Secretariat drew attention to the note by the Secretariat on the environmentally sound dismantling of ships (UNEP/CHW.11/16), noting that parties were divided in their views as to whether the Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships provided a level of control and enforcement equivalent to that provided under the Basel Convention. At its tenth meeting, the Conference of the Parties had encouraged parties to ratify the Hong Kong Convention to enable its early entry into force while acknowledging that the Basel Convention should continue to assist countries to apply the Basel Convention as it related to ships. The Conference had welcomed the development of implementation programmes relating to sustainable ship recycling and requested the Secretariat, subject to the availability of funding, to continue its work and to develop further the programmes for sustainable ship recycling in conjunction with other bodies. The Secretariat had undertaken several capacity-building activities to promote sustainable ship recycling and the representative of the Secretariat expressed appreciation to the European Union and the Government of Norway for providing funding for those important activities.

170. A representative of the International Maritime Organization (IMO) then gave a presentation on the adoption of the Hong Kong Convention and six related resolutions in May 2009. She described various technical cooperation activities, most of which had been undertaken in partnership with the Basel Convention and the International Labour Organization, as well as other projects, including several aimed at encouraging countries to ratify the Hong Kong Convention and others aimed at the implementation of interim measures pending the Convention's entry into force.

171. In the ensuing discussion several representatives thanked IMO for its presentation, noted the relationship between the two conventions and voiced appreciation for the capacity-building activities being undertaken to assist countries in the safe dismantling of ships. Several said that their countries intended to ratify the Hong Kong Convention and urged other countries to do the same.

172. Several representatives described national situations and activities regarding ship dismantling and recycling, as well as efforts at the national level to manage and monitor the safe dismantling of ships, including ships abandoned on coasts, ships sunk as a result of war and ships in transit to recycling sites. Some representatives outlined challenges that their countries faced in their efforts to ensure that dismantling was carried out in an environmentally sound manner that took into account occupational health and safety concerns. Several representatives expressed appreciation to donor countries and organizations that had assisted them in undertaking ship dismantling in a safe and environmentally sound manner. One representative said that the requirements related to ship dismantling under the Basel Convention were more robust than those under the Hong Kong Convention and expressed regret that no awareness-raising programme or training programme on the issue had as yet been undertaken in the Caribbean region.

173. The Conference of the Parties adopted the draft decision on the matter set out in document UNEP/CHW.11/16, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

174. Decision BC-11/16, on the environmentally sound dismantling of ships, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **3. Cooperation with the International Maritime Organization**

175. The representative of the Secretariat, introducing the sub-item, drew attention to the relevant documentation, including the revised legal analysis of the application of the Basel Convention to hazardous and other wastes generated on board ships (UNEP/CHW.11/INF/22).

176. In the ensuing discussion, most representatives commended the Secretariat on the revised legal analysis and supported its conclusions, with a number of representatives, including one speaking on behalf of a group of countries, requesting that the conclusions be reflected in the draft decision set out in the note by the Secretariat on the issue (UNEP/CHW.11/17). One representative added that, while she supported the conclusions, there was a need for further guidance on the matter. One representative said that further revision of the analysis was required in order to close the loopholes and to provide a broader interpretation of the Basel Convention to make it more effective, for instance by clarifying the responsibilities of flag States in respect of the generation of waste on board ships on the high seas.

177. Several representatives commended the work of the IMO Maritime Safety Committee in amending regulation VI/5.2 of the International Convention for the Safety of Life at Sea (SOLAS) to prohibit the blending of bulk liquid cargoes and production processes during sea voyages. One representative, speaking on behalf of a group of countries, said that the new regulation could not be relied upon to ensure the level of control necessary to prevent disasters of the kind experienced in her region and that the Basel Convention must remain the main international instrument for addressing transboundary movements of hazardous waste. She called on the Secretariat to revisit the legal analysis to close existing loopholes.

178. The representative of IMO said that her organization shared most of the conclusions in the Secretariat's revised legal analysis and supported further cooperation with the Basel Convention in order to clarify the relationship of the Convention with instruments adopted under the auspices of IMO. She also reported that the IMO secretariat had not yet received any objection to the agreed amendments to regulation VI/5.2 of SOLAS. It was thus expected that the amendments would enter into force and that the blending of bulk liquid cargoes and production processes on board ships would be prohibited as of 1 January 2014; flag States would thereafter be responsible for ensuring that ships under their flag complied with the new requirements.

179. Given the divergence in the views expressed, the President invited a small group of parties to meet informally to discuss the matter further and determine a way forward.

180. Subsequently, a representative speaking on behalf of a group of countries reported that the small group of parties had reached an agreement on the text of a revised version of the draft decision set out in document UNEP/CHW.11/17.

181. The Conference of the Parties adopted the draft decision, as orally amended, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

182. Decision BC-11/17, on cooperation with IMO, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### **4. Other international cooperation and coordination**

183. The representative of the Secretariat introduced the sub-item, drawing attention to the relevant documentation, outlining the work undertaken by the Secretariat since the tenth meeting of the Conference of the Parties.

184. In the ensuing discussion, one representative suggested the establishment of a multilateral fund similar to the Multilateral Fund for the Implementation of the Montreal Protocol on Substances that Deplete the Ozone Layer and called for the support of international organizations to enhance international cooperation and coordination at the national and regional levels.

185. The Conference took note of the information provided by the Secretariat and the comment made in plenary.

### **F. Resource mobilization and financial resources**

186. The discussion summarized in the present section, on resource mobilization and financial resources (agenda item 4 (f)), took place during simultaneous sessions of the eleventh ordinary meeting of the Conference of the Parties to the Basel Convention, the sixth ordinary meeting of the Conference of the Parties to the Rotterdam Convention and the sixth ordinary meeting of the Conference of the Parties to the Stockholm Convention. Paragraphs 187–204 below are replicated in the report of the Conference of the Parties to the Rotterdam Convention on the work of its sixth meeting (UNEP/FAO/RC/COP.6/20), paragraphs 118–135, and the report of the Conference of the Parties to the Stockholm Convention (UNEP/POPS/COP.6/33), paragraphs 154–171.

187. At the suggestion of the President, the parties agreed to begin their deliberations under this heading by discussing issues related to achieving sustainable, predictable, adequate and accessible financing under the Stockholm Convention and then addressing synergies among the three conventions in support of achieving the objective of sustainable financing, with particular attention to the Basel and Rotterdam conventions. The outcomes of the UNEP Executive Director's consultative process on financing options for chemicals and wastes would be addressed during the second part of the discussion.

#### **1. Financial resources under the Stockholm Convention**

188. The representative of the Secretariat drew attention to an extensive list of documents pertaining to the issues to be discussed under this heading. A representative of GEF then outlined a report prepared by GEF for the sixth meeting of the Conference of the Parties to the Stockholm Convention in accordance with the memorandum of understanding between the Conference of the Parties and the GEF Council.

189. The GEF report described GEF activities in support of the Convention over the period from 1 July 2010 to 30 August 2012. It focused on how GEF had applied guidance from the Conference of the Parties and how it had improved its effectiveness through the implementation of key reforms. It also provided information on the wider work of GEF on chemicals, including multi-chemical issue projects and cross-cutting work made possible under its new chemicals strategy. During the reporting period, 21 full-sized projects, 3 medium-sized projects, 17 grants to support the preparation of full-sized projects and 18 requests for the development of national implementation plans had been funded. Through those and other related activities, GEF had approved \$139.6 million in funding to support implementation of the Convention, and an additional \$754 million had been leveraged from other sources. As at 30 August 2012, GEF had committed \$565 million to projects in the persistent organic pollutants focal area since the adoption of the Stockholm Convention in May 2001. The cumulative GEF investment in persistent organic pollutant projects had leveraged approximately \$1.5 billion in other resources, to bring the total value of the GEF persistent organic pollutants portfolio to over \$2 billion. Since the drafting of the report GEF had approved an additional 48 requests for national implementation plan updates, 21 additional full-sized projects and two additional medium-sized projects. The additional resources brought the total during the fifth replenishment period to \$257

million and \$1.15 billion in co-financing. The GEF secretariat had also implemented a number of key reforms directed towards improving the effectiveness and efficiency of its partnerships relating to persistent organic pollutants, significantly improving performance. The time required for project development from approval of the project concept to the elaboration of the project had been reduced from 22 months to an average of 18 months. During the reporting period the GEF secretariat had taken on average less than four months from the time of first submission of a project concept to clear the concept for the work programme. The full report was available in document UNEP/POPS/COP.6/INF/24 and the executive summary of the report was set out in document UNEP/POPS/COP.6/22.

190. In the ensuing discussion many representatives underscored the importance of ensuring that sustainable, predictable, adequate and accessible financial resources were available to assist developing countries and countries with economies in transition to implement the Convention.

191. A number of representatives, including one speaking on behalf of a group of countries, said that the current meetings were an important opportunity to influence the sixth replenishment of the GEF trust fund, which could cover the chemicals and waste area as whole, in line with the invitation by the UNEP Governing Council set out in paragraph 12 of section VIII of decision 27/12, and called for clear communication with GEF on needs assessment, the memorandum of understanding between the GEF Council and the Conference of the Parties to the Stockholm Convention, the third review of the financial mechanism and consolidated guidance. One representative, speaking on behalf of a group of countries, said that the next needs assessment should examine the 2018–2022 period so that it coincided with the seventh replenishment of the GEF trust fund and that further work was needed to ensure consistency in the methodologies used by parties to estimate the costs of activities. The support provided to parties from the private sector was encouraging and more should be done to mobilize such funds. Future evaluations of the memorandum of understanding should take place every four years, in coordination with the review of the financial mechanism, and efforts should be made to establish a clear ranking of funding priorities and to balance new and existing priorities against available financial resources.

192. One representative said that the Stockholm Convention parties needed to send a clear signal that GEF should consider revising its chemicals focal area to address the integrated approach called for in the outcome of the consultative process on financing options for chemicals and wastes.

193. Another representative said that donor countries had an obligation to provide financial resources that was as legally binding as the obligations on all parties to take measures to control or eliminate specific persistent organic pollutants and that the links between those obligations should be considered in reviewing the financial mechanism.

194. A number of representatives said that there was a need for additional improvements in the operations of the financial mechanism to ease access to financing, stressing that the application procedures and information requirements, particularly those relevant to co-financing requirements, were excessively complicated. One representative said that, despite statements regarding improvements in the efficiency and effectiveness of GEF operations, his Government still found the procedures for implementing projects outlined in its Stockholm Convention national implementation plan to be cumbersome and too slow.

195. Several representatives thanked GEF for funding projects in their countries aimed at the elimination of persistent organic pollutants. One, however, also expressed concern regarding discussions within GEF of the so-called “graduation” of developing countries, which would affect their eligibility for funding, and requested an update on the issue from the representative of GEF. In response, the representative of GEF said that GEF had no graduation policy; country eligibility was determined in accordance with paragraphs 9 (a) and 9 (b) of the Instrument for the Establishment of the Restructured Global Environment Facility and guidance on eligibility criteria provided by the Conference of the Parties.

196. Following the discussion, the parties agreed that consideration of the matters raised under the present item should continue in the contact group on technical assistance and financial resources that was to be established.

## **2. Synergies among the Basel, Rotterdam and Stockholm conventions in support of sustainable financing, with particular attention to the Basel and Rotterdam conventions**

197. The representative of the Secretariat drew attention to additional documents that informed this portion of the discussion, including one on the implementation of the relevant decisions of the Conference of the Parties to the Basel Convention, and its related information document, and another on the follow-up to decision RC-5/11, on progress made in the implementation of decision RC-3/5 on



options for lasting and sustainable financial mechanisms. Recalling that the Basel and Rotterdam conventions had no financial mechanisms, he suggested that the parties might wish to consider ways to make more effective use of and build upon existing sources of relevant global funding. Key questions on this topic might include how to ensure sustainable, predictable, adequate and accessible financing for the implementation of the three conventions, how the synergies process could lead to sustainable financing for the Basel and Rotterdam conventions and how developing countries and countries with economies in transition could gain access to resources.

198. In the ensuing discussion, all representatives who spoke said that a sustainable, predictable and reliable financial mechanism was essential to the implementation of the three conventions. Several representatives welcomed the outcome of the consultative process on financing options for chemicals and wastes and supported the proposal by the Executive Director of UNEP to incorporate the three elements of mainstreaming, industry involvement and dedicated external funding into an integrated approach as a long-term solution for all three conventions, as well as for the future mercury treaty and the Strategic Approach to International Chemicals Management. One representative, however, said that mainstreaming and industry involvement should be supplemental to dedicated external funding, should not impose additional obligations on developing countries and should be framed as suggestions for implementation on a voluntary basis. Others said that the integrated approach was only one of several possible options to be considered, with one representative stressing that the existing obligation of developed countries under the Stockholm Convention to provide new and additional financial resources was very important.

199. Several representatives, including one speaking on behalf of a group of countries, referred to the upcoming sixth replenishment of the GEF trust fund. One, speaking on behalf of a group of countries, said that the parties to all three conventions should send a clear signal to GEF that it should respond favourably to the invitation from the UNEP Governing Council in paragraph 12 of section VIII of its decision 27/12 and that it should consider revising its focal area structure and strategy for financing the chemicals and waste agenda. In its sixth replenishment, GEF should implement the integrated approach in two ways: first, by considering additional ways to build on interlinkages between the conventions to enhance overall outcomes, taking into account global environmental benefits flowing from the Basel and Rotterdam conventions and enabling activities to make their implementation more effective, and, second, by exploring cross-cutting links with other relevant GEF focal areas and multi-focus approaches.

200. A number of representatives said that there was a need for additional institution strengthening, which among other benefits would reduce costs. One representative applauded the UNEP Governing Council invitation to Governments to establish a special programme funded by voluntary contributions to support institutional strengthening at the national level for implementation of the chemicals and waste conventions and called upon the three conferences of the parties to adopt a decision on the matter. Several representatives called for the establishment of local chemicals and waste units to facilitate implementation of an integrated approach and to pave the way for future chemicals and waste conventions.

201. Several representatives described difficulties that they had encountered in applying the provisions of the conventions, citing such things as the effort demanded of parties to implement the conventions in general and difficulties in obtaining GEF funding, in particular as a result of the co-financing ratio used by GEF, which they said was too high.

202. One representative said that the private sector and national Governments should combine their ozone-depleting substance destruction and waste management efforts, suggesting that heavy reliance on donors would not yield a positive result and that access to carbon markets could be an added incentive for such projects. Another representative said that developed countries were primarily responsible for the generation of chemicals and wastes and therefore had responsibilities with regard to financing to address their harmful effects. Another representative said that the parties should consider the possibility of having industry and other waste generators contribute to project financing.

### **3. Establishment of a contact group and adoption of decisions**

203. Following the discussion summarized above, the parties agreed to establish a contact group on technical assistance and financial resources for the three conventions, co-chaired by Mr. Mohammed Khashashneh (Jordan) and Mr. Reginald Hernaus (Netherlands).

204. Taking into account the discussions in plenary, the group was to prepare draft decisions using as a starting point the draft decision text set out in documents UNEP/POPS/COP.6/18, UNEP/POPS/COP.6/19, UNEP/POPS/COP.6/19/Add.1, UNEP/CHW.11/15, UNEP/CHW.11/5, UNEP/CHW.11/5/Add.1 and UNEP/FAO/RC/COP.6/15, with regard to technical assistance, and

UNEP/POPS/COP.6/20, UNEP/POPS/COP.6/21, UNEP/POPS/COP.6/23, UNEP/POPS/COP.6/24, UNEP/POPS/COP.6/25, UNEP/CHW.11/19 and UNEP/FAO/RC/COP.6/14 with regard to financial resources and resource mobilization. The group was also asked to address convention-specific issues during each ordinary meeting of the three conferences and to report to each conference by the deadlines specified in annex II to document UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/2/Rev.1. The contact group was also mandated to prepare draft decision text on the consultative process that would be included in the draft omnibus decision for possible adoption by the conferences of the parties at their second simultaneous extraordinary meetings.<sup>1</sup>

205. Subsequently, the Conference of the Parties to the Basel Convention adopted a decision on the implementation of the decisions of the Conference of the Parties relevant to resource mobilization and sustainable financing, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

206. Decision BC-11/18, on the implementation of the decisions of the Conference of the Parties relevant to resource mobilization and sustainable financing, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **G. Operations and work programme of the Open-ended Working Group for 2014–2015**

207. The representative of the Secretariat introduced the item, outlining the relevant documentation. She recalled that the Expanded Bureau, at its last meeting, had concluded that the current working modalities of the Open-ended Working Group were not making optimum use of available resources and expertise, noting in particular that at its previous meeting, which had lasted four days, the Open-ended Working Group had used less than two days of interpretation. As requested by the Expanded Bureau, the Secretariat had prepared several options for the operations of the Open-ended Working Group, including one to dissolve it and establish in its place a technical subsidiary body to take up the scientific and technical work required by the Conference of the Parties.

208. Several representatives, including one speaking on behalf of a group of countries, spoke on the subject of the operations of the Open-ended Working Group. While all welcomed efforts to optimize the efficiency and cost-effectiveness of the group's meetings, several cautioned that any proposed changes to operations must also consider effectiveness and accessibility. Some representatives stressed the importance of the capacity-building nature of the meetings, particularly with regard to policy. Several representatives welcomed the opportunity to enhance regional representation through changes to the operations of the Open-ended Working Group. Many representatives called for further discussion of the various options proposed.

209. The parties agreed to refer the matter of the working modalities of the Open-ended Working Group to the contact group on strategic matters before taking up the issue of the Working Group's work programme.

210. The co-chair of the strategic matters contact group subsequently reported that the group had been unable to reach consensus on any of the three options for the operations of the Open-ended Working Group set out in the note by the Secretariat (UNEP/CHW.11/20/Add.1). It had accordingly agreed that the Secretariat should be requested to carry out further intersessional work in order to elucidate the mechanism that would serve the Convention most effectively. The current modalities should therefore be retained for the next meeting of the Working Group; the contact group had also agreed, however, that the Secretariat should be given greater flexibility in the use of resources for that meeting.

211. The contact group had prepared a revised version of the draft decision reflecting its discussions. The members of the group had also agreed that, in addition to the provisions of that draft decision, the Secretariat's analysis of the operations of the Working Group should take into account lessons learned from past practices of the Working Group; the functions of the Working Group that were required; the need to allow ample time for both technical and legal discussions; changes in the international chemicals regime resulting from the synergies discussions; the efficiency and effectiveness of the Working Group, including financial implications; and a plan for a transition to any new arrangements.

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<sup>1</sup> The draft text on the consultative process prepared by the contact group was later adopted by the conferences of the parties to the Basel, Rotterdam and Stockholm conventions at their second extraordinary meetings as section VII of decisions BC.Ex-2/1, RC.Ex-2/1 and SC.Ex-2/1.

212. The Conference of the Parties adopted the draft decision prepared by the contact group, including the work programme of the Open-ended Working Group, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement them or that they would have no budgetary implications. The Secretariat was requested to ensure that the work programme was updated following the meeting to reflect the relevant decisions adopted by the Conference of the Parties at the meeting.

213. The Conference of the Parties elected the following representatives as members of the Bureau of the Open-ended Working Group for the biennium 2014–2015:

Co-Chairs: Mr. Prakash Kowlessar (Mauritius) (Technical)

Ms. Magda Gosk (Poland) (Legal)

Vice-Chairs: Ms. Jacinthe Seguin (Canada) (Technical)

Mr. Alberto Capra (Argentina) (Legal)

Rapporteur: Mr. Nassereddin Heidari (Islamic Republic of Iran)

214. Decision BC-11/19, on the operations and work programme of the Open-ended Working Group for 2014–2015, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **V. Programme of work of the Secretariat and adoption of the budget**

215. The Conference of the Parties agreed to consider the programme of work and budget in accordance with the agreement of the parties to the Basel, Rotterdam and Stockholm conventions during the first session of their second simultaneous extraordinary meetings, as described in the report of those meetings (UNEP/FAO/CHW/RC/POPS/EXCOPS.2/4). The parties at the simultaneous extraordinary meetings had agreed to address the programmes of work and budgets of the Basel, Rotterdam and Stockholm conventions together, under item 4 (d) of the agenda for those meetings, “Budgets for joint activities and possible necessary amendments to the budget of the three conventions for the biennium 2014–2015”. Under that item the parties had established a contact group to develop a budget for joint activities. The parties had also mandated the contact group to develop the full budget, and a related draft decision, for each of the three conventions, each of which would be presented to the relevant conference of the parties for consideration and possible adoption during its ordinary meeting.

216. The co-chair of the contact group on synergies and budget matters subsequently reported that the group had reached agreement on the programmes of work and budgets for the Basel, Rotterdam and Stockholm conventions, noting in particular that the average increase in the core operating budgets for the conventions had been held to 1.39 per cent, very close to the agreed target of zero nominal growth. He then introduced conference room papers setting out separate draft decisions on the budget and programme of work for each of the three conventions, noting that in the case of the Basel Convention the budget had increased by 3.64 per cent.

217. He reported that in the view of the members of the contact group the long-term financing of the conventions was a matter of great concern. The long-term accumulation of arrears had resulted in a cash shortfall that currently amounted to \$2 million. As a result, the parties would be unable to capitalize fully on the cost savings from synergies, and some important activities might not be implemented. The conventions could not run a deficit and those who paid their contributions could not substitute for those who failed to pay. He urged the parties to take the situation seriously and to recognize the importance of paying their assessed contributions in full and on time.

218. The Conference of the Parties to the Basel Convention then adopted the draft decision prepared by the contact group on the programme of work and budget for the Basel Convention.

219. Decision BC-11/26, on financing and budget for the biennium 2014–2015, as adopted by the Conference of the Parties, is set out in annex I to the present report.

## **VI. Venue and date of the twelfth meeting of the Conference of the Parties**

220. The present item, on the venue and date of the twelfth meeting of the Conference of the Parties (agenda item 6), was discussed during simultaneous sessions of the meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, and the item was entrusted to the contact group on synergies and budget matters established during the simultaneous extraordinary meetings of the conferences of the parties to the three conventions. Following the work of that contact group its

co-chair reported on the group's discussions regarding the venue and dates of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions.

221. In the light of that report the conferences of the parties to the three conventions decided to convene their next meetings back to back. The meetings would not include high-level segments or be held in conjunction with extraordinary meetings of the conferences of the parties, and the priority for the meetings would be to have agendas that prioritized substantive matters related to implementation of the conventions and a schedule that provided sufficient time for the consideration of such matters. The bureaux of the three conferences of the parties would decide, in consultation with the Secretariat, whether the meetings should feature joint sessions. The parties decided further that the meetings would take place from 4 to 15 May 2015 in Geneva unless the bureaux, meeting jointly, decided otherwise.

222. Decision BC-11/20, on the date 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 annex I to the present report.

## **VII. Other matters**

### **A. Basel Waste Solutions Circle**

223. Introducing the item, the representative of the Secretariat said that the Basel Waste Solutions Circle was a global initiative to recognize activities promoting the protection of human health and livelihood through the environmentally sound management of wastes by granting awards to successful initiatives in various categories. He drew attention to the note by the Secretariat on further development of the Circle (UNEP/CHW.11/INF/15). At the Expanded Bureau meeting held in November 2012, the Bureau had selected Mr. Frédéric Scanvic (Winston and Strawn LLP) and Mr. Hemsing Hurrinag (Pesticide Action Network/International POPs Elimination Network) to serve alongside the Bureau members on the Circle's Admission and Awards Committee.

224. The parties took note of the information provided.

### **B. Official communications**

225. Introducing the matter, the Secretariat drew attention to the relevant documentation, including a proposed harmonized form for use by parties when transmitting notifications of designated contacts in accordance with the provisions of the Basel, Rotterdam and/or Stockholm conventions (UNEP/CHW.11/21, annex). The proposed form was intended to facilitate transmission of information to the Secretariat, while respecting the legal autonomy of each convention. The Secretariat also reported that the proposed harmonized form had been submitted to the Conference of the Parties to the Rotterdam Convention at its sixth meeting for its consideration. The form had also been considered and adopted by the Conference of the Parties to the Stockholm Convention at its sixth meeting, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

226. The Conference of the Parties adopted the draft decision set out in document UNEP/CHW.11/21, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

227. Decision BC-11/21, on official communications, as adopted by the Conference of the Parties, is set out in annex I to the present report.

### **C. Admission of observers**

228. The representative of the Secretariat, introducing the item, said that the Secretariat had reviewed and was suggesting aligning practices under the Basel, Rotterdam and Stockholm conventions regarding the admission of observers to meetings of the conferences of the parties and, as appropriate, subsidiary bodies. Accordingly, a revised form and explanatory note on the process for admission as an observer to meetings of the Conference of the Parties and its subsidiary bodies was set out in the note by the Secretariat on the admission of observers (UNEP/CHW.11/22), along with a draft decision on the matter.

229. The Secretariat informed the parties that the revised form and explanatory note had already been considered by the Conference of the Parties to the Stockholm Convention at its sixth meeting, at which time an initial discussion had taken place. The Secretariat also informed the parties that the Conference of the Parties to the Rotterdam Convention would be considering the matter shortly thereafter. Further to the discussions and some expressions of concern raised by some participants

within the context of the Conference of the Parties to the Stockholm Convention, that body had requested that informal consultations be convened to discuss the approach relating to the Basel, Rotterdam and Stockholm conventions.

230. Referring to the discussions and concerns expressed on this issue to date, the Secretariat noted that a different approach could be proposed, based on the format adopted by the Conference of the Parties to the Stockholm Convention at its second meeting. The format and process also built on the experience gathered within the context of the Basel and Rotterdam conventions.

231. The Conference of Parties then agreed to request, as had the Conference of the Parties to the Stockholm Convention, that informal consultations be convened with the aim of presenting a proposal to the parties regarding a harmonized approach relating to the Basel, Rotterdam and Stockholm conventions.

232. Following the informal consultations, the Conference of the Parties adopted a revised version of the draft decision set out in document UNEP/CHW.11/22, subject to confirmation from the contact group on synergies and budget matters that there were sufficient funds in the budget to implement it or that it would have no budgetary implications.

233. Decision BC-11/22, on admission of observers, as adopted by the Conference of the Parties, is set out in annex I to the present report.

#### **D. Memorandum of understanding between the Conference of the Parties to the Basel Convention and UNEP**

234. Introducing the item, the representative of the Secretariat said that a draft memorandum of understanding between the Conference of the Parties to the Basel Convention and UNEP was set out in the annex to the note by the Secretariat on the issue (UNEP/CHW.11/23). A revised version of that draft memorandum had been submitted by UNEP and was set out in the annex to document UNEP/CHW.11/INF/35. The Expanded Bureau of the Conference of the Parties to the Basel Convention had been informed at its meeting in November 2012 of the discussions held in the bureaux of the conferences of the parties to the Rotterdam and Stockholm conventions in respect of the development of a memorandum of understanding between the Conference of the Parties to the Stockholm Convention and UNEP concerning secretariat functions for the Stockholm Convention. The Expanded Bureau had invited the Executive Director of UNEP to consider the development of a memorandum of understanding with the Conference of the Parties to the Basel Convention covering such matters as transfer of funds and the provision of services by UNEP to the Secretariat.

235. The parties agreed to refer the matter to the contact group on synergies and budget matters established during the second simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions for further consideration.

236. Following the work of the contact group the parties discussed the matter at a later session of the extraordinary meetings. One representative, speaking on behalf of a group of countries and supported by another, said that a memorandum of understanding would be beneficial. Recalling decision 27/13 of the UNEP Governing Council, however, by which the Council had asked UNEP to consult widely on the future relationship between UNEP and the conventions for which it provided the secretariat and to report on the issue by 30 June 2013, she suggested that an informed decision could only be taken once that report had been received. In the meantime, she proposed that the contact group on synergies and budget matters prepare draft decisions for the three conferences of the parties requesting the Executive Secretary to participate actively in the preparation of the UNEP report, in consultation with the bureaux. The parties agreed that the contact group on synergies and budget matters should prepare such draft decisions.

237. The co-chair of the contact group subsequently reported that the group had prepared conference room papers setting out substantially identical draft decisions on the memorandums of understanding for the three conventions. The Conference of the Parties to the Basel Convention then adopted the draft decision pertaining to the Basel Convention.

238. Decision BC-11/23, on the development of a draft 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 annex I to the present report.

#### **E. Discontinuation of the Expanded Bureau and amendment of the rules of procedure**

239. One representative, speaking on behalf of a group of countries, proposed that the Conference of the Parties should discontinue the Expanded Bureau and that instead the chairs of subsidiary bodies

should participate as ex officio members of the Bureau of the Conference of the Parties. The President requested the Secretariat to prepare a draft decision for the parties' consideration, taking into account the discussion on the item.

240. Subsequently, the representative of the Secretariat presented two draft decisions on the matter: one would discontinue the Expanded Bureau as a subsidiary body of the Convention and entrust its functions to the Bureau of the Conference of the Parties and the other would amend rule 21 of the rules of procedure to allow for inclusion of the chairs of subsidiary bodies as ex officio members of the Bureau.

241. In the ensuing discussion, one representative said that further analysis was needed of such issues as the roles and mandates of the subsidiary bodies and suggested that intersessional discussions be held on those proposals alongside the proposal pertaining to the operations of the Open-ended Working Group.

242. Another representative, speaking on behalf of a group of countries, proposed that the Bureau be extended from 5 to 10 members. One representative, speaking on behalf of another group of countries, objected to that proposal. The President invited further consultations among the representatives.

243. At a subsequent session, one representative, speaking on behalf of two groups of countries, introduced two draft decisions that would discontinue the Expanded Bureau as a subsidiary body of the Basel Convention; set the number of members of the Bureau at ten; and establish that five members of the Bureau would participate in joint meetings of the bureaux of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, having due regard for the principle of equitable geographical representation of the five regions of the United Nations.

244. Decisions BC-11/24, on amendment of rule 21 of the rules of procedure, and BC-11/25, on institutional arrangements, as adopted by the Conference of the Parties, are set out in annex I to the present report.

## **VIII. Adoption of the report**

245. The Conference of the Parties adopted the present report on the basis of the draft report set out in documents UNEP/CHW.11/L.1 and Add.1–3, 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.

## **IX. Closure of the meeting**

246. Following the customary exchange of courtesies the meeting was declared closed at 11.55 p.m. on Friday, 10 May 2013

## Annex I

### Decisions adopted by the Conference of the Parties at its eleventh meeting

- BC-11/1: Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention
- BC-11/2: Report on progress on the implementation of the strategic framework
- BC-11/3: Technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants
- BC-11/4: Technical guidelines on transboundary movements of electronic and electrical waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-waste under the Basel Convention
- BC-11/5: Technical guidelines for the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury
- BC-11/6: Amendments to Annex IX to the Basel Convention
- BC-11/7: National reporting
- BC-11/8: Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention
- BC-11/9: Membership of the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention
- BC-11/10: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic
- BC-11/11: Technical assistance
- BC-11/12: Basel Convention regional and coordinating centres
- BC-11/13: Process for evaluating the performance and sustainability of the Basel Convention regional and coordinating centres
- BC-11/14: Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention
- BC-11/15: Partnership for Action on Computing Equipment
- BC-11/16: Environmentally sound dismantling of ships
- BC-11/17: Cooperation between the Basel Convention and the International Maritime Organization
- BC-11/18: Implementation of the relevant decisions of the Conference of the Parties on resource mobilization and sustainable financing
- BC-11/19: Operations and work programme of the Open-ended Working Group for 2014–2015
- BC-11/20: Venue and date of the next meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions
- BC-11/21: Official communications
- BC-11/22: Admission of observers
- BC-11/23: Development of a draft memorandum of understanding between 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
- BC-11/24: Amendment of rule 21 of the rules of procedure
- BC-11/25: Institutional arrangements
- BC-11/26: Financing and budget for the biennium 2014–2015

## **BC-11/1: Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention**

*The Conference of the Parties,*

*Recalling* its decision BC-10/3 on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention,

*Expressing* its appreciation for the steps taken by parties and others to further the objectives of decision BC-10/3,

*Noting* that the meeting adopted separate decisions pertaining to matters set out in sections D, E, F and G of decision BC-10/3<sup>2</sup> and that, as a consequence, the present decision pertains only to matters set out in sections A, B and C of decision BC-10/3,

### **I**

#### **Addressing the entry into force of the Ban Amendment**

1. *Takes note* of the communication from the United Nations Office of Legal Affairs on the number of parties to the Basel Convention at the time of adoption of the Ban Amendment;
2. *Acknowledges* the ratification or acceptance by further parties of the amendment contained in decision III/1;
3. *Invites* parties to continue to take actions towards encouraging and assisting parties to ratify the Amendment;
4. *Requests* the Secretariat, within available resources, to continue to assist parties, upon request, which are having difficulties in ratifying the Ban Amendment;

### **II**

#### **Developing guidelines for environmentally sound management**

5. *Adopts* the framework for the environmentally sound management of hazardous wastes and other wastes;<sup>3</sup>
6. *Recommends* the list of actions for parties, regional centres and other stakeholders set out in annex I to the present decision;
7. *Decides* to mandate an expert working group to further elaborate and implement actions on initial short-term work items as listed in annex II to the present decision, within available resources, and to develop a work programme for additional priorities and key work items and actions for the implementation of environmentally sound management;
8. *Also decides* that the above-mentioned expert working group shall operate by electronic means and shall hold physical meetings, subject to available funding;
9. *Further decides* that the above-mentioned expert working group shall consist of members nominated by parties based on equitable geographical representation of the five regional groups of the United Nations, and will be open to observers;
10. *Requests* each regional group to nominate through its Bureau representative, by 30 June 2013, five members with specific knowledge and expertise in the field. The expert working group shall call upon additional experts as needed;
11. *Requests* the expert working group to elect its own co-chairs and organize its working modalities according to the rules of procedure of the Basel Convention;
12. *Also requests* the expert working group to report on its activities and to submit its work programme to the Open-ended Working Group for consideration at its ninth meeting and subsequently to the Conference of the Parties for consideration and possible adoption at its twelfth meeting;

<sup>2</sup> For section D, decision BC-11/12 on Basel Convention regional and coordinating centres; for sections E and F, decision BC-11/10 on national legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic; and for section G, decision BC-11/11 on technical assistance.

<sup>3</sup> UNEP/CHW.11/3/Add.1/Rev.1.



13. *Invites* parties and other stakeholders to provide to the Secretariat information on activities undertaken to implement the framework for the environmentally sound management of hazardous wastes and other wastes, including any examples of national waste prevention programmes;

14. *Requests* the Secretariat to make the information referred to in paragraph 13 above available on the Basel Convention website;

### III

#### Providing further legal clarity

15. *Takes note* of the report on the interpretation of certain terms<sup>4</sup> and of the study on used and end-of-life goods;<sup>5</sup>

16. *Decides* to establish, within available resources, a small intersessional working group:

(a) To complete the glossary of terms, taking into account comments received from parties to date, by:

(i) Considering whether all of the terms in the draft glossary of certain terms set out in the note by the Secretariat<sup>6</sup> are useful for the interpretation of the Convention and whether any other useful terms can be included;

(ii) Examining the glossaries and/or definitions in the Partnership for Action on Computing Equipment guidance document on the environmentally sound management of used and end-of-life computing equipment, the draft technical guidelines on transboundary movements of electronic and electrical waste (e-waste), in particular regarding the distinction between waste and non-waste, and the framework for the environmentally sound management of hazardous wastes and other wastes, along with previously adopted technical guidelines, to consider whether any other terms could be usefully included in the glossary;

(iii) Ensuring that relevant Convention definitions are retained as defined in the Convention;

(iv) Finalizing the glossary for consideration by the Open-ended Working Group at its ninth meeting;

(v) Recommending to the Open-ended Working Group at its ninth meeting whether any terms defined in previously adopted technical guidelines and guidance documents as well as the framework for the environmentally sound management of hazardous wastes and other wastes need to be updated as a result;

(b) To identify terms for which it would be useful to have further explanations and to provide such explanations in the glossary;

(c) To recommend to the Open-ended Working Group at its ninth meeting where further guidance would be useful;

17. *Also decides* to mandate the small intersessional working group to consider options for further steps towards the consistent interpretation of terminology, including possible voluntary and legally binding options, and to report thereon to the Open-ended Working Group at its ninth meeting;

18. *Requests* the Secretariat, within available resources, to support the work of the small intersessional working group;

19. *Invites* parties to nominate experts to participate in the small intersessional working group and inform the Secretariat of their nominations by 30 June 2013;

20. *Also invites* parties to consider serving as lead country for the small intersessional working group and to inform the Secretariat accordingly by 30 June 2013;

21. *Requests* the small intersessional working group to prepare a first draft of the revised glossary and related explanations to be made available on the Basel Convention website by 15

<sup>4</sup> UNEP/CHW.11/INF/2.

<sup>5</sup> UNEP/CHW.11/INF/3.

<sup>6</sup> UNEP/CHW.11/3/Add.2, annex.

February 2014 with an invitation for parties and others to comment thereon by 15 April 2014, for the consideration of the small intersessional working group;

22. *Also requests* the small intersessional working group to prepare a revised draft of the revised glossary and related explanations, taking into account comments received by Parties and others, to be made available on the Basel Convention website by 15 June 2014;

23. *Decides* that the small intersessional working group will submit, for the consideration of the Open-ended Working Group at its ninth meeting, the revised glossary and related explanations;

24. *Invites* the Open-ended Working Group at its ninth meeting to finalize the glossary and related explanations and to prepare a draft decision, including on paragraph 16 (c) and 17 above, for consideration and possible adoption by the Conference of the Parties at its twelfth meeting.

## **Annex I to decision BC-11/1**

### **Non-exhaustive list of actions that may be considered for the implementation of the framework for the environmentally sound management of hazardous wastes and other wastes in the short and medium term by parties, regional centres and other stakeholders**

This non-exhaustive list of actions is based on the recommendations contained in paragraphs 46–48 of the framework for the environmentally sound management of hazardous wastes and other wastes adopted through the present decision. The actions proposed in this list are also directly related to section VI of the framework on the role of key stakeholders.

#### ***International level***

##### ***Parties***

- Identify/analyse/assess existing tools to achieve environmentally sound management (ESM) through, for example, legislation, guidelines, guidance, standards, minimization and prevention programmes, codes of practice and certification systems;
- Identify and assess tools for developing waste inventories;
- Identify methods of identifying required infrastructure and capacity to manage waste in an ESM manner;
- Identify, and if needed develop, elements for ESM:
  - At the facility level;
  - For specific waste streams;
- Identify elements in guidelines for consideration in developing national legislation and guidance on licensing and permitting so as to achieve ESM;
- Explore the benefits of using existing voluntary certification schemes to promote ESM;
- Develop and/or update existing guidelines for specific waste streams, taking into account best available techniques (BAT) and best environmental practices (BEP);
- Develop guidance on national waste management plans for achieving ESM;
- Develop tools to be used at the national or regional level for monitoring and enforcement with regard to ESM;
- Identify and initiate pilot projects at selected levels (regional, national, facility, specific waste stream) to demonstrate ESM.

#### ***Regional level***

##### ***Parties, in coordination with Basel Convention regional and coordinating centres (BCRCs)***

- Initiate/strengthen regional networks and regional cooperation activities to improve compliance through knowledge and information exchange on ESM and its linkage to transboundary movements.

*BCRCs*

- In cooperation with parties:
  - Enhance information exchange, including development of a database on wastes;
  - Promote the use of existing guidelines for specific waste streams issued by the Basel Convention for relevant stakeholders;
  - Undertake training programmes on ESM.

*National level**Parties – Governments*

- Facilitate the involvement of the private sector and other stakeholders in the implementation of the ESM framework;
- Develop national legislation including identified elements of ESM using relevant guidelines;
- Provide incentives, including development of measures, for facilities to achieve ESM;
- Implement applicable national and international instruments and codes of practice, including from the International Labour Organization, in relation to occupational safety and health;
- Promote the improvement and/or development of necessary infrastructure for the ESM of wastes generated in-country;
- Implement corrective actions, as they relate to the recommendation in subparagraph 46 (b)<sup>7</sup> of the ESM framework, so as to meet goals relating to implementation of strategies within the context of the framework;
- Compile information on waste generation and management and develop information systems with the assistance of the private sector.

*Facility level**Waste management facilities*

- Ensure that all applicable national legislation is complied with and that all relevant licences/permits/authorizations are in place;
- Have an applicable environmental management system in place;
- Consider adhering to applicable voluntary third-party verified certification schemes;
- Take sufficient measures to safeguard occupational safety and health and the environment;
- Comply with applicable national instruments and codes of practice in relation to occupational safety and health;
- Have an adequate monitoring, recording and reporting programme;
- Have an appropriate and adequate training programme for personnel;
- Have an adequate emergency plan;
- Have an adequate plan for closure and after-care;
- Implement corrective actions, as they relate to the recommendation in subparagraph 46 (b) of the ESM framework, to meet goals established in the implementation of strategies within the context of the framework.

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<sup>7</sup> Subparagraph 46 (b): “review implementation of strategies referred to in subparagraph (a) above on a periodic basis. In the event that goals are not being met or desirable results are not being achieved, the problem and its root cause should be identified, corrective action should be implemented, and the implementation plan and/or strategy should be updated where necessary”.

## Annex II to decision BC-11/1

### Terms of reference for the expert working group on the framework for the environmentally sound management of hazardous wastes and other wastes

1. Develop and implement actions on initial short-term work items identified below:
  - Collection of available information on national and other ESM standards and practices;
  - Identify ESM elements and develop practical guidance in the context of relevant national systems and structures, on certain waste streams (to be decided by the expert working group);
  - Develop generic guidance on how to establish ESM;
  - Assess existing useful training and information material on policies, legislation and best practises on ESM;
  - Assess possible incentives to encourage the private sector to invest in ESM.
2. Develop a work programme for additional priorities and key work items for implementation of ESM and report on this to the Open-ended Working Group at its ninth meeting and to the Conference of the Parties at its twelfth meeting.

Priority areas to include:

- How to ensure consistent interpretation of ESM;
- Encouraging parties to develop and implement comprehensive strategies and legislation;
- Encouraging the private sector to implement and invest in ESM;
- Ensuring that hazardous waste and other waste that is subject to transboundary movement is managed in an environmentally sound manner.

### BC-11/2: Report on progress on the implementation of the strategic framework

#### *The Conference of the Parties*

1. *Encourages* parties to continue to take specific actions to implement the strategic framework through the activities listed in the biennial programme of work;
2. *Decides* to take into account regional and national diversities and specificities, especially those of developing countries, countries with economies in transition and small island developing States, in the implementation of the strategic framework;
3. *Calls upon* parties and others in a position to do so to mobilize resources to implement the strategic framework;
4. *Requests* the Secretariat:
  - (a) To continue to facilitate actions to mobilize resources for the strategic framework;
  - (b) To continue to cooperate closely with the parties, the Basel Convention regional and coordinating centres and other stakeholders to support the development and implementation of the activities set out in the strategic framework;
5. *Encourages* parties and other stakeholders:
  - (a) To provide financial and other resources, including in-kind support, for the implementation of the strategic framework;
  - (b) To continue to promote the implementation of the strategic framework and to cooperate in that regard;
6. *Takes note* of the report on the creation of a baseline for the mid-term and final evaluations of the strategic framework prepared by the Secretariat;<sup>8</sup>

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<sup>8</sup> UNEP/CHW.11/INF/6.

7. *Invites* those parties that have not already done so to provide to the Secretariat, by 30 September 2013, information for the year 2011 relevant to the indicators listed in section V of the annex to decision BC-10/2, as requested in paragraph 17 of the annex to that decision, using the format for reporting developed by the Secretariat;

8. *Requests* the Secretariat to submit a baseline report, on the basis of the report referred to in paragraph 6 above and the information received pursuant to paragraph 7 above, to the Open-ended Working Group for consideration at its ninth meeting;

9. *Also requests* the Secretariat to collect updated information using the format for reporting referred to in paragraph 7 above and to prepare a report on the mid-term evaluation of the strategic framework to be considered by the Conference of the Parties at its thirteenth meeting;

10. *Further requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on progress in the implementation of the strategic framework.

### **BC-11/3: Technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants**

#### *The Conference of the Parties*

1. *Decides* that the following should be included in the work programme of the Open-ended Working Group for 2014–2015:

(a) Updating of the general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants and the preparation or updating of specific technical guidelines with regard to the chemicals listed in Annexes A, B and C to the Stockholm Convention by decisions SC-4/10–SC-4/18, SC-5/3 and SC-6/11 of the Conference of the Parties to the Stockholm Convention, including the following:

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

(b) Review of the waste-related aspects of the draft guidance document for the inventory of perfluorooctane sulfonic acid and related chemicals listed under the Stockholm Convention (2012), the draft guidance for the inventory of polybrominated diphenyl ethers listed under the Stockholm Convention (2012), the draft guidance on best available techniques and best environmental practices for the use of perfluorooctane sulfonic acid and related chemicals listed under the Stockholm Convention (2012) and the draft guidance on the best available techniques and best environmental practices for the recycling and waste disposal of articles containing polybrominated diphenyl ethers listed under the Stockholm Convention (2012);

(c) Consideration of the amendment of the entries in Annex VIII to the Basel Convention for polychlorinated dibenzo-furans and polychlorinated dibenzo-dioxins (entry A4110), DDT and other relevant persistent organic pollutants to include concentration levels for those chemicals, after the development of an appropriate framework for establishing de minimis concentrations;

2. *Welcomes* the involvement of experts working under the Stockholm Convention on Persistent Organic Pollutants, including members and observers of the Persistent Organic Pollutants Review Committee, in the work referred to in paragraph 1 above;
3. *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 and updating, as appropriate, of technical guidelines regarding persistent organic pollutants and in the review the waste-related aspects of the documents referred to in paragraph 1 (b) above, working in particular by electronic means;
4. *Welcomes* with appreciation the offer by Canada to chair the small intersessional working group until the twelfth meeting of the Conference of the Parties, and expresses its appreciation to the lead countries Canada, China and Japan and the lead organizations the Food and Agriculture Organization of the United Nations and the United Nations Environment Programme for their financial or in-kind contributions for tasks under this subject matter;
5. *Invites* the lead countries and lead organizations to take the programme of work set out in the note by the Secretariat on the draft programme of work for the review and updating of the technical guidelines on persistent organic pollutants,<sup>9</sup> and also, inter alia, the documents referred to in paragraph 1 (a) of decision BC-10/9 and the draft guidance referred to in paragraph 1(b) above into account in their work referred to in paragraph 1(a) above;
6. *Invites:*
  - (a) Canada to prepare, in consultation with the small intersessional working group, draft revised general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants by 28 February 2014, taking into account annex B to the progress report on the implementation of the programme of work for the development, review and updating of technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants<sup>10</sup> and the comments received thereon;
  - (b) Canada to prepare, in consultation with the small intersessional working group, draft revised technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with perfluorooctane sulfonic acid, its salts and perfluorooctanesulfonyl fluoride by 28 February 2014, taking into account annex A to the progress report referred to above and the comments received thereon;
  - (c) China to prepare, in consultation with the small intersessional working group, draft technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with commercial octabromodiphenyl ether (hexabromodiphenyl ether and heptabromodiphenyl ether), commercial pentabromodiphenyl ether (tetrabromodiphenyl ether and pentabromodiphenyl ether) and hexabromocyclododecane by 28 February 2014;
  - (d) Japan to prepare, in consultation with the small intersessional working group, draft technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with polychlorinated biphenyls, polychlorinated terphenyls or polybrominated biphenyls including hexabromobiphenyl by 15 April 2014, taking into account annex A to the progress report referred to above and the comments received thereon;
  - (e) The Food and Agriculture Organization of the United Nations to prepare, in consultation with the small intersessional working group, draft technical guidelines for 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, lindane, mirex, pentachlorobenzene, technical endosulfan and its related isomers or toxaphene or with hexachlorobenzene as an industrial chemical by 28 February 2014;
  - (f) The Chemicals Branch of the Division of Technology, Industry and Economics of the United Nations Environment Programme to prepare, in consultation with the small intersessional working group, draft technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with unintentionally produced dibenzo-p-dioxins,

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<sup>9</sup> UNEP/CHW/OEWG.8/INF/10, annex.

<sup>10</sup> UNEP/CHW.11/INF/33, annex.

polychlorinated dibenzofurans, hexachlorobenzene, pentachlorobenzene or polychlorinated biphenyls by 28 February 2014;

7. *Invites* parties and others to submit comments to the Secretariat by 15 April 2014 on the drafts referred to in paragraph 6 (b), (c), (e) and (f) above, by 30 April 2014 on the draft referred to in paragraph 6 (a) above and by 30 May 2014 on the draft referred to in paragraph 6 (d) above;

8. *Invites* the lead countries and lead organizations to prepare, in consultation with the small intersessional working group and taking into account the comments received pursuant to paragraph 7 above, revised draft technical guidelines for consideration by the Open-ended Working Group at its ninth meeting;

9. *Invites* the small intersessional working group to review the documents referred to in paragraph 1 (b) above and to forward a draft outcome for consideration by the Open-ended Working Group at its ninth meeting and requests the Secretariat to transmit the outcome to the Stockholm Convention Secretariat by 31 October 2014 at the latest;

10. *Invites* experts to participate in the work under the Stockholm Convention to assess technologies for the destruction and irreversible transformation of persistent organic pollutants, taking into consideration existing guidance, such as the technical guidelines under the Basel Convention;

11. *Requests* the Secretariat to report on the implementation of the present decision to the Open-ended Working Group at its ninth meeting and to the Conference of the Parties at its twelfth meeting.

## **BC-11/4: Technical guidelines on transboundary movements of electronic and electrical 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. *Decides* to include the development of the technical guidelines on transboundary movements of electronic and electrical waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-waste under the Basel Convention, in the work programme of the Open-ended Working Group for 2014–2015;

2. *Invites* parties and others to nominate further experts to participate in the small intersessional working group established by decision BC-10/5 or to update their nominations as appropriate, and to inform the Secretariat of their nominations by 30 June 2013;

3. *Invites* parties to consider serving as lead country for the development of the technical guidelines and to inform the Secretariat of their willingness to do so by 31 July 2013;

4. *Invites* parties and others to submit information, examples of current practices and considerations on the issues referred to in paragraph 26 (b) of the draft technical guidelines<sup>11</sup> and their implications to the Secretariat, by 15 September 2013;

5. *Requests* the lead country, if one is selected, or the Secretariat, if one is not, in consultation with the small intersessional working group, to prepare draft revised technical guidelines, taking into account the submissions by parties and others received by the Secretariat to date and the discussions at the eleventh meeting of the Conference of the Parties, for publication on the Convention website by 30 November 2013;

6. *Invites* parties and others to submit comments on the draft revised technical guidelines, in particular on the issues referred to in paragraph 26 (b) of the above-mentioned draft technical guidelines, to the lead country, if one is selected, and to the Secretariat, by 28 February 2014;

7. *Requests* the Secretariat, subject to the availability of resources, to gather and analyse information on the implications of the issues referred to in paragraph 26 (b) of the above-mentioned draft technical guidelines and to prepare a report, taking into account the comments received pursuant to paragraph 5 above, for consideration by the Open-ended Working Group at its ninth meeting;

<sup>11</sup> UNEP/CHW.11/7/Add.1, annex.

8. *Requests* the lead country or, if there is no lead country, the Secretariat, in consultation with the small intersessional working group, to prepare draft revised technical guidelines for consideration by the Open-ended Working Group at its ninth meeting;

9. *Requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on the progress of work on the development of the technical guidelines.

## **BC-11/5: Technical guidelines for the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury**

### *The Conference of the Parties*

1. *Takes note* of the relationship between the Minamata Convention on Mercury and the Basel Convention, in particular regarding the environmentally sound management of mercury wastes;

2. *Decides* to include the updating of the technical guidelines for the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury in the work programme of the Open-ended Working Group for 2014–2015;

3. *Invites* parties to consider serving as lead country for the updating of the technical guidelines and to inform the Secretariat of their willingness to do so by 30 June 2013;

4. *Invites* parties and others to nominate experts to participate in the small intersessional working group established by decision IX/15 and to inform the Secretariat of their nominations by 30 June 2013;

5. *Requests* the lead country or, if there is no lead country, the Secretariat, in consultation with the small intersessional working group and subject to the availability of funding, to prepare draft updated technical guidelines for publication on the Convention website by 31 December 2013;

6. *Invites* parties and others to submit comments on the draft updated technical guidelines to the lead country, if one is selected, and to the Secretariat, by 31 March 2014;

7. *Requests* the lead country or, if there is no lead country, the Secretariat, in consultation with the small intersessional working group and subject to the availability of funding, to prepare revised draft updated technical guidelines, taking into account the comments referred to in paragraph 6 above, for consideration by the Open-ended Working Group at its ninth meeting;

8. *Requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on the progress of work on the updating of the technical guidelines.

## **BC-11/6: Amendments to Annex IX to the Basel Convention**

### *The Conference of the Parties,*

*Considering* the applications made by Finland, Ireland and the Netherlands for new entries to Annex IX to the Basel Convention,

1. *Adopts* the following amendments to Annex IX of the Basel Convention:

(a) New entry B3026:

“The following waste from the pre-treatment of composite packaging for liquids, not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics:

- Non-separable plastic fraction
- Non-separable plastic-aluminium fraction”;

(b) New entry B3027:

“Self-adhesive label laminate waste containing raw materials used in label material production”;

2. *Decides* to include further work on the following draft entry B3025 in the work programme of the Open-ended Working Group for 2014–2015:



“Composite packaging waste consisting of mainly paper and some plastic [and aluminium], not containing residues and not containing Annex I materials in concentrations sufficient to exhibit Annex III characteristics”;<sup>12</sup>

3. *Invites* Parties and others to submit comments to the Secretariat by 30 October 2013 on the draft entry referred to in paragraph 2 above for consideration by the Open-ended Working Group at its ninth meeting;

4. *Requests* the Secretariat to communicate the amendments referred to in paragraph 1 above to the Depositary and to update and reproduce the amended version of the Convention texts.

## BC-11/7: National reporting

### *The Conference of the Parties*

1. *Invites* parties that have not yet done so to transmit to the Secretariat their completed questionnaires on the transmission of information for 2011 and for previous years, as soon as possible and in electronic form, using the revised questionnaire adopted by the Conference of the Parties at its sixth meeting and bearing in mind that, in accordance with the provisions of paragraph 3 of Article 13 of the Convention, parties must transmit before the end of each calendar year a report on the previous calendar year;

2. *Also invites* parties to fill in any data gaps that may exist in their reported data on the generation and transboundary movement of hazardous and other wastes, especially the data regarding electrical and electronic wastes, for 2006 and following years;

3. *Requests* the Secretariat:

(a) To continue to assist parties in improving the comparability of their data on the transboundary movements of hazardous and other wastes;

(b) To continue to develop the new electronic reporting system, which should provide parties with an easy and user-friendly way of searching summaries of information, country fact sheets and graphical representations of the data submitted by reporting parties;

(c) To translate into English, within available resources, any information submitted by parties in part I of their questionnaires on the transmission of information in any official language of the United Nations other than English before incorporating such information into the reporting database;

(d) To continue to provide, within available resources, training to developing countries and other countries that are in need of assistance to meet their reporting obligations by organizing workshops and other relevant training activities in cooperation with the Basel Convention regional centres or by other appropriate means;

4. *Requests* the Basel Convention regional centres to continue to provide assistance to parties in order for them to meet their reporting obligations with a view to transmitting to the Secretariat national reports to the extent possible complete and on time;

5. *Decides* to include a review and revision of the reporting format in the work programme of the Open-ended Working Group for 2014–2015 and to establish a small intersessional working group, operating by electronic means, to take this work forward, with a particular focus on streamlining and simplifying the content and structure of the reporting format;

6. *Invites* parties to nominate experts to participate in the small intersessional working group and inform the Secretariat of their nominations by 30 June 2013;

7. *Also invites* parties to consider serving as lead country for the review and revision of the reporting format and to inform the Secretariat of their willingness to do so by 30 June 2013;

8. *Further invites* parties to submit suggestions on revising the reporting format to the Secretariat by 30 September 2013;

9. *Requests* the Secretariat to support the small intersessional working group;

10. *Requests* the lead country or, if there is no lead country, the Secretariat, in consultation with the small intersessional working group, to review the reporting format, taking into account the

<sup>12</sup> It is noted that there may be national laws controlling the import of waste containing household waste.

comments contained in annex II to the note by the Secretariat on the classification and publication of parties' individual compliance performance with regard to the annual reporting obligation<sup>13</sup> and the comments received pursuant to paragraph 8 above, and to submit a draft revised reporting format for consideration by the Open-ended Working Group at its ninth meeting;

11. *Requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on the progress of work on national reporting.

## **BC-11/8: Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**

### *The Conference of the Parties*

1. *Takes note* of the report of the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention on its work and the recommendations made therein,<sup>14</sup> and welcomes the work undertaken by the Committee since the tenth meeting of the Conference of the Parties;

### **I**

#### **Specific submissions regarding party implementation and compliance**

2. *Encourages* parties concerned by a submission covered by the decisions taken by the Committee at its ninth meeting to cooperate with the Committee with a view to resolving the matter of concern;

3. *Expresses* its appreciation to those parties that made a financial contribution to the implementation fund and encourages all parties and others in a position to do so to make contributions to the implementation fund established by decision IX/2;

4. *Authorizes* the Committee to make recommendations to the Executive Secretary on the use of the implementation fund in the intersessional period between the eleventh and twelfth meetings of the Conference of the Parties in the context of the facilitation procedure set out in paragraphs 19 and 20 of the terms of reference, to fund activities listed in the compliance action plans approved by the Committee;

5. *Decides* to review at its twelfth meeting the operation of the implementation fund in the light of the experience of the Committee and other developments;

6. *Extends*, for the period between the eleventh and twelfth meetings of the Conference of the Parties, the amendment to paragraph 9 (c) of the terms of reference of the mechanism for promoting implementation and compliance of the Basel Convention adopted by decision BC-10/11;<sup>15</sup>

### **II**

#### **Review of general issues of compliance and implementation under the Convention**

##### **National reporting**

7. *Notes with concern* that the national reporting targets for the year 2010 approved by the Conference of the Parties at its tenth meeting have not been met;

8. *Acknowledges* that the problem of non-reporting, incomplete reporting or 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;

<sup>13</sup> UNEP/CHW.11/INF/14.

<sup>14</sup> UNEP/CHW.11/10 and UNEP/CHW.11/10/Add.1.

<sup>15</sup> The amendment is set out in paragraph 13 of decision BC-10/11 and reads as follows: "The Secretariat, if, while acting pursuant to its functions under articles 13 and 16, it becomes aware of possible difficulties of any party in complying with its obligations under paragraph 1 of article 3, paragraph 1 (a) of article 4, article 5 and paragraphs 2 and 3 of article 13 of the Convention, provided that the matter has not been resolved within three months by consultation with the Party concerned".

9. *Agrees*, as a way of measuring progress in the overall implementation of and compliance with paragraph 3 of Article 13 of the Convention, on the following interim targets: 30 per cent<sup>16</sup> of reports due for 2011 and for subsequent years are submitted in time; and 20 per cent<sup>17</sup> of reports due for 2011 and for subsequent years are submitted complete;

10. *Requests* the Secretariat to develop an electronic tool to help parties organize information pertaining to the generation and transboundary movements of hazardous wastes and other wastes;<sup>18</sup>

11. *Requests* the Secretariat and the Basel Convention regional and coordinating centres to assist parties, upon request, in establishing compatibility between their national classification systems and the classification system of the Basel Convention, and also to undertake technical assistance activities aimed at supporting parties to develop and maintain national inventories of hazardous wastes and other wastes;

### **National legislation**

12. *Invites* parties that may be facing difficulties in implementing and complying with paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention to make use of the Committee's legal framework programme<sup>19</sup> through a submission under paragraph 9 (a) of the terms of reference, which may lead to consideration of possible funding from the implementation fund;

13. *Requests* the Secretariat:

(a) To continue to provide advice upon request and to collect and disseminate legal information, for instance national legislation;

(b) To publicize the Committee's legal framework programme on the website;

(c) To give priority, in the legal component of the Secretariat's technical assistance programme, to assisting parties in enacting and reviewing implementing legislation, including by: tailoring specific tools and training activities aimed at assisting parties to undertake a preliminary survey of existing legislation; providing access to specialist expertise in environmental law and hazardous waste issues for translating Convention obligations into domestic law; and providing access to specialist expertise in legislative drafting;

(d) To undertake activities aimed at facilitating exchanges of experiences between countries on the development and implementation of legislation;

(e) Within available resources, to disseminate more widely existing guidance, tools, mechanisms and other resources available to assist parties to implement and comply with Article 4, paragraph 4, and Article 9, paragraph 5, of the Convention;

14. *Invites* the Basel Convention regional and coordinating centres to include assistance to parties in the development or review of national legislation implementing the Basel Convention as part of their business plans, using guidance developed by the Convention bodies, while taking into account regional specificities;

### **Illegal traffic**

15. *Adopts* the terms of reference for cooperative arrangements on preventing and combating illegal traffic, also referred to as the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE), set out in annex I to the present decision;

16. *Elects*, in accordance with the terms of reference, the following representatives of the four parties to the Basel Convention in the cooperative arrangements on preventing and combating illegal traffic:

From the African group: Mr. Dany Mpolesha Kankonda (Democratic Republic of the Congo)

From the Asia and Pacific group: Ms. Lumbini Keviella (Sri Lanka)

From the Latin American and Caribbean group: Ms. Karla Acosta Resendiz (Mexico)

<sup>16</sup> Baseline: 15 per cent for the reports due for 2010.

<sup>17</sup> Baseline: 0.6 per cent for the reports due for 2010.

<sup>18</sup> See details set out in document UNEP/CHW.11/13 on national reporting.

<sup>19</sup> Paragraphs 52–54 of decision BC-10/11.

From the Western European and others group: Mr. Santiago Davila Sena (Spain)

17. *Designates*, in accordance with the terms of reference, the following four representatives from the Basel Convention regional and coordinating centres to serve in the cooperative arrangements on preventing and combating illegal traffic:

From the African region: Basel Convention Coordinating Centre for the African Region in Nigeria

From the Asia and Pacific region: Basel Convention Regional Centre for Asia and the Pacific Region in China

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

From the Latin American and Caribbean region: Basel Convention Regional Centre for the South American Region in Argentina

18. *Invites* the organizations and entities listed in paragraph 8 of the terms of reference to become members of the cooperative arrangements on preventing and combating illegal traffic and requests the Secretariat to communicate this invitation to each of these organizations and entities;

19. *Requests* the Secretariat, subject to the availability of resources, to make the necessary arrangements for organizing the first meeting of the cooperative arrangements on preventing and combating illegal traffic and to report back to the Conference of the Parties at its twelfth meeting on the implementation of this decision;

#### **Work programme for the biennium 2014–2015**

20. *Approves* the work programme of the Committee for 2014–2015 set out in the annex to the present decision;

21. *Requests* the Committee to establish priorities, work methods and schedules with regard to the issues identified in the 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;

22. *Also requests* the Committee to report to the Conference of the Parties at its twelfth 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;

23. *Calls upon* parties to make use of the mechanism for promoting implementation and compliance.

#### **Annex I to decision BC-11/8**

#### **Terms of reference for cooperative arrangements on preventing and combating illegal traffic: the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE)**

##### **A. Mission statement**

1. The mission of the Environmental Network for Optimizing Regulatory Compliance on Illegal Traffic (ENFORCE) is, through a network of relevant experts, to promote parties' compliance with the provisions of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal pertaining to preventing and combating illegal traffic in hazardous wastes and other wastes through the better implementation and enforcement of national law.

2. This will be achieved by bringing together existing resources and enhancing and improving cooperation and coordination between relevant entities with a specific mandate to deliver capacity-building activities and tools on preventing and combating illegal traffic.

##### **B. Scope**

3. The activities of ENFORCE may relate to transboundary movements of hazardous wastes and other wastes falling within the scope of the Basel Convention.

## C. Activities

4. Consistent with the mission of ENFORCE and through cooperation and information exchange, members will focus their activities on undertaking capacity-building activities to prevent and combat illegal traffic, for instance:

- Sharing and developing training tools and materials (including review of and improvement of existing training tools materials);
- Hosting and organizing workshops or electronic training and information sessions, in particular for developing countries;
- Facilitating information exchange on success stories, techniques and expertise, and dissemination of good practices;
- Periodic monitoring of and reporting on the progress and effectiveness of the training activities and modules, for example by developing performance indicators, identifying gaps and problematic areas and proposing modifications;
- Developing means to ensure sustainability in the efforts under ENFORCE.

5. To support these activities and with a view to avoiding duplication and maximizing the use of available resources, the members of ENFORCE may also engage in the following activities:

- Improving understanding of the challenges and needs of parties and the various stakeholders in preventing and combating illegal traffic in line with the requirements of the Basel Convention;
- Developing common approaches and strategies for preventing and combating illegal traffic in line with the requirements of the Basel Convention;
- Promoting dialogue between members and developing a shared vision for preventing and combating illegal traffic that is in line with the objectives and requirements of the Basel Convention;
- Promoting cooperation between members and a coordinated approach to capacity-building and operational activities, for instance through joint activities, to broaden the geographical distribution of such activities and to reduce competition over resources;
- Increasing the visibility of and support for efforts aimed at preventing and combating illegal traffic.

## D. Members

6. Membership in ENFORCE is open to:

- Parties to the Basel Convention;
- 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 under the Basel Convention;
- Entities with a specific role or relevance in relation to the above-mentioned task.

7. Members of ENFORCE are:

- One representative from each of the five United Nations regions that are parties to the Convention;
- Five representatives from the Basel Convention regional and coordinating centres, based on equitable geographical representation.

8. The following organizations and entities, among others, are eligible to become additional members:

- World Customs Organization;
- International Criminal Police Organization (INTERPOL);

- United Nations Environment Programme (UNEP), through, for instance, the Division of Environmental Law and Conventions or the Division of Technology, Industry and Economics;
- Constituted enforcement networks: the Asian Network for Prevention of Illegal Transboundary Movement of Hazardous Wastes, the Transfrontier Shipment of Waste (TFS) cluster of the European Union Network for the Implementation and Enforcement of Environmental Law (IMPEL), the Green Customs Initiative, the Multilateral Environmental Agreements Regional Enforcement Network (MEA-REN), the International Network for Environmental Compliance and Enforcement (INECE), and the United Nations Office on Drugs and Crime (UNODC);
- Non-governmental organizations active in the field of prevention and combating illegal traffic, such as the Basel Action Network (BAN);
- Other organizations with the potential to make a contribution that are approved by ENFORCE in accordance with the provisions of paragraph 12 below.

9. The five party representatives mentioned above shall be elected by the Conference of the Parties at each of its meetings, based on nominations from each regional group. Elected party representatives are eligible for re-election at subsequent meetings of the Conference of the Parties to the Basel Convention.

10. The five representatives of the Basel Convention regional and coordinating centres shall be designated by the Conference of the Parties at each of its meetings, based on nominations from each regional group. The elected representatives are eligible for re-election at subsequent meetings of the Conference of the Parties to the Basel Convention.

11. The membership of ENFORCE should not exceed 25 members.

12. Organizations and entities fulfilling the conditions set out in paragraph 6, such as those listed in paragraph 8, and wishing to become members of ENFORCE, may address, through the Secretariat, a duly motivated request to the chair of ENFORCE. The secretariat of ENFORCE shall circulate the request to all members. Members are accepted by a decision of the members of ENFORCE. Each new member designates a representative with recognized expertise in the field of the activities of ENFORCE and notifies the secretariat of ENFORCE accordingly. Members can at any time decide no longer to be members of ENFORCE. Such a decision shall be notified to the secretariat of ENFORCE.

13. Communication with and among members will take place through the designated or, as appropriate, elected representative.

## **E. Working methods**

14. Members of ENFORCE, through their designated representative, will meet at least once a year, whether in person, by conference call or by electronic means, and whenever possible in conjunction with the meetings of Basel Convention bodies.

15. The Chair of the Committee Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention shall participate in the meetings *ex officio*.

16. Meetings shall only be open to observers approved by the members through the process set out below.

17. The objective of the meetings is for members to exchange information on activities of relevance to ENFORCE, and also to identify activities that would benefit from being coordinated or jointly planned and implemented by two or more members.

18. At each meeting, members of ENFORCE will elect a chair and a vice-chair among the representatives of the members at the meeting. Election will be based, as far as possible, in a way to ensure rotation among the members of ENFORCE.

19. At the first meeting of ENFORCE, a chair and vice-chair will be elected. The chair and vice-chair will remain in office until the closure of the first meeting of ENFORCE subsequent to the next meeting of the Conference of the Parties. The subsequent chair and vice-chair will commence their term of office at the closure of the meeting at which they are elected and will serve as chair and vice-chair until the closure of the first meeting of ENFORCE subsequent to the next meeting of the Conference of the Parties.

20. To ensure transparency for parties to the Basel Convention, ENFORCE will prepare timely reports of its meetings. The reports of meetings of ENFORCE will be drafted under the authority of

the chair and circulated to members present at the meeting for its endorsement. Once endorsed, the report will become a document publicly available. Where ENFORCE produces recommendations that it wishes the Conference of the Parties to act upon, it shall include these in its report to the Conference of the Parties.

## **F. Secretariat**

21. The Secretariat of the Basel Convention shall be the secretariat of ENFORCE. It shall exercise its functions in accordance with Article 16 of the Convention.

## **G. Observers and experts**

22. Non-members may, subject to the following conditions, be admitted to meetings of ENFORCE and represented as observers. Such non-members wishing to be represented as observers during meetings of ENFORCE shall, through the Secretariat, address a duly motivated request to the chair of ENFORCE. The secretariat of ENFORCE shall circulate the request to all members with a view to seeking their timely approval. If approved, the chair will invite the requesting non-member to be represented as an observer during the meeting of ENFORCE.

23. Members of ENFORCE may agree to invite experts possessing specialized technical knowledge on an issue to be discussed at a meeting to be admitted to the meeting, or relevant parts thereof.

24. Observers will be requested to agree to respect the confidentiality and other rules applicable to the meetings of ENFORCE.

## **H. Confidentiality**

25. The Chatham House Rule<sup>20</sup> shall apply to all activities under ENFORCE, including meetings and intersessional correspondence. Under the Chatham House Rule, participants at a meeting are free to use the information received, but neither the identity nor the affiliation of the speaker(s) nor that of any other participant may be revealed.

26. The obligation of confidentiality set out herein shall subsist for all members of ENFORCE beyond the duration of their membership with ENFORCE.

27. The members of ENFORCE, and also any observer, individual or entity involved in the work of ENFORCE shall protect the confidentiality of information received in confidence.

## **I. Public information**

28. Information released on behalf of ENFORCE shall be communicated through the secretariat of ENFORCE.

## **J. Logos and names**

29. Members of ENFORCE will not use the names or logos of the Basel Convention, the United Nations Environment Programme and the United Nations without the prior written authorization of each of those organizations in relation to each specific use.

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<sup>20</sup> See <http://www.chathamhouse.org/about-us/chathamhouserule>.

## Annex II to decision BC-11/8

### Work programme for 2014–2015 of the Committee for Administering the Mechanism for Promoting Implementation and Compliance

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

Objective	Activity
1. National reporting Improve timely and complete national reporting under paragraph 3 of Article 13 of the Convention	<p>(a) Classify and, as appropriate, publish parties' individual compliance performance with regard to their annual national reporting obligations for 2011, 2012 and 2013 as available, including a separate analysis of performance with regard to parts I and II of the reports, based on the assumptions and elements set out in the report of the Committee to the Conference of the Parties at its eleventh meeting,<sup>21</sup> based on the criteria and categories adopted by the Conference of the Parties at its tenth meeting,<sup>22</sup> and using the targets mentioned in paragraph 9 of decision BC-11/8;</p> <p>(b) Finalize, taking into account comments received by parties and Basel Convention regional centres by 31 July 2013, and including through consultations with the Open-ended Working Group, the development of guidance on the development of inventories for the consideration and possible adoption by the Conference of the Parties at its twelfth meeting;</p> <p>(c) Analyse whether additional guidance or tools should be developed for the purpose of developing and maintaining inventories for consideration and possible adoption by the Conference of the Parties at its twelfth meeting;</p> <p>(d) Continue its dialogue with other multilateral environmental agreement compliance bodies.</p>
2. National legislation Improve implementation of and compliance with paragraph 4 of Article 4 and paragraph 5 of Article 9 of the Convention	<p>(a) Continue the development of strategies to promote full legislative implementation of the Basel Convention among its parties;</p> <p>(b) Consider an expansion of the checklist for the legislator.<sup>23</sup></p>
3. Illegal traffic Prevent and combat illegal traffic	Finalize, including through consultations with the Open-ended Working Group, the development of guidance on the take-back provision for consideration and possible adoption by the Conference of the Parties at its twelfth meeting.
4. Insurance, bond, guarantee Improve the implementation of and compliance with paragraph 11 of Article 6 of the Convention	Compile information on how parties are implementing paragraph 11 of Article 6 of the Convention, including through national legislation, and consider the development of guidance on how to implement this provision for consideration and possible adoption by the twelfth meeting of the Conference of the Parties.

<sup>21</sup> UNEP/CHW.11/10.

<sup>22</sup> Decision BC-10/11, para. 18, that refers to para. 26 of document UNEP/CHW.10/9/Rev.1.

<sup>23</sup> <http://www.basel.int/Implementation/LegalMatters/LegalFramework/Tools/tabid/2750/Default.aspx>.



Objective	Activity
5. Control system Improve the implementation of and compliance with Article 6 of the Convention	(a) Finalize, including through consultations with the Open-ended Working Group, the updating of the guide to the control system for consideration and possible adoption by the Conference of the Parties at its twelfth meeting;  (b) Develop an interactive tool that could take the form of a searchable database in order to make available to all parties the information needed to complete the forms for the notification and movement documents and other relevant associated information.
6. Improve the implementation of and compliance with the Convention	Review and update, including through consultations with the Open-ended Working Group, the manual for the implementation of the Basel Convention in a way to ensure consistency between the manual and the guide to the control system and, as far as possible, to avoid duplication between the two documents, for consideration and possible adoption by the Conference of the Parties at its twelfth meeting.

## 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.
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 in the period between the eleventh and twelfth 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 of the Basel Convention. The resources are intended to fund activities listed in the compliance action plans elaborated by the party concerned in its submission and approved by the Committee.
3. In relation to the amendment of paragraph 9 (c) of the terms of reference, the Committee shall provide to the Conference of the Parties at its twelfth meeting a report on its evaluation of the effectiveness of the amendment mentioned in paragraph 3 of the present decision, including recommendations.
4. The Committee shall also review whether its legal framework programme needs further refining.

### BC-11/9: Membership of the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention

#### *The Conference of the Parties*

*Elects*, in accordance with the terms of reference set out in the appendix to decision VI/12, the following members to serve on the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention:

From the African States: Mr. Abdel Shafei Osman (Egypt)

From the Asian and Pacific States: Ms. Che Asmah Ibrahim (Malaysia)

From the Central and Eastern European States: Mr. Djordje Vukotić (Serbia)

From the Latin American and Caribbean States: Mr. Wilehaldo Cruz (Mexico)

From the Western European and other States: Mr. Mark Govoni (Switzerland)

## BC-11/10: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic

*The Conference of the Parties,*

Recalling decision BC-10/13 and noting that the present decision relates to implementation of section E on combating illegal traffic more effectively and section F on assisting developing countries that are facing specific challenges with regard to prohibiting the import of hazardous wastes of decision BC-10/3 on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention,

1. *Expresses* its appreciation to those parties that have provided funding for the activities of the Secretariat aimed at assisting parties in implementing and enforcing the Convention;
2. *Welcomes* the implementation and enforcement activities undertaken by the Secretariat;<sup>24</sup>
3. *Also welcomes* the active engagement of enforcement organizations and networks in preventing and combating illegal traffic in hazardous wastes and other wastes, and invites those organizations and networks to continue their collaboration with the Secretariat on activities aimed at assisting parties to prevent and combat illegal traffic;
4. *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;
5. *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;
6. *Requests* the Secretariat to continue to maintain a collection of national legislation and other measures adopted by parties to implement the Convention, including measures for preventing and punishing illegal traffic, and to continue to make this collection available on the Convention website;
7. *Also requests* the Secretariat to provide parties, upon request, with legal and policy 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;
8. *Encourages* parties:
  - (a) To improve cooperation and coordination among entities working at the national level to prevent and combat illegal traffic in hazardous wastes and other wastes, including through the development of cooperative agreements between those entities;
  - (b) To train enforcement personnel so as to build their capacity to better prevent, identify and manage cases of illegal traffic in hazardous wastes and other wastes and to provide appropriate incentives and remove possible disincentives for enforcement entities to prevent and combat illegal traffic in hazardous wastes and other wastes;
  - (c) To promote and participate actively in activities undertaken by enforcement organizations and networks such as the World Customs Organization, the International Criminal Police Organization, the Asian Network for Prevention of Illegal Transboundary Movement of Hazardous Wastes, the transfrontier shipments of waste cluster of the European Union Network for the Implementation and Enforcement of Environmental Law, the Regional Enforcement Network Project to Combat Illegal Trade in Harmful Chemicals and Hazardous Waste in Asia, the International Network for Environmental Compliance and Enforcement and the Green Customs Initiative;
  - (d) To raise the awareness of all relevant stakeholders, including those in the shipping industry, and waste generators and disposers about illegal traffic in hazardous wastes and other wastes and about applicable national legal frameworks;

<sup>24</sup> Paragraphs 8–22 of document UNEP/CHW.11/12 and paragraphs 17–27 of document UNEP/CHW.11/3.

9. *Invites* parties to share information, through the Secretariat, on the activities undertaken pursuant to paragraph 8 of the present decision and 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;

10. *Requests* the Secretariat to continue to provide assistance in the identification of cases of illegal traffic to parties upon request and to collect and make available on the Convention website the forms for reporting confirmed cases of illegal traffic that are submitted as well as information and examples of best practices in preventing and combating illegal traffic;

11. *Also requests* the Secretariat to continue to cooperate with enforcement organizations and networks, to promote cooperation between such organizations and networks and to stimulate the formation of enforcement networks in particular with other enforcement organizations or in regions where such networks do not currently exist;

12. *Requests* parties that have not yet provided the Secretariat with any of the information on national definitions, including national lists, of hazardous wastes required under Article 3 and paragraph 2 (b) of Article 13 of the Convention as well as any of the information on import or export restrictions or prohibitions required under paragraphs 1 (a) and (b) of Article 4 and paragraphs 2 (c) and (d) of Article 13 of the Convention to do so as soon as possible and to report any subsequent significant change in that information using the standardized reporting format;

13. *Requests* the Secretariat to continue its proactive approach to the collection and dissemination of information mentioned in the paragraph above, to assist parties in ensuring that the information so notified is up to date, accurate and complete and, within available resources, to make such information available in the six official languages of the United Nations;

14. *Also requests* the Secretariat, subject to availability of funding, to develop tools and organize enforcement training activities, in collaboration with the Basel Convention regional and coordinating centres, the secretariats of other relevant multilateral environmental agreements and other international organizations, agencies or programmes, to assist parties, particularly 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;

15. *Further requests* the Secretariat to report on these matters to the Conference of the Parties at its twelfth meeting.

## BC-11/11: Technical assistance

*The Conference of the Parties,*

*Recalling* decision BC-10/23 and noting that the current decision relates to implementation of section G on building capacity of decision BC-10/3 on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal,

1. *Takes note* of the information provided by the Secretariat on technical assistance for the implementation of the Convention;<sup>25</sup>

2. *Invites* developing-country parties and parties with economies in transition to provide information to the Secretariat on their needs in terms of technical assistance and technology transfer, their difficulties in implementing the Basel Convention, and any other views in this regard;

3. *Also invites* developed-country parties and others with the capacity to do so to continue to provide information to the Secretariat on the technical assistance and technology that they have available to be transferred to developing country parties and parties with economies in transition;

4. *Requests* the Secretariat to develop, within available resources, user-friendly, concise and targeted online questionnaires for the collection of the information referred to in paragraph 2 and 3 above;

5. *Takes note* of the technical assistance programme set out in the note by the Secretariat on the programme for the delivery of technical assistance for the implementation of the Basel Convention<sup>26</sup> and requests the Secretariat to enhance its work to facilitate the delivery of technical

<sup>25</sup> UNEP/CHW.11/15.

<sup>26</sup> UNEP/CHW.11/INF/21.

assistance and the transfer of environmentally sound technologies, taking into account the elements contained in the technical assistance programme;

6. *Requests* the Secretariat:

(a) To prepare and submit a report to the Conference of the Parties at its twelfth meeting on progress made in providing technical assistance and capacity-building and facilitating the transfer of environmentally sound technologies to parties, taking into account the information collected pursuant to paragraphs 2 and 3 above;

(b) To prepare a technical assistance programme for the biennium 2016–2017 based on the information collected pursuant to the above paragraphs and taking into account the synergies process.

## **BC-11/12: Basel Convention regional and coordinating centres**

*The Conference of the Parties,*

*Noting* that the current decision relates to implementation of section D on further strengthening the Basel Convention regional and coordinating centres of decision BC-10/3 on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention,

1. *Takes note of:*

(a) The information provided by the Secretariat on the strengthening of the Basel Convention regional and coordinating centres;

(b) The business plans for the bienniums 2012–2013 and 2014–2015 submitted by the Basel Convention regional and coordinating centres;

(c) The activity reports for the period January 2011–December 2012 submitted by the Basel Convention regional and coordinating centres;

2. *Encourages* any centre that has not yet submitted a business plan to do so as soon as possible;

3. *Requests* the Basel Convention regional and coordinating centres to submit to the Secretariat their activity reports for the period January 2013–December 2014 by 31 December 2014 for consideration by the Conference of the Parties to the Basel Convention at its twelfth meeting;

4. *Also requests* the Basel Convention regional and coordinating centres to submit business plans for the biennium 2016–2017 by 30 September 2015:

5. *Encourages* the Basel Convention regional and coordinating centres to continue to strive to mobilize financial resources for the implementation of their capacity-building activities with the aim of assisting parties in the implementation of their obligations under the Convention;

6. *Requests* the Secretariat:

(a) To continue to provide guidance on effective governance and administrative arrangements for the centres and further strengthen their independent operation, subject to the availability of resources;

(b) To continue to facilitate capacity-building activities and pilot projects conducted by the centres, subject to the availability of resources;

(c) To increase efforts to facilitate financial resource mobilization by the centres, including by linking the centres in their implementation of capacity-building activities and pilot projects with the Global Environment Facility, the World Bank, the regional development banks and bilateral donors;

(d) To foster a coordinated approach in its relations with the regional centres of the Basel and Stockholm conventions, while recognizing the specificities of the centres of each convention;

7. *Urges* parties and signatories, especially donor countries, and invites other stakeholders in a position to do so and, where appropriate, multilateral donors, to provide adequate, sustainable and predictable financial and technical support directly to the centres in their implementation of capacity-building activities and pilot projects to enable the centres to assist parties to implement their obligations under the Convention ;

8. *Requests* the Secretariat to report on the implementation of the present decision to the Conference of the Parties at its twelfth meeting.

## **BC-11/13: Process for evaluating the performance and sustainability of the Basel Convention regional and coordinating centres**

### *The Conference of the Parties*

1. *Takes note* of the situation of the Basel Convention regional and coordinating centres and all the differences between Basel Convention regional and coordinating centres and Stockholm Convention regional and subregional centres;
2. *Adopts* the interim criteria for evaluation of the performance of Basel Convention regional and coordinating centres as set forth in annex I to the present decision;
3. *Also adopts* the interim methodology for evaluating the performance of Basel Convention regional and coordinating centres based on the interim criteria referred to in paragraph 2 above as set forth in annex II to the present decision;
4. *Decides* to evaluate, in accordance with the interim criteria and the interim methodology referred to in paragraphs 2 and 3 above, respectively, the performance and sustainability of Basel Convention regional and coordinating centres at its twelfth meeting and every four years thereafter;
5. *Also decides* to add to the interim methodology a section on the evidence and information provided by the users of the Basel Convention regional and coordinating centres on the following: services received, challenges experienced, gaps identified, priorities identified and recommendations to facilitate further strengthening and continuous improvement of the centres;
6. *Further decides* that the interim criteria for evaluation and interim methodology for evaluating the performance of the Basel Convention regional and coordinating centres may be revised, if deemed necessary, for adoption by the Conference of the Parties at its twelfth meeting;
7. *Requests* the Secretariat to report on the implementation of the present decision to the Conference of the Parties at its twelfth meeting.

### **Annex I to decision BC-11/13**

#### **Interim criteria for evaluating the performance of Basel Convention regional and coordinating centres**

The following criteria shall be used in evaluating the performance of Basel Convention regional and coordinating centres. A successful centre:

- (a) Demonstrates the capacity to identify, document and implement actions and practices aimed at assisting parties in the implementation of their obligations under the Convention;
- (b) Achieves concrete and/or measurable results in terms of capacity-building in its technical assistance and technology transfer activities;
- (c) Identifies, undertakes and serves to advance cooperation, collaboration and synergies in efforts to assist parties in meeting Convention obligations;
- (d) Identifies additional financial resources and other donors to fund activities to assist parties in meeting Convention obligations;
- (e) Manages and conducts all activities:
  - (i) Efficiently;
  - (ii) Effectively;
  - (iii) Transparently;
- (f) Demonstrates the capacity to meet the various language requirements of the region or subregion and conduct business in English as required.

## Annex II to decision BC-11/13

## Interim methodology for evaluating the performance and sustainability of Basel Convention regional and coordinating centres

Table 1: Interim methodology for evaluating the performance and sustainability of Basel Convention regional and coordinating centres based on the interim criteria for evaluating the performance of the regional and coordinating centres<sup>27</sup>

<i>Criteria</i> <sup>28</sup>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments</i> <sup>29</sup>	<i>Total score (maximum possible score 33)</i>
(a) The centre demonstrates the capacity to identify, document and implement project activities aimed at assisting parties in the implementation of their obligations under the Basel Convention.	Based on factual evidence, the evaluator should seek examples that demonstrate that the centre has the capacity to: (a) Identify; (b) Document; (c) Implement; projects/activities.	Number of examples for which the centre has identified, documented and implemented project activities: 0: No example found in any of the three areas; 1: At least one example observed in one of the three areas; 2: At least one example in two of the three areas; 4: At least one example in all three areas.	– Activity reports for relevant years – Business plans for relevant years – Other relevant information sources (e.g., feedback from parties)		(Maximum possible score: 4)
(b) Achieves concrete and/or measurable results in terms of capacity-building in its technical assistance and technology transfer activities.	Based on factual evidence, the evaluator should look into the number of completed capacity-building activities or projects relevant to the implementation of the Convention undertaken by the centre and the number of parties that benefited from such activities or projects.	Number of capacity-building activities implemented by the centre: 0: No proven example; 1: 1–5 examples; 2: 6–10 examples; 4: 11–15 examples; 8: 16 or more examples.  Number of parties that benefited from these activities: 1: Up to 5 parties; 2: More than 5 parties.	– Activity reports for relevant years		(Maximum possible score: 10)
(c) Identifies, undertakes and promotes cooperation, collaboration and synergies in efforts to assist parties in meeting Convention obligations.	Based on factual evidence, the evaluator should seek proven examples of coordination and collaboration with other relevant partners (such as other regional centres, the Secretariat, UNEP, FAO and other United Nations entities) to assist parties in meeting Convention obligations.	Number of coordination and collaborative activities undertaken by the centre with other relevant partners: 0: No proven example; 1: At least one example; 2: More than one example.	– Activity reports for relevant years – Other information provided by parties or observers		(Maximum possible score: 2)

<sup>27</sup> See annex I above on interim criteria for the evaluation of the performance of the Basel Convention regional and coordinating centres.<sup>28</sup> Ibid.<sup>29</sup> Lists references of the sources and the information and data collected that provide evidence for the score given.

<i>Criteria</i> <sup>28</sup>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments</i> <sup>29</sup>	<i>Total score (maximum possible score 33)</i>
(d) Identifies additional financial resources and other donors to fund activities to assist parties in meeting Convention obligations.	Based on factual evidence, the evaluator should look into the number of examples of donors or funds mobilized to implement the centre's activities or what proportion of the business plan has been implemented.  (Funding for the day-to-day operation of the centre shall not be counted).	Number of donors or funding sources mobilized or percentage of the business plan implemented:  0: No example of additional donors or funding mobilized to implement any of the activities of the business plan;  1: One or two examples of additional donors or funding sources mobilized to implement activities or up to 25 per cent of the business plan implemented;  2: Three or four examples of additional donors or funding sources mobilized to implement activities or up to 50 per cent of the business plan implemented;  4: Five to seven examples of additional donors or funding sources mobilized to implement activities or up to 75 per cent of the business plan implemented;  8: Eight or more examples of additional donors or funding sources mobilized to implement activities or more than 75 per cent of the business plan implemented.	– Activity reports for relevant years  – Business plan for relevant years		(Maximum possible score: 8)
(e) Manages and conducts all activities efficiently, effectively and transparently.	Based on factual evidence, the evaluator should seek proven examples that demonstrate that the centre conducts its activities:  (a) Efficiently; (b) Effectively; (c) Transparently; and has submitted the required business plans and activity reports within the given deadlines.	Number of examples for which the centre has conducted its activities (a) Efficiently; (b) Effectively; (c) Transparently:  0: No example found in any of the three areas;  1: At least one example observed in one of the three areas;  2: At least one example observed in two of the three areas;  4: At least one example observed in each of the three areas.  Number of business plans or activity reports submitted within the	– Activity reports for relevant years  – Business plans for relevant years  – Other relevant information sources (e.g., feedback from parties or information available on the website of the centre)		(Maximum possible score: 8)

<i>Criteria</i> <sup>28</sup>	<i>Instructions</i>	<i>Indicators and rankings</i>	<i>Sources of information</i>	<i>Evaluator's summary comments</i> <sup>29</sup>	<i>Total score (maximum possible score 33)</i>
		<p>deadline:</p> <p>0: None of the business plans and activity reports submitted within the given deadlines;</p> <p>1: Up to two out of four documents (business plans and activity reports) submitted within the given deadlines;</p> <p>2: Three out of four documents submitted within the given deadlines;</p> <p>4: All four documents submitted within the given deadlines.</p>			
(f) Demonstrates the capacity to meet the various language requirements of the region or subregion and conduct business in English as required.	Based on factual evidence, the evaluator should seek proven examples which demonstrate that the centre does have such capacity.	<p>Number of examples showing that the centre meets the language requirements of the region:</p> <p>0: No example;</p> <p>1: One or more examples showing that such capacity exists.</p>	<p>– Activity reports for relevant years</p> <p>– Other relevant information sources (e.g., feedback from parties)</p>		(Maximum possible score: 1)
<b>Total scores</b>					

## Summary of performance evaluation

The performance evaluation exercise can be summarized as follows:

### Summary of points scored against evaluation criteria for the centre being evaluated

Total score (TS) (maximum possible: 33)	Assessment percentage TS x 100/33	<b>Grading</b> <ul style="list-style-type: none"> <li>○ Excellent (&gt;90%)</li> <li>○ Good (75–89%)</li> <li>○ Acceptable (60–74%)</li> <li>○ Unsatisfactory (&lt;60%)</li> </ul>



**Table 2: Status of the core set of elements for inclusion in the framework agreement to be signed between the Secretariat of the Basel Convention (on behalf of the Conference of the Parties) and the representatives of the Governments of the host countries, as adopted by the Conference of the Parties in decision VI/3**

<i>Core set of elements</i>	<i>Status at the time of concluding the relevant framework agreement</i>	<i>Status at the time of the evaluation</i>
(a) Identification of the parties entering into the agreement		
(b) Overall purpose for entering into the agreement		
(c) Legislative authority on which the agreement is based		
(d) Official name and address of the regional centre		
(e) Legal status of the centre (for example, separate national legal entity with a regional role or intergovernmental institution and authority under which the centre was established and operates)		
(f) Countries consenting to be served by the centre		
(g) Management/governance arrangements (for example, national committee/body to mobilize and coordinate the national inputs into the centre; steering committee attended by the representatives of the countries served by the centre to determine the business plan of the Centre and oversee the plan's implementation, terms of reference of these bodies; rules and procedures governing the meetings organized by the centre)		
(h) The possible involvement of donors in respect of financial and technical assistance to support the centre		
(i) Effective cooperation and coordination with the Secretariat of the Basel Convention and among the regional centres		
(j) Reporting channels		
(k) Contributions of host countries in kind, cash and services towards the operation of the centre and, if possible, contributions of the countries served by the centre		
(l) Contributions from the Technical Cooperation Trust Fund to assist developing countries and other countries in need of technical assistance in the implementation of the Basel Convention and other voluntary contributions towards the financing of the core functions of the centre and operational and other associated costs related to the core functions of the centre		
(m) Matching funds (contributions in cash, kind or services) to be raised by the centre		
(n) Working language(s) of the centre		
(o) Exemption by the host country from taxation and other levies on the resources (including equipment) provided from the funds under the control of the contracting parties according to its national legislation, whenever possible		
(p) In the case of an intergovernmental institution, the terms and conditions of the 1946 Convention on the Privileges and Immunities of the United Nations shall apply as appropriate		
(q) Reporting on substantive activities undertaken by the centre and financial reporting on the funds raised by the centre and the expenditures of the centre to the Secretariat of the Basel Convention		
(r) Arrangements to settle any disputes between the signatories to the agreement		
(s) Duration of the agreement		
(t) Provisions for the periodic external review, extension, termination or amendment of the agreement		
(u) A business plan for the regional centre, approved by the countries served by the centre, shall be prepared before the signature of the framework agreement		
<b>Observations</b>		

## **BC-11/14: Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention**

### *The Conference of the Parties*

1. *Takes note* of the report on the emergency mechanism established in accordance with decision V/32;<sup>30</sup>
2. *Decides* to amend the section entitled “Procedure” of chapter IV of part 1 of the Interim Guidelines for the Implementation of Decision V/32 on Enlargement of the Scope of the Technical Cooperation Trust Fund<sup>31</sup> to read as follows:

#### **Procedure:**

- (i) Requests submitted to the Secretariat are dealt with promptly. On the basis of the present Interim Guidelines, the Executive Secretary, in consultation with the Bureau of the Conference of the Parties, using a quick procedure, may provide assistance to a Party to the Convention from the Technical Cooperation Trust Fund.
  - (ii) The Executive Secretary will also consult with contributors, especially in cases where contributions to the Trust Fund are earmarked with conditions.
  - (iii) Upon receiving a request for emergency assistance, the Secretariat shall consult with experts, through the national focal point, in order to clarify the urgency, the imminence of the threat or the type of measures necessary to be taken for that specific incident.
  - (iv) All decisions taken should be reported to the Bureau, Working Groups and to the next meeting of the Conference of the Parties.
3. *Requests* the Secretariat to reflect the amendment adopted in the preceding paragraph in the text of the Interim Guidelines and to make the amended version of the guidelines publicly available;
  4. *Considers* nevertheless that further changes will be required to provide developing countries with effective rapid access to expertise following emergencies and, to that end, requests the Secretariat to make proposals to the Conference of the Parties at its twelfth meeting on strengthening cooperation with the Office for the Coordination of Humanitarian Affairs, the United Nations Environment Programme and other relevant organizations mentioned in the report and, if necessary, redefining the division of labour with them;
  5. *Requests* the Secretariat to reconsider, in accordance with the report, its role in capacity-building activities relevant to the prevention of incidents and enhancing the preparedness of countries to deal with emergencies caused by transboundary movements of hazardous wastes and other wastes and their disposal, and if necessary make proposals to the Conference of the Parties at its twelfth meeting for amendments to part 3 of the Interim Guidelines;
  6. *Also requests* the Secretariat to continue its cooperation and collaboration with the Joint United Nations Environment Programme/Office for the Coordination of Humanitarian Affairs Environment Unit and to consider whether any changes in the letter of agreement between the Secretariat and the Joint Environment Unit are needed as a result of the report;
  7. *Invites* the Basel Convention regional centres to carry out prevention and preparedness capacity-building activities with relevant partners, such as the Joint United Nations Environment Programme/Office for the Coordination of Humanitarian Affairs Environment Unit;

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<sup>30</sup> UNEP/CHW.11/INF/20.

<sup>31</sup> UNEP/CHW.6/40, decision VI/14, appendix.

8. *Requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on the implementation of the present decision.

## **BC-11/15: Partnership for Action on Computing Equipment**

### *The Conference of the Parties*

1. *Takes note* of the progress made in the implementation of the Partnership for Action on Computing Equipment, and welcomes the report submitted by the co-chairs of the Partnership Working Group;<sup>32</sup>
2. *Expresses appreciation* for the financial and in-kind contributions made to the Partnership by parties, signatories, industry, non-governmental organizations and other stakeholders;
3. *Adopts*, without prejudice to national legislation, sections 1, 2, 4 and 5 of the guidance document on environmentally sound management of used and end-of-life computing equipment and takes note of the recommendations set forth therein;<sup>33</sup>
4. *Confirms* that section 3 of the guidance document on the environmentally sound management of used and end-of-life computing equipment may be revised following the adoption of the technical guidelines on transboundary movements of electronic and electrical waste (e-waste), in particular regarding the distinction between waste and non-waste, in order to avoid duplications and discrepancies;
5. *Agrees* to extend the mandate of the Partnership for Action on Computing Equipment until the end of 2015 to complete the work programme for 2014–2015 as set out in the annex to the present decision;
6. *Requests* the Partnership to undertake the tasks set out in its work programme for 2014–2015 and to report thereon, including possible recommendations, to the Open-ended Working Group at its ninth meeting;
7. *Requests* the Open-ended Working Group to consider, at its ninth meeting, the report of the Partnership, including its recommendations, and based on these and the outcome of its discussions thereon to submit recommendations to the Conference of the Parties at its twelfth meeting for its consideration and possible adoption;
8. *Requests* the Basel Convention regional and coordinating centres to disseminate the guidance document and guidelines approved by the Partnership and to continue to hold training and outreach workshops, subject to the availability of funding;
9. *Invites* the Basel Convention regional and coordinating centres to participate in the implementation of pilot projects on the collection and management of used computing equipment by informal sectors in developing countries and countries with economies in transition, subject to the availability of funding;
10. *Invites* additional parties and other stakeholders, including manufacturers, recyclers, refurbishers, academic institutions and non-governmental organizations, in particular from developing countries and countries with economies in transition, to participate in the activities of the Partnership Working Group;
11. *Encourages* parties and other stakeholders to make financial or in-kind contributions or both:
  - (a) To facilitate the participation of developing countries and countries with economies in transition in the Partnership;
  - (b) To facilitate the implementation of pilot projects on the collection and management of end-of-life computing equipment from informal sectors in developing countries and countries with economies in transition;
  - (c) To facilitate the identification of actions and incentives that can be taken to promote the environmentally sound reuse, refurbishment, repair, recycling and material recovery of used and end-of-life computing equipment;

<sup>32</sup> UNEP/CHW.11/INF/11.

<sup>33</sup> UNEP/CHW.11/6/Add.1/Rev.1

12. *Requests* the Secretariat:

- (a) To continue to facilitate and provide expertise to the Partnership;
- (b) To report on progress in the activities undertaken by the Partnership to the Open-ended Working Group at its ninth meeting and to the Conference of the Parties at its twelfth meeting.

### **Annex to decision BC-11/15**

#### **Partnership work programme for 2014–2015**

The following tasks are to be undertaken by the Partnership Working Group:

- (a) Continue to hold training workshops on technical guidelines in the regions;
- (b) Continue pilot projects on the collection and management of used and end-of-life computing equipment by informal sectors in developing countries and countries with economies in transition;
- (c) Continue to develop plans for the financial sustainability of pilot projects and resource mobilization for future projects;
- (d) Develop strategies on the environmentally sound management of used and end-of-life computing equipment;
- (e) Enhance awareness-raising and training on the environmentally sound management of used and end-of-life computing equipment;
- (f) Develop approaches to improve and encourage, as appropriate, timely transboundary movements of end-of-life computing equipment for recycling and material recovery;
- (g) Continue to identify actions and incentives that can be taken to promote environmentally sound reuse, refurbishment, repair, recycling and material recovery of used and end-of-life computing equipment through the implementation of the Partnership guidelines and existing certification schemes;
- (h) Continue to assess the possibility of using facility certification as a tool for assuring the environmentally sound management of used and end-of-life computing equipment

### **BC-11/16: Environmentally sound dismantling of ships**

#### *The Conference of the Parties*

- 1. *Underlines* the importance of continued inter-agency cooperation between the International Labour Organization, the International Maritime Organization and the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal on issues related to ship dismantling;
- 2. *Welcomes* the development of implementation programmes relating to sustainable ship recycling;
- 3. *Calls upon* all parties and other stakeholders in a position to do so to make financial or in-kind contributions to the implementation of activities under the relevant programmes relating to sustainable ship recycling;
- 4. *Requests* the Secretariat:
  - (a) To continue, subject to the availability of funding, its work and to develop further the programmes for sustainable ship recycling in conjunction with other bodies, in particular the International Maritime Organization and the International Labour Organization, and to report thereon to the Open-ended Working Group at its ninth meeting and to the Conference of the Parties at its twelfth meeting;
  - (b) To continue to follow developments in relation to the Hong Kong Convention and to report thereon to the Open-ended Working Group at its ninth meeting and to the Conference of the Parties at its twelfth meeting;
  - (c) To transmit the present decision to the International Maritime Organization for consideration by the Marine Environment Protection Committee at its sixty-sixth session.

## BC-11/17: Cooperation between the Basel Convention and the International Maritime Organization

### *The Conference of the Parties*

1. *Welcomes* the information contained in the note by the Secretariat on cooperation between the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the International Maritime Organization;<sup>34</sup>
2. *Expresses* its appreciation to the secretariat of the International Maritime Organization for its cooperation with the Secretariat, including in the framework of the development of the successive iterations of the legal analysis on the application of the Basel Convention to hazardous and other wastes generated on board ships;
3. *Takes note* of the revised legal analysis of the application of the Basel Convention to hazardous wastes and other wastes generated on board ships and *takes note* of the conclusions therein;<sup>35</sup>
4. *Requests* the Secretariat:
  - (a) To keep the International Maritime Organization informed of any developments on the subject of the present decision arising in the context of the Basel Convention and to monitor any consideration by the Marine Environment Protection Committee and Maritime Safety Committee of the International Maritime Organization of issues of relevance to the Basel Convention;
  - (b) To continue, as appropriate, to cooperate with the International Maritime Organization to improve the effectiveness of the Basel Convention in these matters;
  - (c) To continue, as appropriate, its cooperation with the International Organization for Standardization;
5. *Reiterates* the invitation to parties contained in decision BC-10/16 to undertake an assessment on how far the current Basel Convention technical guidelines cover wastes covered by the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto and as further amended by the Protocol of 1997, or to provide funds to enable the Secretariat to undertake such an assessment, in close consultation with the International Maritime Organization;
6. *Also reiterates* the request to the Secretariat contained in decision BC-10/16 in respect of the development of a guidance manual, in cooperation with the International Maritime Organization, on how to improve the sea-land interface to ensure that wastes falling within the scope of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto and as further amended by the Protocol of 1997, once offloaded from a ship, are managed in an environmentally sound manner, subject to the availability of resources;
7. *Requests* the Secretariat to report on the implementation of the present decision to the Conference of the Parties at its twelfth meeting.

## BC-11/18: Implementation of the relevant decisions of the Conference of the Parties on resource mobilization and sustainable financing

### *The Conference of the Parties*

1. *Welcomes* the activities undertaken and progress made by the Secretariat, the Basel Convention regional and coordinating centres and parties in mobilizing resources and sustainable financing for the implementation of the Convention, and in coordinating resource mobilization activities under other relevant multilateral environmental agreements;
2. *Also welcomes* the financial support provided by donors to date to assist parties in implementing the Convention;

<sup>34</sup> UNEP/CHW.11/17.

<sup>35</sup> UNEP/CHW.11/INF/22.

3. *Takes note* of the outcome of the consultative process on financing options for chemicals and wastes;<sup>36</sup>

4. *Requests* the Secretariat:

(a) To continue its efforts to build the capacity of the Basel Convention regional and coordinating centres to mobilize resources in their regions and to facilitate discussions with project partners and donors with the aim of developing projects to be implemented at the national or regional levels;

(b) To facilitate discussions with the Global Environment Facility and the participating organizations of the Inter-Organization Programme for the Sound Management of Chemicals in order to ensure that provisions relevant to the Basel Convention are taken into account in the development of technical assistance projects and activities in follow-up to decision VIII/34;

(c) To strengthen cooperation with other relevant international and regional organizations and donors with the aim of developing projects to be implemented at the regional or country level;

(d) To explore further joint activities to mobilize resources for 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;

(e) To report to the Conference of the Parties at its twelfth meeting on progress made in mobilizing resources for the implementation of the Basel Convention.

## **BC-11/19: Operations and work programme of the Open-ended Working Group for 2014–2015**

### *The Conference of the Parties*

1. *Adopts* the work programme of the Open-ended Working Group for 2014–2015 set out in the annex to the present decision;

2. *Decides* that the ninth meeting of the Open-ended Working Group will be of four days' duration, with two days of interpretation to be applied flexibly by the Executive Secretary;

3. *Requests* parties and others to submit to the Secretariat comments on possible options for future institutional arrangements taking into account proposals outlined in the note by the Secretariat on options for operations of the Open-ended Working Group,<sup>37</sup> by 31 October 2013;

4. *Requests* the Secretariat to prepare, subject to the availability of funding, a document analysing possible options for future institutional arrangements including their financial implications, taking into account the submissions made by parties and others, for consideration by the Open-ended Working Group at its ninth meeting;

5. *Requests* the Open-ended Working Group to submit a report including recommendations on possible options for future institutional arrangements, including draft terms of reference as appropriate, to the Conference of the Parties for consideration at its twelfth meeting.

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<sup>36</sup> UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/14.

<sup>37</sup> UNEP/CHW.11/20/Add.1.

## Annex to decision BC-11/19

## Work programme of the Open-ended Working Group for 2014–2015

<i>Topics</i>	<i>Activities</i>	<i>Mandate<sup>38</sup></i>	<i>Priority</i>
<b>I. Strategic issues</b>			
A. Strategic framework	Consider the baseline report submitted by the Secretariat	BC-11/2	High
B. Cartagena Declaration on the Prevention, Minimization and Recovery of Hazardous Wastes and Other Wastes	Prepare a road map for action and review the progress that parties have made in the implementation of the Cartagena Declaration	Annex IV to the report of the tenth meeting of the Conference of the Parties Paragraph 109 of the report of the eighth meeting of the Open-ended Working Group	High
C. Developing guidelines for environmentally sound management	Consider the report on activities and work programme of the expert working group on the framework for the environmentally sound management of hazardous wastes and other wastes	BC-11/1	High
D. Options for operations of the Open-ended Working Group	Consider the document prepared by the Secretariat analysing possible options for future institutional arrangements including their financial implications and prepare a report including recommendations on possible options for future institutional arrangements, including draft terms of reference as appropriate, for submission to the twelfth meeting of the Conference of the Parties	BC-11/19	High
<b>II. Scientific and technical matters</b>			
<b>A. Technical guidelines</b>	<p>1. (a) Update the general technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants and prepare or update specific technical guidelines with regard to the chemicals listed in Annexes A, B and C to the Stockholm Convention by decisions SC-4/10–SC-4/18, SC-5/3 and SC-6/13 of the Conference of the Parties to the Stockholm Convention, including the following:</p> <ul style="list-style-type: none"> <li>• 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 of the Stockholm Convention;</li> <li>• Determination of which disposal methods constitute environmentally sound disposal as referred to in paragraph 1 (d) (ii) of Article 6 of the Stockholm Convention;</li> <li>• Establishment, as appropriate, of the concentration levels of the chemicals in order to define for them low persistent organic</li> </ul>	BC-11/3	High

<sup>38</sup> Where applicable, the relevant decisions of the Conference of the Parties will be added at the eleventh meeting of the Conference.

<i>Topics</i>	<i>Activities</i>	<i>Mandate</i> <sup>38</sup>	<i>Priority</i>
	<p>pollutant content as referred to in paragraph 1(d) (ii) of Article 6 of the Stockholm Convention.</p> <p>1. (b) Review waste-related aspects of the draft guidance document for the inventory of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention (2012), the draft guidance for the inventory of polybrominated diphenyl ethers (PBDEs) listed under the Stockholm Convention (2012), the draft guidance on best available techniques and best environmental practices for the use of PFOS and related chemicals listed under the Stockholm Convention (2012) and the draft guidance on the best available techniques and best environmental practices for the recycling and waste disposal of articles containing PBDEs, listed under the Stockholm Convention (2012)</p>		
	2. Update the technical guidelines for the environmentally sound management of wastes consisting of elemental mercury and wastes containing or contaminated with mercury	BC-11/5	High
	3. Further develop the technical guidelines on transboundary movements of electronic and electrical waste and used electrical and electronic equipment, in particular regarding the distinction between waste and non-waste under the Basel Convention	BC-11/4	High
B. National reporting	Review and revise the draft reporting format submitted by the small intersessional working group on national reporting	BC-11/7	High
C. Amendments to the annexes to the Basel Convention	1. Consider and review any applications for changes and any corrections to the list of wastes in Annexes VIII and IX to the Convention	VIII/15	High
	2. Consider the amendment of the entries in Annex VIII to the Basel Convention for polychlorinated dibenzo-furans and polychlorinated dibenzo-dioxins (entry A4110), DDT and other relevant persistent organic pollutants to include concentration levels for those chemicals, after the development of an appropriate framework for establishing de minimis concentrations	BC-11/3	Medium
	3. Consider the draft entry B3025 (composite packaging waste)	BC-11/6	High
D. Classification and hazard characterization of wastes	Provide guidance on the identification of wastes in the World Customs Organization Harmonized Commodity Description and Coding System and related matters	BC-10/10	Medium



<i>Topics</i>	<i>Activities</i>	<i>Mandate<sup>38</sup></i>	<i>Priority</i>
<b>III. Legal, governance and enforcement matters</b>			
A. Consultation with the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Convention	Consult with the Committee on the following activities of the Committee's 2014–2015 work programme: (a) Developing guidance on the development of inventories (b) Developing guidance on the take-back provision (c) Updating the guide to the control system (d) Reviewing and updating the manual for the implementation of the Basel Convention to ensure consistency between the manual and the guide to the control system and, as far as possible, to avoid duplication between the two documents	BC-11/8	High
B. Providing further legal clarity (CLI)	1. Finalize the glossary of terms and related explanations and prepare a draft decision, including on paragraph 16 (c) and 17 of decision BC-11/1, for consideration and possible adoption by the Conference of the Parties at its twelfth meeting  2. Consider the report of the small intersessional working group on options for further steps towards the consistent interpretation of terminology, including possible voluntary and legally binding options	BC-11/1	High
<b>IV. International cooperation and coordination</b>			
A. Basel Convention Partnership Programme	Consider the report of the Partnership for Action on Computing Equipment, including its recommendations, and based on these and the outcome of discussions to submit recommendations to the Conference of the Parties at its twelfth meeting for its consideration and possible adoption	BC-11/15	High
B. Environmentally sound dismantling of ships	Consider the report of the Secretariat on the programmes for sustainable ship recycling and on developments in relation to the Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships	BC-11/16	Medium
C. Other international cooperation and coordination	Provide guidance, as appropriate, to the Secretariat on means of enhancing cooperation and coordination with international and regional organizations and multilateral environmental agreements in areas of relevance to the Convention	BC-10/15	Medium
<b>V. Programme of work and budget</b>			
A. Financing and budget for the biennium 2014-2015	Consider the reports by the Secretariat on all sources of income received, including the reserve and fund balances and interest, together with actual, provisional and projected expenditures and commitments, and by the Executive Secretary on all expenditures against the agreed budget lines	BC-11/26	Medium

## **BC-11/20: Venue and date 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 convene in 2015 back-to-back ordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions (without a high-level segment or simultaneous extraordinary meetings) in Geneva that include joint sessions, where appropriate, on joint issues and that prioritize an agenda and schedule that focus on substantive matters related to implementation of the conventions and provide sufficient time for their consideration;
2. *Requests* the Executive Secretary, in order to assist parties with the challenges and opportunities that such back-to-back meetings present, to support, within available resources, regional meetings to assist regional preparatory processes, coordinated with other regional meetings.

## **BC-11/21: Official communications**

### *The Conference of the Parties*

1. *Adopts* the revised harmonized form for notification of contacts, as set out in the annex to the present decision;
2. *Urges* parties to designate focal points and competent authorities, if they have not already done so, using the revised form, and to confirm and provide the Secretariat with updated contact details for existing focal points and competent authorities;
3. *Invites* States not party to the Convention to designate focal points and competent authorities, if they have not already done so, using the revised form;
4. *Requests* the Secretariat to maintain and update, as necessary, the list of focal points and competent authorities, and to continue to make the list publicly available on the Basel Convention website.

## Annex to decision BC-11/21

## Revised form for notification of designation of contact(s)


**Basel, Rotterdam and Stockholm Conventions**


BASEL CONVENTION ROTTERDAM CONVENTION STOCKHOLM CONVENTION

**FORM FOR NOTIFICATION OF DESIGNATION OF CONTACT(S)\***
**STATE/ORGANIZATION:**
**Nomination of\*:**

- ☐ Basel Convention Focal Point  
☐ Basel Convention Competent Authority/Authorities  
☐ Rotterdam Convention Official Contact Point  
☐ Rotterdam Convention Designated National Authority /Authorities\*\*

(if relevant to your country, please provide further information on the scope of the DNA's mandate/responsibilities .....)

- ☐ Stockholm Convention Official Contact Point      ☐ Stockholm Convention National Focal Point

\* In the case of notification of multiple contacts, please use one sheet per contact point or include a list as an attachment to this form. See back page for the roles and responsibilities of each type of contact.

\*\*Parties may designate one or more DNAs in accordance with Article 4 of the Convention and with different responsibilities (e.g. pesticides, industrial chemicals)

**Kindly note that self-nominations will not be considered.**

**This form should be completed by an entity duly authorized to communicate such information to the Secretariat (such as a permanent mission to the United Nations or a ministry of foreign affairs). The information transmitted shall be included in the official records of the Secretariat as the officially designated country contact(s) for the Basel, Rotterdam and/or Stockholm Conventions.**

<b>Institution/department</b>	
<b>Address</b> <i>Street, number</i> <i>Postal code</i> <i>City</i> <i>Province</i> <i>Country</i>	
<b>Telephone number</b> <i>Country code – city code – local number</i>	
<b>Fax number</b> <i>Country code - city code - local number</i>	
<b>E-mail address</b>	
<b>Name of contact person</b> <i>Title – first name – surname</i>	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. 
<b>Position of contact person</b>	

**Please tick as appropriate**

- ☐ The above notification is a first-time nomination by the State/organization concerned
- ☐ The above notification is in addition to the previous nomination by the State/organization concerned
- ☐ The above notification is in replacement of the previous nomination by the State/organization concerned

**THIS NOTIFICATION HAS BEEN SUBMITTED BY**

<b>Name</b> _____	_____
<b>Institution/department</b> _____	_____
<b>Address</b> <i>Street, number</i> <i>Postal code</i> <i>City</i> <i>Province</i> <i>Country</i> _____	_____
<b>Telephone number</b> <i>Country code – city code – local number</i> _____	_____
<b>Fax number</b> <i>Country code – city code – local number</i> _____	_____
<b>E-mail address</b> _____	_____
<b>Date and signature</b> _____	_____

**PLEASE RETURN COMPLETED FORM TO:**

Secretariat of the Basel, Rotterdam and Stockholm Conventions

11–13, Chemin des Anémones

CH–1219 Châtelaine

Geneva

Switzerland

Fax: (+41) 22 917 80 98

E-mail: [contacts@brsmeas.org](mailto:contacts@brsmeas.org)

The Secretariat will acknowledge receipt of the information transmitted and make it publicly available on the website of the appropriate convention(s).

## **Contacts under the Basel, Rotterdam and Stockholm conventions: roles and responsibilities**

### **(i) Basel Convention focal point (Articles 2 and 5)**

“Focal point” means the entity of a party referred to in Article 5 of the Basel Convention responsible for receiving and submitting information as provided for in Articles 13 and 16.

To facilitate the implementation of the Convention, the parties shall:

1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

### **(ii) Basel Convention competent authority/authorities (Articles 2 and 5)**

“Competent authority” means one governmental authority designated by a party to be responsible, within such geographical areas as the party may think fit, for receiving the notification of a transboundary movement of hazardous wastes or other wastes, and any information related to it, and for responding to such notification as provided in Article 6.

To facilitate the implementation of the Convention, the parties shall:

1. Designate or establish one or more competent authorities and one focal point. One competent authority shall be designated to receive the notification in case of a State of transit.
2. Inform the Secretariat, within three months of the date of the entry into force of this Convention for them, which agencies they have designated as their focal point and their competent authorities.
3. Inform the Secretariat, within one month of the date of the decision, of any changes regarding the designation made by them under paragraph 2 above.

### **(iii) Rotterdam Convention designated national authority/authorities (Article 4)**

Each party shall designate one or more national authorities that shall be authorized to act on its behalf in the performance of the administrative functions required by the Rotterdam Convention.

Each party shall, no later than the date of the entry into force of the Convention for it, notify the name and address of such authority or authorities to the Secretariat. It shall notify the Secretariat of any changes in the name and address of such authority or authorities.

### **(iv) Rotterdam Convention official contact point**

The Secretariat communicates with an official contact point of a party on such official issues as notices regarding participation in meetings of the Conference of the Parties, circulation of the reports of such meetings, proposals for the addition of chemicals to Annex III of the Convention and for inclusion in the PIC procedure, and the nominations of experts to such subsidiary bodies as the Chemical Review Committee.

### **(v) Stockholm Convention official contact point (decision SC-2/16 of the Conference of the Parties)**

Parties and non-party States are invited to nominate to the Secretariat an official contact point for the performance of administrative functions and all formal communications under the Convention.

### **(vi) Stockholm Convention national focal point (Article 9)**

Each party shall designate a national focal point for the exchange of information as specified under Article 9 of the Convention. Non-party States may also designate such national focal points.

## BC-11/22: Admission of observers

### *The Conference of the Parties*

1. *Approves* the application form for admission as an observer at meetings of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal set out in the annex to the present decision;
2. *Invites* any body or agency wishing to be represented as an observer at the meetings of the Conference of the Parties to the Basel Convention, or, as appropriate, its subsidiary bodies, to submit to the Secretariat the information required in accordance with the form set out in the annex to the present decision for consideration by the Conference of the Parties at its next ordinary meeting;
3. *Requests* the Secretariat to maintain a list of national and international, governmental and non-governmental bodies and agencies represented as observers at meetings of the Conference of the Parties for the purpose of inviting observers to those meetings and for official communications with observers during the periods between meetings of the Conference of the Parties and its subsidiary bodies;
4. *Also requests* the Secretariat, within the context of its work to maintain the list referred to in paragraph 3 above, to continue to confirm that the bodies or agencies making requests for admission as observers meet the relevant criteria in accordance with the Convention and the rules of procedure;
5. *Further requests* the Secretariat to report to the Conference of the Parties at its twelfth meeting on experiences with using the form referred to in paragraph 1 above and the practices followed regarding the admission of observers to meetings of the bodies of the Basel, Rotterdam and Stockholm conventions;
6. *Agrees* that the list referred to in paragraph 3 above shall include those bodies or agencies represented as observers at previous meetings of the Conference of the Parties;
7. *Requests* the Secretariat to continue to maintain the list referred to in paragraph 3 above and to update it after each ordinary meeting of the Conference of the Parties.

## Annex to decision BC-11/22

## Application for admission as an observer at meetings of the Conference of the Parties to the Basel Convention



BASEL CONVENTION

Secretariat of the Basel Convention  
International Environment House 1  
11-13, chemin des Anémones  
CH-1219 Châtelaine – Geneva  
Switzerland



Telephone: +41 22 917 82 18  
Facsimile: +41 22 797 34 54  
E-mail: [brs@brsmeas.org](mailto:brs@brsmeas.org)  
[www.basel.int](http://www.basel.int)

## Application for admission as an observer at meetings of the Conference of the Parties to the Basel Convention<sup>39</sup>

Paragraph 6 of Article 15 of the Basel Convention provides: “The United Nations, its specialized agencies, as well as any State not party to this Convention, may be represented as observers at meetings of the Conference of the Parties. Any other body or agency, whether national or international, governmental or non-governmental, qualified in fields relating to hazardous wastes or other wastes which has informed the Secretariat of its wish to be represented as an observer at a meeting of the Conference of the Parties, may be admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties.”

Paragraph 1 of rule 7 of the rules of procedure for the Conference of the Parties to the Basel Convention provides: “The Secretariat shall notify any body or agency, whether national or international, governmental or non-governmental, qualified in fields relating to the transboundary movement of hazardous wastes as well as their management and disposal, which has informed the Secretariat of its wish to be represented, of any meeting so that they may be represented by observers, subject to the condition that their admission to the meeting is not objected to by at least one third of the Parties present at the meeting.”

To apply for admission as an observer at meetings of the Basel Convention bodies (i.e., the Conference of the Parties and, as appropriate, the Open-ended Working Group), any interested body or agency should complete the present application form and send it, together with supporting documents, to [brs@brsmeas.org](mailto:brs@brsmeas.org) at least **one month** prior to the commencement date or opening of the meeting in question. The Secretariat will screen the applications to check whether they are complete and in conformity with the above-mentioned requirements. Successful applications will be submitted to the Conference of the Parties at its next meeting following receipt of the relevant documents.

In the event that any body or agency wishes to attend a meeting of a subsidiary body established under the Basel Convention prior to their application being reviewed by the Conference of the Parties, such body or agency may be represented as an observer at the meeting of the subsidiary body on a provisional basis and will be considered for admission at meetings of the bodies established under the Basel Convention at the next ordinary meeting of the Conference of the Parties, without prejudice to any decision of the Conference of the Parties or any relevant rules on admission of observers at meetings of that subsidiary body.

<sup>39</sup> This process does not apply to those entities represented as observers in accordance with rule 6 of the rules of procedure for the Conference of the Parties to the Basel Convention, i.e., the United Nations and its specialized agencies, the International Atomic Energy Agency and any State and any political and/or economic integration organization not party to the Convention.

*Please complete those sections in the form below that are relevant to the body or agency making the request for admission:*

<b>I. Name of body or agency</b>	
<b>Contact person (if any):</b> (Mr. / Ms.)	
<b>Address:</b>	
<b>Tel:</b>	
<b>Fax:</b>	
<b>Email:</b>	
<b>National or international:</b>	
<b>Qualification in fields relating to the transboundary movement of hazardous wastes as well as their management and disposal</b>	

<b>II. Affiliation with networks, non-governmental organizations or institutions involved in activities relating to the United Nations Environment Programme (UNEP) and/or the Basel Convention</b>	
<b>Economic and Social Council consultative status:</b>	Yes _____ No _____
<b>Other relevant affiliation (e.g., United Nations Permanent Forum on Indigenous Issues):</b>	Yes _____ No _____

<b>Information to be provided, where relevant:</b>	
<b>III. Membership of networks</b>	
<b>Name of network:</b>	
<b>Type of network:</b>	
<b>Geographical distribution:</b>	
<b>Date of membership:</b>	

<b>Information to be provided, if available:</b>	
1. Information describing the body or agency 2. Information on the affiliation of the body or agency with non-governmental organizations or institutions 3. Information on the programmes and activities undertaken by the body or agency/qualification in fields relating to the transboundary movement of hazardous wastes as well as their management and disposal 4. Description of any network and/or membership system	
<b>Signature and/or seal</b> <i>(the application must be signed by a duly authorized representative)</i>	
<b>Date:</b>	



## **BC-11/23: Development of a draft memorandum of understanding between 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**

### *The Conference of the Parties*

1. *Takes note of* the proposal for the development of a memorandum of understanding between the Conference of the Parties to the Basel Convention and the Executive Director of the United Nations Environment Programme concerning the provision of secretariat functions;
2. *Recognizes* that openness, transparency and the application of an equal and harmonized approach to the relationship between the United Nations Environment Programme and the multilateral environmental agreement secretariats that it administers should apply to the development and implementation of institutional arrangements for the provision of the secretariat functions for the respective agreements;
3. *Takes note of* the request of the Governing Council of the United Nations Environment Programme, set out in its decision 27/13 of 22 February 2013, which followed two similar requests at earlier sessions of the Governing Council to the Executive Director to deepen consultations with the multilateral environmental agreements for which the United Nations Environment Programme provides the secretariat in the preparation, by 30 June 2013, of a full report on the relationship between the United Nations Environment Programme and those multilateral environmental agreements and for the submission of a final report on that subject to the United Nations Environment Assembly of the United Nations Environment Programme at its 2014 session and to the governing bodies of those multilateral environmental agreements;
4. *Notes that*, in accordance with United Nations General Assembly resolution 60/283 of 7 July 2006, the United Nations Secretariat, including the United Nations Environment Programme, will implement the International Public Service Accounting Standards with effect from 1 January 2014, replacing the current United Nations System Accounting Standards;<sup>40</sup>
5. *Acknowledges* the potential impact of resolution 60/283 on the provision of secretariat functions to the Convention, including issues such as the appropriate size of the working capital reserve, and, in this context, expresses its regret that the full report referred to in paragraph 3 above was not available to facilitate informed decision-making at the eleventh meeting of the Conference of the Parties;
6. *Invites* the Executive Secretary to actively engage in the consultations undertaken by the United Nations Environment Programme, bearing in mind the legal autonomy of the Basel Convention and the decision-making powers of the Conference of the Parties in relation to the provision of secretariat functions;
7. *Requests* the Executive Secretary to report on those consultations and their possible impact on the proposed memorandum of understanding between the Executive Director and the Conference of the Parties to the Basel Convention to the Bureau, during the intersessional period, and to the Conference of the Parties at its twelfth meeting;
8. *Also requests* the Executive Secretary to submit a revised draft memorandum of understanding to the Conference of the Parties to the Basel Convention at its twelfth meeting.

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<sup>40</sup> See UNEP/GC.27/14/Rev.1.

## BC-11/24: Amendment of rule 21 of the rules of procedure

*The Conference of the Parties,*

*Recalling* its decisions I/1, VIII/37 and BC-10/1,

1. *Decides* to amend rule 21 of the rules of procedure to read as follows:

1. At each ordinary meeting, a President, and nine Vice-Presidents, one of whom will serve as Rapporteur, are to be elected from among the representatives of the Parties present at the meeting. In conducting these elections, the Conference of the Parties shall have due regard to the principle of equitable geographical representation. The offices of President and Rapporteur shall normally be subject to rotation among the five United Nations regional groups.

2. The President and nine Vice-Presidents elected at an ordinary meeting shall commence their terms of office at the closure of the meeting at which they are elected and remain in office until the closure of the next ordinary meeting of the Conference of the Parties, for which they will serve as the Bureau, including for any intervening extraordinary meeting. Exceptionally, one or more of these officers may be re-elected for one further consecutive term.

3. The President shall participate in meetings of the Conference of the Parties in that capacity and shall not at the same time exercise the rights of a representative of a Party. The Party concerned shall designate another representative who shall be entitled to represent the Party in the meeting and to exercise the right to vote.

4. The Chair of the Compliance Committee, the co-Chairs of the Open-ended Working Group and the Chair of any other subsidiary bodies shall be members *ex officio* of the Bureau.

2. *Requests* the Secretariat to issue a consolidated version of the rules of procedure indicating the above amendment.

## BC-11/25: Institutional arrangements

*The Conference of the Parties,*

*Recalling* its decisions II/27, III/28, VI/36 and BC-10/1,

*Recognizing* that the amendment to rule 21 of the rules of procedure adopted by the Conference of the Parties at its tenth meeting ensures that the functions previously undertaken by the Expanded Bureau can be adequately performed by the Bureau of the Conference of the Parties,

1. *Decides* to discontinue the Expanded Bureau as a subsidiary body of the Convention;

2. *Decides also* that any function previously entrusted to the Expanded Bureau shall be undertaken in the future by the Bureau of the Conference of the Parties;

3. Further decides that five members of the Bureau may participate in joint meetings of the bureaux of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, having due regard to the principle of equitable geographical representation of the five regions of the United Nations.

## BC-11/26: Financing and budget for the biennium 2014–2015

*The Conference of the Parties to the Basel Convention,*

*Taking note* of the financial reports on the Basel Convention trust funds for 2012 and estimated expenditures for 2013 from the Trust Fund for the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal (Basel Convention Trust Fund),

1. *Approves* the programme budget for the Basel Convention for the biennium 2014–2015 of 4,846,783 United States dollars for 2014 and 4,838,057 United States dollars for 2015 for the purposes set out in table 1 of the present decision, which are presented by budget code line in table 2 of the present decision;

2. *Authorizes* the Executive Secretary of the Secretariat of the Basel Convention to make commitments in an amount up to the approved operational budget, drawing upon available cash resources;
3. *Takes note* of the indicative staffing table for the Secretariat for the biennium 2014–2015 used for costing purposes to set the overall budget, which is set out in table 5 of the present decision;
4. *Authorizes* the Executive Secretary to continue to determine the staffing levels, numbers and structure of the Secretariat in a flexible manner, provided that the Executive Secretary remains within the overall cost of the staff numbers set out in table 5 of the present decision for the biennium 2014–2015;
5. *Adopts* the indicative scale of assessments for the apportionment of expenses for the biennium 2014–2015 set out in table 4 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 2014 for 2014 and before 1 January 2015 for 2015;
6. *Decides* to maintain the working capital reserve at the level of 15 per cent of the annual average of the biennial operational budgets for 2014–2015;
7. *Notes with concern* that a number of parties have not paid their contributions to the operational budgets for 2010 and prior years, contrary to the provisions of paragraph 3 (a) of rule 5 of the financial rules, and urges parties to pay their contributions promptly by or on 1 January of the year to which the contributions apply;
8. *Decides*, with regard to contributions due from 1 January 2010 onwards, that no representative of any party whose contributions are in arrears for two or more years shall be eligible to become a member of the Bureau of the Conference of the Parties or any subsidiary body of the Conference of the Parties; this shall not apply to parties that are least developed countries or small island developing States or to parties that have agreed on and are respecting a schedule of payments in accordance with the financial rules;
9. *Also decides* to further consider additional incentives and measures to address arrears in core budget contributions to the Convention in an effective and efficient manner at the next meeting of the Conference of the Parties;
10. *Requests* the Secretariat to present options for incentives and measures, including information on those applied under other multilateral environmental agreements to deal with such challenges;
11. *Takes note* of the funding estimates included in table 3 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 (Technical Cooperation Trust Fund) in the amount of 3,620,847 United States dollars for 2014 and 3,640,605 United States dollars for 2015;
12. *Stresses* the need to ensure that the Voluntary Special Trust Fund requirement presented in the budget is realistic and represents agreed priorities of all parties so as to encourage contributions from donors;
13. *Notes* that the Voluntary Special Trust Fund requirement presented in the budget represents its best efforts to be realistic and reflects priorities agreed by all parties and urges parties and invites non-parties and others to make voluntary contributions to the Voluntary Special Trust Fund so as to encourage contributions from donors;
14. *Decides* that the two trust funds for the Convention shall be continued until 31 December 2015, and requests the Executive Director of the United Nations Environment Programme to extend them for the biennium 2014–2015, subject to the approval of the United Nations Environment Assembly of the of the United Nations Environment Programme;
15. *Requests* the Secretariat to report to the Open-ended Working Group and to the Bureau on all sources of income received, including the reserve and fund balances and interest, together with actual, provisional and projected expenditures and commitments, and requests the Executive Secretary to report on all expenditures against the agreed budget lines;

16. *Notes* the importance of having funding available in the Technical Cooperation Trust Fund for the participation in the meetings of the Convention of developing-country parties, in particular the least developed countries and small island developing States, and parties with economies in transition;

17. *Urges* parties, and invites others in a position to do so, to contribute urgently to the Technical Cooperation Trust Fund with a view to ensuring the full and effective participation of developing-country parties, in particular the least developed countries and small island developing States, and parties with economies in transition, in the meetings of the Conference of the Parties;

18. *Requests* the Executive Secretary, bearing in mind decision BC.Ex-2/1, further to enhance efficiency in the use of financial and human resources in accordance with the priorities set by the Conference of the Parties and to report on the outcome of his efforts in that regard;

19. *Also requests* the Executive Secretary to prepare a budget for the biennium 2016–2017, for consideration by the Conference of the Parties at its twelfth meeting, explaining the key principles, assumptions and programmatic strategy on which the budget is based and presenting expenditures for the 2016–2017 period in both a programmatic format and by budget code line;

20. *Invites* the Executive Director of the United Nations Environment Programme to ensure that staff training to comply with United Nations mandatory training for staff members is financed from programme support costs since it represents an overhead cost in the operations of the Secretariat;

21. *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 2016–2017 two alternative funding scenarios that take account of any efficiencies identified as a result of paragraph 18 above and are based on:

(a) The Executive Secretary's assessment of the required changes in the operational budget to finance all proposals before the Conference of the Parties that have budgetary implications;

(b) Maintaining the operational budget at the 2014–2015 level in nominal terms;

22. *Requests* the Executive Secretary at the twelfth 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;

23. *Recalls* its earlier request to the Executive Director of the United Nations Environment Programme to request an audit by the Office of Internal Oversight Services on coordination and cooperation among the Basel, Rotterdam and Stockholm conventions and requests the Executive Director to present the report on that audit to the Conference of the Parties for consideration at its next ordinary meeting.

Table 1

## A. Programme budget for 2014–2015 (in United States dollars)

## Activities related to the Basel, Rotterdam and Stockholm conventions

## 1. Conferences and meetings

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
1 (BC)	Twelfth meeting of the Conference of the Parties to the Basel Convention	0	0	0	0	0	0	522 527	820 400	0	0	0	0	522 527	820 400
2 (RC)	Seventh meeting of the Conference of the Parties to the Rotterdam Convention	0	0	90 000	0	0	0	0	0	432 527	820 400	0	0	522 527	820 400
3 (SC)	Seventh meeting of the Conference of the Parties to the Stockholm Convention	0	0	0	0	80 000	0	0	0	0	0	442 527	820 400	522 527	820 400
4 (BC)	Ninth meeting of the Open-ended Working Group of the Basel Convention	354 865	545 904	0	0	0	0	0	0	0	0	0	0	354 865	545 904
5 (RC)	Tenth and eleventh meetings of the Chemical Review Committee	0	0	214 313	0	0	0	0	0	214 313	0	0	0	428 626	0
6 (SC)	Tenth and eleventh meetings of the Persistent Organic Pollutants Review Committee	0	0	0	0	458 297	24 260	0	0	0	0	458 297	77 632	916 594	101 892
7 (BC)	Meeting of the Bureau of the conference of the Parties to the Basel Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	47 640	0	0	0	0	0	0	0	0	0	0	0	47 640	0
8 (RC)	Meeting of the Bureau of the conference of the Parties to the Rotterdam Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	0	0	25 408	0	0	0	0	0	0	0	0	0	25 408	0

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
9 (SC)	Meeting of the Bureau of the Conference of the Parties to the Stockholm Convention and joint meetings of the bureaux of the Basel, Rotterdam and Stockholm conventions	0	0	0	0	38 112	0	0	0	0	0	0	0	38 112	0
10 (BC)	Meeting of the Basel Convention Implementation and Compliance Committee	39 545	13 785	0	0	0	0	0	0	0	0	0	0	39 545	13 785
	Meeting of the Rotterdam Convention Implementation and Compliance Committee			39 545	13 785									39 545	13 785
	Meeting of the Stockholm Convention Implementation and Compliance Committee					39 545	13 785							39 545	13 785
11 (RC)	Orientation workshop for members of the Chemical Review Committee	0	0	0	58 140	0	0	0	0	0	0	0	0	0	58 140
12 (S6)	Support for the work of and coordination between the scientific bodies of the conventions	0	8 000	0	8 000	0	4 000	0		0		0		0	20 000

2014–2015 total (non-staff cost)	442 050	567 689	369 266	79 925	615 954	42 045	522 527	820 400	646 840	820 400	900 824	898 032	3 497 461	3 228 491
2014–2015 total (staff cost)	852 180	126 210	927 413	150 967	1 232 741	467 010	875 884	131 258	849 915	157 005	1 291 913	485 690	6 030 047	1 518 141

## 2. Technical assistance and capacity-building

### (a) Development of tools and methodologies

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
13 (S1)	Tools and methodologies for training and capacity-building	15 000	322 500	40 000	322 500	15 000	321 000	15 000	155 000	40 000	155 000	15 000	161 000	140 000	1 437 000
2014–2015 total technical assistance and capacity-building (a)		15 000	322 500	40 000	322 500	15 000	321 000	15 000	155 000	40 000	155 000	15 000	161 000	140 000	1 437 000

### (b) Capacity-building and training

14 (BC)	Training and capacity-building activities to enhance the implementation of the Basel Convention at the regional level	0	420 000	0	0	0	0	0	635 000	0	0	0	0	0	1 055 000
15 (RC)	Training and capacity-building activities to enhance the implementation of the Rotterdam Convention at national and regional levels	0	0	0	1 305 500	0	0	0	0	0	1 525 500	0	0	0	2 831 000
16 (SC)	Training and capacity-building activities to enhance the implementation of the Stockholm Convention at the regional level	0	0	0	0	0	735 500	0	0	0	0	0	622 500	0	1 358 000
17 (S2/S3)	Training and capacity-building activities to enhance the implementation of the Basel, Rotterdam and Stockholm conventions at the regional and national levels	0	236 000	0	473 500	0	294 000	0	316 000	0	419 500	0	337 000	0	2 076 000
2014–2015 total technical assistance and capacity-building (b)		0	656 000	0	1 779 000	0	1 029 500	0	951 000	0	1 945 000	0	959 500	0	7 320 000

### (c) Partnerships

18 (S4)	Partnerships for technical assistance	22 000	382 500	0	100 000	0	107 500	25 000	282 500	0	80 000	0	87 500	47 000	1 040 000
2014–2015 total technical assistance and capacity-building (c)		22 000	382 500	0	100 000	0	107 500	25 000	282 500	0	80 000	0	87 500	47 000	1 040 000

**(d) Regional centres**

<b>19 (S8/9)</b>	Coordination of and support to the Basel and Stockholm Conventions regional centres and cooperation and coordination between regional centres	70 500	90 000	–	48 000	90 050	93 500	5 000	99 650	–	58 000	25 000	99 650	190 550	488 800
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<b>2014–2015 total technical assistance and capacity-building (d)</b>	<b>70 500</b>	<b>90 000</b>	<b>0</b>	<b>48 000</b>	<b>90 050</b>	<b>93 500</b>	<b>5 000</b>	<b>99 650</b>	<b>0</b>	<b>58 000</b>	<b>25 000</b>	<b>99 650</b>	<b>190 550</b>	<b>488 800</b>
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<b>2014–2015 total (non-staff cost)</b>	<b>107 500</b>	<b>1 451 000</b>	<b>40 000</b>	<b>2 249 500</b>	<b>105 050</b>	<b>1 551 500</b>	<b>45 000</b>	<b>1 488 150</b>	<b>40 000</b>	<b>2 238 000</b>	<b>40 000</b>	<b>1 307 650</b>	<b>377 550</b>	<b>10 285 800</b>
<b>2014–2015 total (staff cost)</b>	<b>395 397</b>	<b>126 210</b>	<b>459 631</b>	<b>286 837</b>	<b>445 683</b>	<b>121 077</b>	<b>411 213</b>	<b>131 258</b>	<b>437 349</b>	<b>298 310</b>	<b>463 511</b>	<b>125 920</b>	<b>2 612 785</b>	<b>1 089 612</b>

**3. Scientific and technical activities**

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
<b>20 (S7)</b>	Scientific support to parties to the Basel Convention	70 000	140 000	0	0	0	90 000	0	85 000	0	0	0	65 000	70 000	380 000
<b>21 (RC)</b>	Scientific support to parties to the Rotterdam Convention	0		30 000	15 500	0		0		30 000	15 500	0		60 000	31 000
<b>22 (SC)</b>	Scientific support to parties to the Stockholm Convention	0				83 000	190 000	0				8 000	137 000	91 000	327 000
<b>23 (SC)</b>	Effectiveness evaluation and the Global Monitoring Plan	0	0	0	0	60 000	360 000	0	0	0	0	60 000	160 000	120 000	520 000
<b>24 (S15)</b>	National reporting	40 000	45 000	0			30 000		42 000	0	0		27 000	40 000	144 000

<b>2014–2015 total (non-staff cost)</b>	<b>110 000</b>	<b>185 000</b>	<b>30 000</b>	<b>15 500</b>	<b>143 000</b>	<b>670 000</b>	<b>0</b>	<b>127 000</b>	<b>30 000</b>	<b>15 500</b>	<b>68 000</b>	<b>389 000</b>	<b>381 000</b>	<b>1 402 000</b>
<b>2014–2015 total (staff cost)</b>	<b>306 433</b>	<b>–</b>	<b>199 462</b>	<b>–</b>	<b>379 305</b>	<b>216 208</b>	<b>318 690</b>	<b>–</b>	<b>186 278</b>	<b>–</b>	<b>394 477</b>	<b>224 857</b>	<b>1 784 646</b>	<b>441 065</b>

**4. Knowledge and information management and outreach**

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding							
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Biennium	
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total funding General TF	Total funding Special TF
<b>25 (S10)</b>	Clearing-house mechanism for information exchange, including PIC database and Rotterdam Convention website in English, French and Spanish	169 600	0	42 000	0	28 000	0	169 600	0	42 000	0	28 000	0	479 200	0
<b>26 (S14)</b>	Publications	48 000	0	39 150	0	54 200	0	38 000	0	29 150	0	44 200	0	252 700	0
<b>27 (S12/S13)</b>	Joint communication, outreach and public awareness	0	29 000	0	29 000	0	30 000	0	30 200	0	30 200	0	30 300	0	178 700

<b>2014–2015 total (non-staff cost)</b>	<b>217 600</b>	<b>29 000</b>	<b>81 150</b>	<b>29 000</b>	<b>82 200</b>	<b>30 000</b>	<b>207 600</b>	<b>30 200</b>	<b>71 150</b>	<b>30 200</b>	<b>72 200</b>	<b>30 300</b>	<b>731 900</b>	<b>178 700</b>
<b>2014–2015 total (staff cost)</b>	<b>389 466</b>	<b>–</b>	<b>555 546</b>	<b>15 097</b>	<b>540 510</b>	<b>51 890</b>	<b>405 045</b>	<b>–</b>	<b>526 925</b>	<b>15 701</b>	<b>562 130</b>	<b>53 966</b>	<b>2 979 622</b>	<b>136 653</b>



## 5. Overall management

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
28 (S18)	Executive direction and management	136 400	0	100 457	0	125 400	0	99 900	0	152 621	0	110 900	0	725 678	0
29 (S19)	International cooperation and coordination	0	80 000	0	0	0	0	10 000	0	0	0	0	0	0	90 000
30 (S16)	Resource mobilization (resource mobilization database development funded from fund balance \$2,000 per Convention per year from general trust fund)	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	4 000	1 000	24 000	6 000
31 (S17)	Support for the review of the synergies decisions. (staff time only)	0	0	0	0	0	0	0	0	0	0	0	0	0	0

2014–2015 total (non-staff cost)	140 400	81 000	104 457	1 000	129 400	1 000	103 900	11 000	156 621	1 000	114 900	1 000	749 678	96 000
2014–2015 total (staff cost)	425 843	–	322 609	–	739 645	172 967	452 335	–	301 285	–	769 231	179 885	3 010 947	352 852

## 6. Legal and policy

Activity No. 2014-2015	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
32 (BC)	Legal and policy activities specific to the Basel Convention	0	145 000	0	0	0	0	0	145 000	0	0	0	0	0	290 000
33 (S20)	Legal and policy activities under the Basel, Rotterdam and Stockholm conventions. National legislation, illegal traffic and trade, and enforcement under the Basel, Rotterdam and Stockholm conventions	0	155 000	0	0	0	0	0	75 000	0	0	0	0	0	230 000
34 (BC)	Coordinate and provide support to parties in follow-up to the country-led initiative on environmentally sound management and further legal clarity	0	230 000	0	0	0	0	0	150 000	0	0	0	0	0	380 000

2014–2015 total (non-staff cost)	0	530 000	0	0	0	0	0	370 000	0	0	0	0	0	900 000
2014–2015 total (staff cost)	398 462	108 180	32 955	–	256 031	8 648	415 325	112 507	30 776	–	256 410	8 994	1 389 959	238 330

## 7. Office maintenance and services

Activity No.	Activities	2014						2015							
		Source of funding						Source of funding						Biennium	
		Basel Convention		Rotterdam Convention		Stockholm Convention		Basel Convention		Rotterdam Convention		Stockholm Convention		Total funding General TF	Total funding Special TF
		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF		
35 (S21)	Office maintenance and services	148 738	0	142 909	0	165 265	0	156 175	0	150 054	0	173 528		936 670	0
36 (S11)	Joint information technology services	38 800	0	33 250	0	38 800	0	38 800	0	33 250	0	38 800	0	221 700	0
2014–2015 total (non-staff cost)		187 538	0	176 159	0	204 065	0	194 975	0	183 304	0	212 328	0	1 158 370	0
2014–2015 total (staff cost)		316 318	–			199 135	–	328 971				207 101	–	1 051 524	–

2014–2015 total (non-staff cost)	1 205 088	2 843 689	801 032	2 374 925	1 279 669	2 294 545	1 074 002	2 846 750	1 127 915	3 105 100	1 408 252	2 625 982	6 895 959	16 090 991
2014–2015 total (staff cost)	3 084 100	360 600	2 497 616	452 900	3 793 050	1 037 800	3 207 464	375 024	2 332 529	471 016	3 944 772	1 079 312	18 859 531	3 776 652
2014–2015 grand total	4 289 188	3 204 289	3 298 648	2 827 825	5 072 719	3 332 345	4 281 466	3 221 774	3 460 444	3 576 116	5 353 024	3 705 294	25 755 489	19 867 643

**B. Summary table of costs and requirements by heading for 2014-2015 (in United States dollars)**

	2014								2015							
	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total Gen TF	Total Vol TF	BCTF	BDTF	ROTF	RVTF	SCTF	SVTF	Total Gen TF	Total Vol TF
Conferences and meetings	442 050	567 689	369 266	79 925	615 954	42 045	1 427 270	689 659	522 527	820 400	646 840	820 400	900 824	898 032	2 070 191	2 538 832
Technical assistance and capacity-building	107 500	1 451 000	40 000	2 249 500	105 050	1 551 500	252 550	5 252 000	45 000	1 488 150	40 000	2 238 000	40 000	1 307 650	125 000	5 033 800
Scientific and technical activities	110 000	185 000	30 000	15 500	143 000	670 000	283 000	870 500	-	127 000	30 000	15 500	68 000	389 000	98 000	531 500
Knowledge and information management and outreach	217 600	29 000	81 150	29 000	82 200	30 000	380 950	88 000	207 600	30 200	71 150	30 200	72 200	30 300	350 950	90 700
Overall management	140 400	81 000	104 457	1 000	129 400	1 000	374 257	83 000	103 900	11 000	156 621	1 000	114 900	1 000	375 421	13 000
Legal and policy	-	530 000	-	-	-	-	-	530 000	-	370 000	-	-	-	-	-	370 000
Office maintenance and services	187 538	-	176 159	-	204 065	-	567 762	-	194 975	-	183 304	-	212 328	-	590 608	-
Total non-staff costs	1 205 088	2 843 689	801 032	2 374 925	1 279 669	2 294 545	3 285 789	7 513 159	1 074 002	2 846 750	1 127 915	3 105 100	1 408 252	2 625 982	3 610 170	8 577 832
Total staff costs	3 084 100	360 600	2 497 616	452 900	3 793 050	1 037 800	9 374 766	1 851 300	3 207 464	375 024	2 332 529	471 016	3 944 772	1 079 312	9 484 765	1 925 352
Total programme requirements	4 289 188	3 204 289	3 298 648	2 827 825	5 072 719	3 332 345	12 660 555	9 364 459	4 281 466	3 221 774	3 460 444	3 576 116	5 353 024	3 705 294	13 094 934	10 503 184

	General TF	Special TF		BCTF	BDTF	ROTF	RVTF	SCTF	SVTF
2014-2015 BRS total budget	25 755 489	19 867 643		8 570 655	6 426 063	6 759 092	6 403 941	10 425 743	7 037 639
Increase from biennium to biennium	1.39%	-4.74%		3.64%	-30.77%	1.63%	79.06%	-0.55%	-12.01%

Table 2

**C. Programme of work for 2014–2015 funded through the general trust funds of the Basel (BC), Rotterdam (RO) and Stockholm (SC) conventions**

**Operational budget for 2014–2015 (in United States dollars)**

**Summary table of total costs by budget code level and by convention trust fund**

		2014				2015				2014-2015 Total
		BC	RC	SC	Total	BC	RC	SC	Total	
<b>10 Project personnel component</b>										
1100	<b>Professional staff</b>									
1101	Executive Secretary (D-2)	123 760	30 940	154 700	<b>309 400</b>	128 710	32 178	160 888	<b>321 776</b>	<b>631 176</b>
1102	Deputy Executive Secretary (D-1)	115 400	28 850	144 250	<b>288 500</b>	120 016	30 004	150 020	<b>300 040</b>	<b>588 540</b>
1103	Chief of Branch (P-5)	101 920	25 480	127 400	<b>254 800</b>	105 997	26 499	132 496	<b>264 992</b>	<b>519 792</b>
1104	Chief of Branch (P-5)	–	–	–	–	–	–	–	–	–
1105	Chief of Branch (P-5)									
1106	Chief of Branch (P-5)									
1107	Senior Programme Officer (P-5)	254 800			<b>254 800</b>	264 992			<b>264 992</b>	<b>519 792</b>
1108	Senior Programme Officer (P-5)	254 800			<b>254 800</b>	264 992			<b>264 992</b>	<b>519 792</b>
1109	Senior Programme Officer (P-5)	254 800			<b>254 800</b>	264 992			<b>264 992</b>	<b>519 792</b>
1110	Policy and Legal Adviser (P-4)	216 400			<b>216 400</b>	225 056			<b>225 056</b>	<b>441 456</b>
1111	Programme Officer (P-4)	216 400			<b>216 400</b>	225 056			<b>225 056</b>	<b>441 456</b>
1112	Administrative Officer (P-4) (by UNEP OTL)				–	–			–	–
1113	Programme Officer – National Reporting (P-3)	180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
1114	Programme Officer – Information Officer (P-3)	180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
1115	Programme Officer (P-3)	180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
1116	Associate Programme Officer – Computer Systems (P-2)	144 800			<b>144 800</b>	150 592			<b>150 592</b>	<b>295 392</b>
1117	Associate Legal Officer (P-2)	144 800			<b>144 800</b>	150 592			<b>150 592</b>	<b>295 392</b>
	Transitional adjustment	101 920			<b>101 920</b>	105 997			<b>105 997</b>	<b>207 917</b>
	<i>Subtotal Basel Convention staff</i>	<b>2 470 700</b>			–	<b>2 569 528</b>				
1102	Senior Programme Officer (P-5)			254 800	<b>254 800</b>			264 992	<b>264 992</b>	<b>519 792</b>
1104	Policy Officer (P-4)			216 400	<b>216 400</b>			225 056	<b>225 056</b>	<b>441 456</b>
1105	Programme Officer (P-4)			216 400	<b>216 400</b>			225 056	<b>225 056</b>	<b>441 456</b>
1106	Programme Officer (P-4)			216 400	<b>216 400</b>			225 056	<b>225 056</b>	<b>441 456</b>
1107	Senior Programme Officer (P-5)			254 800	<b>254 800</b>			264 992	<b>264 992</b>	<b>519 792</b>
1108	Programme Officer (P-3)			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1110	Administrative Officer (P-4) (0.5 by UNEP OTL)				–			–	–	–
1111	Legal Officer (P-3)			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1112	Associate Programme Officer (P-2)			144 800	<b>144 800</b>			150 592	<b>150 592</b>	<b>295 392</b>
1114	Project Information System Officer (P-3)			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1116	Programme Officer (P-3)			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1117	Programme Officer (P-3)			180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1118	Programme Officer (P-4)			–	–			–	–	–
	Transitional adjustment			343 800	<b>343 800</b>			357 552	<b>357 552</b>	<b>701 352</b>
	<i>Subtotal Stockholm Convention staff</i>			<b>2 975 250</b>	–			<b>3 094 260</b>	–	
1102	Senior Programme Officer (P-5)		254 800		<b>254 800</b>				–	<b>254 800</b>
1103	Programme Officer (P-4)		216 400		<b>216 400</b>		225 056		<b>225 056</b>	<b>441 456</b>
1104	Administrative Officer (P-4) (0.5 by UNEP OTL)				–				–	–
1105	Programme Officer (P-3)		180 300		<b>180 300</b>		187 512		<b>187 512</b>	<b>367 812</b>
1106	Programme Officer (P-3)		180 300		<b>180 300</b>		187 512		<b>187 512</b>	<b>367 812</b>
1107	Public Awareness Officer (P-3)		180 300		<b>180 300</b>		187 512		<b>187 512</b>	<b>367 812</b>

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
1108	Programme Officer (P-3)		180 300		180 300		187 512		187 512	367 812
1111	Executive Secretary (D-2) (0.25 in kind by FAO)								–	–
1112	Senior Programme Officer (P-5) (in kind by FAO)				–		–		–	–
1113	Programme Officer – FAO (P-4)		208 229		208 229		216 558		216 558	424 787
1114	Programme Officer (P-3) (in kind by FAO)		–		–		–		–	–
1116	Programme Officer – FAO (P-3)		166 221		166 221		172 870		172 870	339 091
1117	Programme Officer – FAO (P-3)		166 221		166 221		172 870		172 870	339 091
1118	Programme Officer – FAO (P-2)		125 387		125 387		130 402		130 402	255 789
	Transitional adjustment		25 480		25 480		26 499		26 499	51 979
	<i>Subtotal Rotterdam Convention staff</i>		<i>1 969 208</i>				<i>1 782 984</i>			–
<b>1199</b>	<b>Total</b>	<b>2 470 700</b>	<b>1 969 208</b>	<b>2 975 250</b>	<b>7 415 158</b>	<b>2 569 528</b>	<b>1 782 984</b>	<b>3 094 260</b>	<b>7 446 772</b>	<b>14 861 930</b>
<b>1200</b>	<b>Consultants</b>									
1201	Consultant (PACE)	20 000			20 000	20 000			20 000	40 000
	Consultant (HSC codes)	50 000			50 000					50 000
	Consultant (E-waste technical guidelines)	20 000			20 000					20 000
1202	Consultant to develop generic inventory tool for collection of data on hazardous wastes	40 000			40 000				–	40 000
	Consultant for resource mobilization database (funded from fund balance)	2 000	2 000	2 000	6 000	2 000	2 000	2 000	6 000	12 000
1204	Consultants for resource kit	–	10 000	–	10 000	–	10 000	–	10 000	20 000
1205	Consultants (scientific support for Stockholm Convention)	–	–	33 000	33 000	–	–	8 000	8 000	41 000
1206	Consultants (clearing-house mechanism)	80 000	17 500	15 500	113 000	80 000	17 500	15 500	113 000	226 000
1207	Staff training				–				–	–
<b>1299</b>	<b>Total</b>	<b>212 000</b>	<b>29 500</b>	<b>50 500</b>	<b>292 000</b>	<b>102 000</b>	<b>29 500</b>	<b>25 500</b>	<b>157 000</b>	<b>449 000</b>
<b>13</b>	<b>Administrative support</b>									
<b>1300</b>	<b>General Service staff</b>									
1301	Administrative Assistant (G-6) (by UNEP OTL)									
1302	Assistant (G-6)	170 400			170 400	177 216			177 216	347 616
1303	Meetings/Documents Assistant (G-6)	170 400			170 400	177 216			177 216	347 616
1304	Information Assistant (G-5)	136 300			136 300	141 752			141 752	278 052
1305	Finance and Budget Assistant (G-6) (by UNEP OTL)								–	–
1306	Programme Assistant (G-5)	136 300			136 300	141 752			141 752	278 052
	<i>Subtotal Basel Convention staff</i>	<i>613 400</i>				<i>637 936</i>				–
1301	Meeting Conference Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
1302	Administrative Assistant (G-6)			136 300	136 300			141 752	141 752	278 052
1303	Programme Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
OTL	Administrative Assistant HR (G-5) (by UNEP OTL)				–			–	–	–
1307	Data entry clerk (G-4)			136 300	136 300			141 752	141 752	278 052
1308	Research Assistant (G-5)			136 300	136 300			141 752	141 752	278 052
1320	Programme Clerk (G-4)			136 300	136 300			141 752	141 752	278 052
OTL	Finance and Budget Assistant (G-6) (by UNEP OTL)				–	–			–	–
OTL	IT/Database Assistant (G-5) (by UNEP OTL)				–	–			–	–
OTL	Publication Clerk (G-4) (by UNEP OTL)				–	–			–	–
	<i>Subtotal Stockholm Convention staff *</i>			<i>817 800</i>		<i>–</i>		<i>850 512</i>		–
1302	Information Assistant (G-5)		136 300		136 300		141 752		141 752	278 052
1304	Programme Assistant (G-5)		136 300		136 300		141 752		141 752	278 052
1307	GTA Conference Clerk (G-4)		136 300		136 300		141 752		141 752	278 052
1311	Secretary (0.25 in kind by FAO)				–				–	–
1312	Secretary – FAO (G-5) (vacant)				–				–	–
1313	Secretary – FAO (G-3) (in kind by FAO)				–				–	–
1314	Secretary – FAO (G-4)		119 508		119 508		124 289		124 289	243 797
	<i>Subtotal Rotterdam Convention staff</i>	<i>–</i>	<i>528 408</i>				<i>549 545</i>			–
	<i>General Service staff subtotal</i>	<i>613 400</i>	<i>528 408</i>	<i>817 800</i>	<i>1 959 608</i>	<i>637 936</i>	<i>549 545</i>	<i>850 512</i>	<i>2 037 993</i>	<i>3 997 601</i>

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
<b>1330</b>	<b>Conference servicing</b>									
1321	Conference of the Parties to the Basel Convention	–			–	522 527			522 527	522 527
1322	Open-ended Working Group to the Basel Convention	354 865			354 865				–	354 865
1323	Conference of the Parties to the Stockholm Convention			80 000	80 000			442 527	442 527	522 527
1324	Persistent Organic Pollutants Review Committee			346 701	346 701			346 701	346 701	693 402
1325	Conference of the Parties to the Rotterdam Convention		90 000		90 000		432 527		432 527	522 527
1326	Chemical Review Committee		121 997		121 997		121 997		121 997	243 994
1327	Donor round table meetings	2 000	2 000	2 000	6 000	2 000	2 000	2 000	6 000	12 000
1328	Conference servicing (regional centres)	15 000		15 000	30 000	–	–	–	–	30 000
1329	Conference Servicing (partnerships)	2 000			2 000	5 000			5 000	7 000
	<i>Conference servicing subtotal</i>	<b>373 865</b>	<b>213 997</b>	<b>443 701</b>	<b>1 031 563</b>	<b>529 527</b>	<b>556 524</b>	<b>791 228</b>	<b>1 877 279</b>	<b>2 908 842</b>
<b>1399</b>	<b>Total</b>	<b>987 265</b>	<b>742 405</b>	<b>1 261 501</b>	<b>2 991 171</b>	<b>1 167 463</b>	<b>1 106 069</b>	<b>1 641 740</b>	<b>3 915 272</b>	<b>6 906 443</b>
<b>1600</b>	<b>Travel on official business</b>								–	–
1601	Official travel	126 400	95 457	120 400	342 257	99 900	147 621	105 900	353 421	695 678
<b>1699</b>	<b>Total</b>	<b>126 400</b>	<b>95 457</b>	<b>120 400</b>	<b>342 257</b>	<b>99 900</b>	<b>147 621</b>	<b>105 900</b>	<b>353 421</b>	<b>695 678</b>
<b>1999</b>	<b>Component total</b>	<b>3 796 365</b>	<b>2 836 570</b>	<b>4 407 651</b>	<b>11 040 586</b>	<b>3 938 891</b>	<b>3 066 174</b>	<b>4 867 400</b>	<b>11 872 465</b>	<b>22 913 051</b>
<b>20</b>	<b>Subcontract component</b>									
<b>2200</b>	<b>Subcontracts</b>									
2201	Resource kit	–	15 000	–	15 000	–	15 000	–	15 000	30 000
2202	Pilot activities (regional centres)	–	–	20 000	20 000	–	–	20 000	20 000	40 000
2203	Clearing-house mechanism	47 100	10 000	10 000	67 100	37 100	10 000	10 000	57 100	124 200
<b>2299</b>	<b>Total</b>	<b>47 100</b>	<b>25 000</b>	<b>30 000</b>	<b>102 100</b>	<b>37 100</b>	<b>25 000</b>	<b>30 000</b>	<b>92 100</b>	<b>194 200</b>
<b>2999</b>	<b>Component total</b>	<b>47 100</b>	<b>25 000</b>	<b>30 000</b>	<b>102 100</b>	<b>37 100</b>	<b>25 000</b>	<b>30 000</b>	<b>92 100</b>	<b>194 200</b>
<b>30</b>	<b>Training component</b>									
<b>3300</b>	<b>Meetings: participants travel and DSA</b>									
3301	Bureau of Basel Convention	34 936			34 936				–	34 936
3302	Participation in joint bureau meetings: Basel Convention	12 704			12 704				–	12 704
3303	Implementation and Compliance Committee	39 545			39 545	–			–	39 545
3304	Technical expert group	–			–				–	–
3305	Annual meeting of Basel Convention centres	50 500			50 500				–	50 500
3306	Bureau of Stockholm Convention			25 408	25 408				–	25 408
3307	Participation in joint bureau meetings: Stockholm Convention			12 704	12 704				–	12 704
3308	Persistent Organic Pollutants Review Committee			111 596	111 596			111 596	111 596	223 192
3309	Annual meeting of Stockholm Convention centres			50 050	50 050				–	50 050
3310	DDT Expert Group			50 000	50 000			–	–	50 000
3311	Global Monitoring Plan Global Coordination Group			60 000	60 000			60 000	60 000	120 000
	Implementation and Compliance Committee			39 545	39 545				–	39 545
3312	Bureau of Rotterdam Convention		12 704		12 704				–	12 704
3313	Participation in joint bureau meetings: Rotterdam Convention		12 704		12 704				–	12 704
3314	Chemical Review Committee		92 316		92 316		92 316		92 316	184 632
<b>3316</b>	<b>Implementation and Compliance Committee</b>		39 545		39 545				–	39 545
<b>3317</b>	<b>Clearing-house mechanism</b>	20 000	–	–	20 000	20 000	–	–	20 000	40 000
<b>3399</b>	<b>Total</b>	<b>157 685</b>	<b>157 269</b>	<b>349 303</b>	<b>664 257</b>	<b>20 000</b>	<b>92 316</b>	<b>171 596</b>	<b>283 912</b>	<b>948 169</b>
<b>3999</b>	<b>Component total</b>	<b>157 685</b>	<b>157 269</b>	<b>349 303</b>	<b>664 257</b>	<b>20 000</b>	<b>92 316</b>	<b>171 596</b>	<b>283 912</b>	<b>948 169</b>
<b>40</b>	<b>Equipment and premises component</b>									
<b>4100</b>	<b>Expendable equipment</b>									
4101	Office supplies (Geneva-based Secretariat)	7 020	4 680	7 800	19 500	7 371	4 914	8 190	20 475	39 975
4102	Office supplies (Rome-based Secretariat)		15 000		15 000		15 750		15 750	30 750
4103	Software (training and capacity-building)	15 000	15 000	15 000	45 000	15 000	15 000	15 000	45 000	90 000
4104	Software/hardware (clearing-house mechanism))	2 500	2 500	2 500	7 500	2 500	2 500	2 500	7 500	15 000
<b>4199</b>	<b>Total</b>	<b>24 520</b>	<b>37 180</b>	<b>25 300</b>	<b>87 000</b>	<b>24 871</b>	<b>38 164</b>	<b>25 690</b>	<b>88 725</b>	<b>175 725</b>

		2014				2015				2014-2015
		BC	RC	SC	Total	BC	RC	SC	Total	Total
<b>4200</b>	<b>Non-expendable equipment</b>									
4201	Non-expendable equipment (Geneva-based Secretariat)	7 200	4 800	8 000	20 000	7 560	5 040	8 400	21 000	41 000
4202	Non-expendable equipment (Rome-based Secretariat)		5 000		5 000		5 250		5 250	10 250
4203	Information technology equipment (Geneva-based Secretariat)	38 800	16 900	38 800	94 500	38 800	16 900	38 800	94 500	189 000
4204	Information technology equipment (Rome-based Secretariat)		16 350		16 350		16 350		16 350	32 700
<b>4299</b>	<b>Total</b>	<b>46 000</b>	<b>43 050</b>	<b>46 800</b>	<b>135 850</b>	<b>46 360</b>	<b>43 540</b>	<b>47 200</b>	<b>137 100</b>	<b>272 950</b>
<b>4300</b>	<b>Premises</b>									
4301	Office space, maintenance, utilities (Geneva-based Secretariat)	76 758	51 172	85 286	213 216	80 596	53 730	89 551	223 877	437 093
<b>4399</b>	<b>Total</b>	<b>76 758</b>	<b>51 172</b>	<b>85 286</b>	<b>213 216</b>	<b>80 596</b>	<b>53 730</b>	<b>89 551</b>	<b>223 877</b>	<b>437 093</b>
<b>4999</b>	<b>Component total</b>	<b>147 278</b>	<b>131 402</b>	<b>157 386</b>	<b>436 066</b>	<b>151 827</b>	<b>135 434</b>	<b>162 441</b>	<b>449 702</b>	<b>885 768</b>
<b>50</b>	<b>Miscellaneous component</b>									
<b>5100</b>	<b>Operation and maintenance of equipment</b>									
5101	Maintenance of office equipment (Geneva-based Secretariat)	5 525	3 683	6 138	15 346	5 801	3 867	6 445	16 113	31 459
5102	Maintenance of office equipment (Rome-based Secretariat)	–	–	–	–	–	–	–	–	–
<b>5199</b>	<b>Total</b>	<b>5 525</b>	<b>3 683</b>	<b>6 138</b>	<b>15 346</b>	<b>5 801</b>	<b>3 867</b>	<b>6 445</b>	<b>16 113</b>	<b>31 459</b>
<b>5200</b>	<b>Reporting costs</b>									
5201	Publications	48 000	39 150	54 200	141 350	38 000	29 150	44 200	111 350	252 700
5202	Printing and translation (clearing-house mechanism)	25 000	12 000	–	37 000	25 000	12 000	–	37 000	74 000
5203	Information/public awareness materials (regional centres)	5 000	–	5 000	10 000	5 000	–	5 000	10 000	20 000
5204	PIC circular	–	30 000	–	30 000	–	30 000	–	30 000	60 000
<b>5299</b>	<b>Total</b>	<b>78 000</b>	<b>81 150</b>	<b>59 200</b>	<b>218 350</b>	<b>68 000</b>	<b>71 150</b>	<b>49 200</b>	<b>188 350</b>	<b>406 700</b>
<b>5300</b>	<b>Sundry</b>									
5301	Communications (Geneva-based Secretariat)	52 236	34 824	58 040	145 100	54 848	36 565	60 942	152 355	297 455
5302	Communications (Rome-based Secretariat)	–	23 750	–	23 750	–	24 938	–	24 938	48 688
<b>5399</b>	<b>Total</b>	<b>52 236</b>	<b>58 574</b>	<b>58 040</b>	<b>168 850</b>	<b>54 848</b>	<b>61 503</b>	<b>60 942</b>	<b>177 293</b>	<b>346 143</b>
<b>5400</b>	<b>Hospitality</b>									
5401	Hospitality	5 000	5 000	5 000	15 000	5 000	5 000	5 000	15 000	30 000
<b>5499</b>	<b>Total</b>	<b>5 000</b>	<b>5 000</b>	<b>5 000</b>	<b>15 000</b>	<b>5 000</b>	<b>5 000</b>	<b>5 000</b>	<b>15 000</b>	<b>30 000</b>
<b>5999</b>	<b>Component total</b>	<b>140 761</b>	<b>148 407</b>	<b>128 378</b>	<b>417 546</b>	<b>133 649</b>	<b>141 520</b>	<b>121 587</b>	<b>396 756</b>	<b>814 302</b>
<b>Direct project cost operational budget</b>		<b>4 289 188</b>	<b>3 298 648</b>	<b>5 072 719</b>	<b>12 660 555</b>	<b>4 281 466</b>	<b>3 460 444</b>	<b>5 353 024</b>	<b>13 094 934</b>	<b>25 755 489</b>
<b>UNEP programme support costs 13%</b>		<b>557 594</b>	<b>428 824</b>	<b>659 453</b>	<b>1 645 872</b>	<b>556 591</b>	<b>449 858</b>	<b>695 893</b>	<b>1 702 341</b>	<b>3 348 214</b>
<b>Total operational budget</b>		<b>4 846 783</b>	<b>3 727 472</b>	<b>5 732 172</b>	<b>14 306 427</b>	<b>4 838 057</b>	<b>3 910 302</b>	<b>6 048 917</b>	<b>14 797 276</b>	<b>29 103 703</b>

<b>Basel Convention Trust Fund</b>	<b>2012</b>	<b>2013</b>	<b>2012–2013 Total</b>	<b>2014</b>	<b>2015</b>	<b>2014–2015 Total</b>
Approved budget for the biennium 2012–2013	4 704 226	4 640 274	9 344 500			
Proposed budget for the biennium 2014–2015				4 846 783	4 838 057	9 684 840
Approved average annual budget for the biennium 2012–2013			4 672 250			
Proposed average annual budget for the biennium 2014–2015						4 842 420
<b>Increase in the average annual budget</b>						<b>3.64%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)	200 000	200 000	400 000	2 000	2 000	4 000
Increase in working capital reserve	38 399		38 399	25 525		
<b>Covered by parties</b>	<b>4 542 625</b>	<b>4 440 274</b>	<b>8 982 899</b>	<b>4 872 308</b>	<b>4 838 057</b>	<b>9 706 365</b>
Percentage increase in contributions from year to year	<b>-2.90%</b>	<b>-2.30%</b>		<b>9.73%</b>	<b>-0.70%</b>	
Average annual contributions for the biennium 2012–2013			4 491 450			
Average annual contributions for the biennium 2014–2015						4 853 183
<b>Increase in the average annual contributions</b>						<b>8.05%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (15%)</b>			<b>700 838</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (15%)</b>						<b>726 363</b>

<b>Rotterdam Convention Trust Fund</b>	<b>2012</b>	<b>2013</b>	<b>2012–2013 Total</b>	<b>2014</b>	<b>2015</b>	<b>2014–2015 Total</b>
Approved budget for the biennium 2012–2013	3 732 849	3 782 679	7 515 528			
Proposed budget for the biennium 2014–2015				3 727 472	3 910 302	7 637 774
Approved average annual budget for the biennium 2012–2013			3 757 764			
Proposed average annual budget for the biennium 2014–2015						3 818 887
<b>Increase in the average annual budget</b>						<b>1.63%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)			–	2 000	2 000	4 000
Increase in working capital reserve	(15 421)		(15 421)	9 168		9 168
Increment to the special contingency reserve: index to fluctuations in salary scales	23 449	20 408	43 857	–	25 078	25 078
<b>Grand total</b>	<b>3 740 877</b>	<b>3 803 087</b>	<b>7 543 964</b>	<b>3 736 641</b>	<b>3 935 380</b>	<b>7 668 020</b>
Host country contributions*	1 615 200	1 615 200	3 230 400	1 358 344	1 358 344	2 716 689
<b>Covered by parties</b>	<b>2 125 677</b>	<b>2 187 887</b>	<b>4 313 564</b>	<b>2 378 296</b>	<b>2 577 035</b>	<b>4 951 332</b>
Percentage increase in contributions from year to year	<b>-2.60%</b>	<b>2.90%</b>		<b>8.70%</b>	<b>8.36%</b>	
Average annual contributions for the biennium 2012–2013			2 156 782			
Average annual contributions for the biennium 2014–2015						2 475 666
<b>Increase in the average annual contributions</b>						<b>14.79%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (15%)</b>			<b>563 665</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (15%)</b>						<b>572 833</b>

\* 1,200,000 euros per annum for the biennium 2014–2015, equal to 1,554,404 United States dollars based on the United Nations exchange rate of November 2012: 1.00 United States dollar = 0.772 euros. Calculated by using the average United Nations exchange rate between January 2012 and April 2013 (16 months), 1.00 United States dollar = 0.773 euros, equal to 1,552,393 United States dollars (calculated at the same level for both years).

-25% of Swiss portion of the host country contribution re-allocated to RV, equal to 194,049 United States dollars (776,196 United States dollars x 0.25) per annum.



<b>Stockholm Convention Trust Fund</b>	<b>2012</b>	<b>2013</b>	<b>2012–2013 Total</b>	<b>2014</b>	<b>2015</b>	<b>2014–2015 Total</b>
Approved budget for the biennium 2012–2013	5 779 576	6 066 761	11 846 337			
Proposed budget for the biennium 2014–2015				5 732 172	6 048 917	11 781 089
Approved average annual budget for the biennium 2012–2013			5 923 169			
Proposed average annual budget for the biennium 2014–2015						5 890 545
<b>Increase in the average annual budget</b>						<b>-0.55%</b>
Deduction from reserve and fund balance (resource mobilization database \$2,000 per year)	300 000	300 000	600 000	2 000	2 000	4 000
Increase in working capital reserve	6 992		6 992	(2 708)		(2 708)
<b>Grand total</b>	<b>5 486 568</b>	<b>5 766 761</b>	<b>11 253 329</b>	<b>5 727 464</b>	<b>6 046 917</b>	<b>11 774 382</b>
Host country contributions*	1 366 150	1 361 670	2 727 820	1 004 489	995 615	2 000 103
<b>Covered by parties</b>	<b>4 120 418</b>	<b>4 405 091</b>	<b>8 525 509</b>	<b>4 722 976</b>	<b>5 051 302</b>	<b>9 774 278</b>
Percentage increase in contributions from year to year	<b>2.20%</b>	<b>6.90%</b>		<b>7.22%</b>	<b>6.95%</b>	
Average annual contributions for the biennium 2012–2013			4 262 755			
Average annual contributions for the biennium 2014–2015						4 887 139
<b>Increase in the average annual contributions</b>						<b>14.65%</b>
<b>Working capital reserve based on the average operational budget for 2012–2013 (8.3%)</b>			<b>491 623</b>			
<b>Working capital reserve based on the average operational budget for 2014–2015 (8.3%)</b>						<b>488 915</b>

\* Swiss contributions of 1,000,000 Swiss francs per annum for the biennium 2014–2015, equal to 1,075,269 United States dollars based on the United Nations exchange rate of November 2012: 1.00 United States dollar = 0.93 Swiss francs. Calculated by using the average United Nations exchange rate between January 2012 and April 2013 (16 months), 1.00 United States dollar = 0.935 Swiss francs, equal to 1,069,519 United States dollars (calculated at the same level for both years).

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
<b>Host country contributions</b>	1 366 150	1 361 670	1 004 489	995 615
<b>Assessed contributions</b>	64 850	69 330	65 030	73 904
<b>Total</b>	<b>1 431 000</b>	<b>1 431 000</b>	<b>1 069 519</b>	<b>1 069 519</b>

Table 3

**C. Programme of work for 2014–2015 funded through the Technical Cooperation Trust Fund of the Basel Convention (BD), the voluntary Special Trust Fund of the Rotterdam Convention (RV) and the voluntary Special Trust Fund of the Stockholm Convention (SV)**

**Voluntary budget for 2014–2015 (in United States dollars)**

**Summary table of total costs by budget code level and by convention trust fund**

		2014				2015				2014–2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
<b>10 Project personnel component</b>										
<b>1100 Professional staff</b>										
1101 Programme Officer P-3		180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
1102 Programme Officer P-3		180 300			<b>180 300</b>	187 512			<b>187 512</b>	<b>367 812</b>
<i>Subtotal Basel Convention staff</i>		360 600				375 024			<b>375 024</b>	<b>375 024</b>
1101 Programme Officer P-3			180 300		<b>180 300</b>		187 512		<b>187 512</b>	<b>367 812</b>
<i>Subtotal Rotterdam Convention staff</i>			180 300				187 512		<b>187 512</b>	<b>187 512</b>
1101 Programme Officer P-3				180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1102 Programme Officer P-3				180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1103 Programme Officer P-3				180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1104 Programme Officer P-3				180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
1105 Programme Officer P-3				180 300	<b>180 300</b>			187 512	<b>187 512</b>	<b>367 812</b>
<i>Subtotal Stockholm Convention staff</i>				901 500				937 560	<b>937 560</b>	<b>937 560</b>
<b>1199 Total</b>		<b>360 600</b>	<b>180 300</b>	<b>901 500</b>	<b>1 442 400</b>	<b>375 024</b>	<b>187 512</b>	<b>937 560</b>	<b>1 500 096</b>	<b>2 942 496</b>
<b>1200 Consultants</b>										
1201 Consultants – development of tools and methodologies		30 000	30 000	30 000	90 000	32 500	32 500	35 000	<b>100 000</b>	<b>190 000</b>
1202 Consultants – capacity-building and training (BC)		70 000	–	–	70 000	85 000	–	–	<b>85 000</b>	<b>155 000</b>
1203 Consultants – capacity-building and training (RC)		–	139 000	–	139 000	–	141 000	–	<b>141 000</b>	<b>280 000</b>
1204 Consultants – capacity-building and training (SC)		–	–	66 000	66 000	–	–	66 000	<b>66 000</b>	<b>132 000</b>
1205 Consultants – capacity-building and training (BC, RC, SC)		60 000	71 000	55 000	186 000	55 000	69 000	60 000	<b>184 000</b>	<b>370 000</b>
1206 Consultants – partnerships		100 000	20 000	20 000	140 000	80 000	–	–	<b>80 000</b>	<b>220 000</b>
1207 Consultants – technical guidelines		80 000	–	80 000	160 000	40 000	–	40 000	<b>80 000</b>	<b>240 000</b>
Consultants – technical guidelines (E-waste)		30 000	–	–	30 000	–	–	–	<b>30 000</b>	<b>30 000</b>
Consultants – IMO		70 000	–	–	70 000	–	–	–	<b>70 000</b>	<b>70 000</b>
1208 Consultants – scientific support to RC		–	8 000	–	8 000	–	8 000	–	<b>8 000</b>	<b>16 000</b>
1209 Consultants – scientific support to SC		–	–	125 000	125 000	–	–	72 000	<b>72 000</b>	<b>197 000</b>
1210 Consultants – support development and maintenance of the reporting tools		20 000	–	20 000	40 000	17 000	–	17 000	<b>34 000</b>	<b>74 000</b>
1211 Consultants – outreach and public awareness		21 000	21 000	22 000	64 000	15 000	15 000	15 000	<b>45 000</b>	<b>109 000</b>
1212 Consultants – clearing-house mechanism		–	–	–	–	–	–	–	<b>–</b>	<b>–</b>
1213 Consultants – CLI related activities		150 000	–	–	150 000	150 000	–	–	<b>150 000</b>	<b>300 000</b>
<b>1299 Total</b>		<b>631 000</b>	<b>289 000</b>	<b>418 000</b>	<b>1 338 000</b>	<b>474 500</b>	<b>265 500</b>	<b>305 000</b>	<b>1 045 000</b>	<b>2 383 000</b>

		2014				2015				2014-2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
<b>13</b>	<b>Administrative support</b>									
<b>1300</b>	<b>General Service staff</b>									
1301	GTA Conference Clerk G-4	–	136 300	–	–	–	141 752	–	–	–
1302	GTA Public Information Clerk G-4	–	136 300	–	–	–	141 752	–	–	–
	<i>Subtotal Rotterdam Convention staff</i>	–	<b>272 600</b>	–	<b>272 600</b>	–	<b>283 504</b>	–	<b>283 504</b>	<b>556 104</b>
1301	GTA Programme Clerk G-4	–	–	136 300	–	–	–	141 752	–	–
	<i>Subtotal Stockholm Convention staff</i>	–	–	<b>136 300</b>	<b>136 300</b>	–	–	<b>141 752</b>	<b>141 752</b>	<b>278 052</b>
	<i>General Service staff subtotal</i>	–	<b>272 600</b>	<b>136 300</b>	<b>408 900</b>	–	<b>283 504</b>	<b>141 752</b>	<b>425 256</b>	<b>834 156</b>
<b>1330</b>	<b>Conference servicing</b>									
1321	Conference servicing (regional centres)	–	–	–	–	10 000	10 000	10 000	<b>30 000</b>	<b>30 000</b>
	<i>Conference servicing subtotal</i>	–	–	–	–	<b>10 000</b>	<b>10 000</b>	<b>10 000</b>	<b>30 000</b>	<b>30 000</b>
<b>1399</b>	<b>Total</b>	–	<b>272 600</b>	<b>136 300</b>	<b>408 900</b>	<b>10 000</b>	<b>293 504</b>	<b>151 752</b>	<b>455 256</b>	<b>864 156</b>
<b>1600</b>	<b>Travel on official business</b>									
	Staff travel – orientation workshop for members of the Chemical Review Committee	–	3 000	–	3 000	–	–	–	–	<b>3 000</b>
1601	Staff travel – capacity-building and training (BC)	30 000	–	–	30 000	50 000	–	–	50 000	<b>80 000</b>
1602	Staff travel – capacity-building and training (RC)	–	113 500	–	113 500	–	123 500	–	123 500	<b>237 000</b>
1603	Staff travel – capacity-building and training (SC)	–	–	37 500	37 500	–	–	37 500	37 500	<b>75 000</b>
1604	Staff travel – capacity-building and training (BC, RC, SC)	30 000	40 500	25 000	95 500	30 000	32 000	30 000	92 000	<b>187 500</b>
1605	Staff travel – regional centres	5 000	5 000	5 000	15 000	5 000	5 000	5 000	15 000	<b>30 000</b>
1606	Staff travel – scientific support to the Basel Convention	20 000	–	–	20 000	20 000	–	–	20 000	<b>40 000</b>
1607	Staff travel – joint communication, outreach and public awareness	2 400	2 400	2 400	7 200	500	500	600	1 600	<b>8 800</b>
1608	Staff travel – clearing-house mechanism	–	–	–	–	–	–	–	–	–
1609	Staff travel to meetings of enforcement partners	15 000	–	–	15 000	15 000	–	–	15 000	<b>30 000</b>
<b>1699</b>	<b>Total</b>	<b>102 400</b>	<b>164 400</b>	<b>69 900</b>	<b>336 700</b>	<b>120 500</b>	<b>161 000</b>	<b>73 100</b>	<b>354 600</b>	<b>691 300</b>
<b>1999</b>	<b>Component total</b>	<b>1 094 000</b>	<b>906 300</b>	<b>1 525 700</b>	<b>3 526 000</b>	<b>980 024</b>	<b>907 516</b>	<b>1 467 412</b>	<b>3 354 952</b>	<b>6 880 952</b>
<b>20</b>	<b>Subcontract component</b>									
<b>2200</b>	<b>Subcontracts</b>									
2201	Development of tools and methodologies	130 000	130 000	125 000	385 000	45 000	45 000	45 000	135 000	<b>520 000</b>
2202	Capacity-building and training (BC)	20 000	–	–	20 000	20 000	–	–	20 000	<b>40 000</b>
2203	Capacity-building and training (RC)	–	10 000	–	10 000	–	10 000	–	10 000	<b>20 000</b>
2204	Capacity-building and training (BC, RC, SC)	40 000	40 000	40 000	120 000	60 000	60 000	60 000	180 000	<b>300 000</b>
2205	Partnerships	110 000	10 000	10 000	130 000	10 000	10 000	10 000	30 000	<b>160 000</b>
2206	Pilot joint activities (regional centres)	35 000	30 000	35 000	100 000	35 000	30 000	35 000	100 000	<b>200 000</b>
2207	Global Monitoring Plan	–	–	300 000	300 000	–	–	100 000	100 000	<b>400 000</b>
2208	Work programme of the Implementation and Compliance Committee	60 000	–	–	60 000	60 000	–	–	60 000	<b>120 000</b>
2209	Implementation Fund	50 000	–	–	50 000	50 000	–	–	50 000	<b>100 000</b>
2210	Transmission of information pursuant to Articles 3, 4 (1), 11 and 13 (2) of the Basel Convention	35 000	–	–	35 000	35 000	–	–	35 000	<b>70 000</b>
2211	CAPCIT related activities	60 000	–	–	60 000	60 000	–	–	60 000	<b>120 000</b>
2212	Clearing-house mechanism	–	–	–	–	–	–	–	–	–
	Emergency mechanism	–	–	–	–	–	–	–	–	–
<b>2199</b>	<b>Total</b>	<b>540 000</b>	<b>220 000</b>	<b>510 000</b>	<b>1 270 000</b>	<b>375 000</b>	<b>155 000</b>	<b>250 000</b>	<b>780 000</b>	<b>2 050 000</b>
<b>2999</b>	<b>Component total</b>	<b>540 000</b>	<b>220 000</b>	<b>510 000</b>	<b>1 270 000</b>	<b>375 000</b>	<b>155 000</b>	<b>250 000</b>	<b>780 000</b>	<b>2 050 000</b>

		2014				2015				2014-2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
<b>30 Training component</b>										
<b>3200 Training</b>										
3201	Training and capacity-building (BC)	270 000	—	—	270 000	450 000	—	—	450 000	720 000
3202	Training and workshops (RC)	—	546 500	—	546 500	—	731 500	—	731 500	1 278 000
3203	Training and workshops (SC)	—	—	602 000	602 000	—	—	489 000	489 000	1 091 000
3204	Training and workshops (BC, RC, SC)	85 000	225 000	150 000	460 000	150 000	190 000	166 000	506 000	966 000
3205	Workshops (partnerships)	20 000	—	—	20 000	20 000	—	—	20 000	40 000
3206	Workshops (Global Monitoring Plan)	—	—	60 000	60 000	—	—	60 000	60 000	120 000
3207	Clearing-house mechanism	—	—	—	—	—	—	—	—	—
3208	Outreach and public awareness	200	200	200	600	200	200	200	600	1 200
3209	Webinars	10 500	10 500	10 500	31 500	10 500	10 500	10 500	31 500	63 000
3210	Video training	130 000	130 000	130 000	390 000	15 000	15 000	15 000	45 000	435 000
<b>3299 Total</b>		<b>515 700</b>	<b>912 200</b>	<b>952 700</b>	<b>2 380 600</b>	<b>645 700</b>	<b>947 200</b>	<b>740 700</b>	<b>2 333 600</b>	<b>4 714 200</b>
<b>3300 Meetings: participants travel and DSA</b>										
3301	Conference of the Parties to the Basel Convention	—	—	—	—	820 400	—	—	820 400	820 400
3302	Open-ended Working Group of the Basel Convention	545 904	—	—	545 904	—	—	—	—	545 904
3303	Implementation and Compliance Committee	13 785	—	—	13 785	—	—	—	—	13 785
3304	Meeting of CAPCIT members	80 000	—	—	80 000	—	—	—	—	80 000
	Technical expert group	80 000	—	—	80 000	—	—	—	—	80 000
3305	Conference of the Parties to the Stockholm Convention	—	—	—	—	—	—	820 400	820 400	820 400
3306	Persistent Organic Pollutants Review Committee	—	—	24 260	24 260	—	—	77 632	77 632	101 892
3307	Expert group meetings (SC)	—	—	40 000	40 000	—	—	60 000	60 000	100 000
3316	Implementation and Compliance Committee	—	—	13 785	13 785	—	—	—	—	13 785
3308	Conference of the Parties to the Rotterdam Convention	—	—	—	—	—	820 400	—	820 400	820 400
3309	Orientation workshop for members of Chemical Review Committee	—	55 140	—	55 140	—	—	—	—	55 140
3310	Meetings: training and capacity-building (RC)	—	414 000	—	414 000	—	433 000	—	433 000	847 000
3317	Implementation and Compliance Committee	—	13 785	—	13 785	—	—	—	—	13 785
3311	Meeting of subsidiary bodies of the three conventions (Open-ended Working Group, Persistent Organic Pollutants Review Committee and Chemical Review Committee)	8 000	8 000	4 000	20 000	—	—	—	—	20 000
3312	Meetings: training and capacity-building (BC, RC, SC)	—	71 500	—	71 500	—	44 500	—	44 500	116 000
3313	Partnerships	147 500	70 000	77 500	295 000	145 500	69 000	75 500	290 000	585 000
3314	Joint meetings of Basel and Stockholm regional centres	35 000	—	38 500	73 500	34 650	—	34 650	69 300	142 800
3315	Outreach and public awareness	5 400	5 400	5 400	16 200	14 500	14 500	14 500	43 500	59 700
<b>3399 Total</b>		<b>915 589</b>	<b>637 825</b>	<b>203 445</b>	<b>1 756 859</b>	<b>1 015 050</b>	<b>1 381 400</b>	<b>1 082 682</b>	<b>3 479 132</b>	<b>5 235 991</b>
<b>3999 Component total</b>		<b>1 431 289</b>	<b>1 550 025</b>	<b>1 156 145</b>	<b>4 137 459</b>	<b>1 660 750</b>	<b>2 328 600</b>	<b>1 823 382</b>	<b>5 812 732</b>	<b>9 950 191</b>
<b>50 Miscellaneous component</b>										
<b>5200 Reporting costs</b>										
5201	Printing/translation (methodologies and tools for training)	18 000	18 000	21 500	57 500	48 000	48 000	51 500	147 500	205 000
5202	Information/public awareness materials (technical assistance)	4 000	4 000	4 000	12 000	4 000	4 000	4 000	12 000	24 000
5203	Information/public awareness materials (capacity-building (BC))	30 000	—	—	30 000	30 000	—	—	30 000	60 000
5204	Information/public awareness materials (capacity-building (RC))	—	59 000	—	59 000	—	62 000	—	62 000	121 000

		2014				2015				2014–2015 Total
		BD	RV	SV	Total	BD	RV	SV	Total	1
5205	Information/public awareness materials (capacity-building (SC))	–	–	30 000	30 000	–	–	30 000	30 000	60 000
5206	Information/public awareness materials (capacity-building BC, RC, SC)	21 000	24 000	24 000	69 000	21 000	23 000	21 000	65 000	134 000
5207	Information/public awareness materials (partnerships)	5 000	–	–	5 000	27 000	1 000	2 000	30 000	35 000
5208	Information/public awareness materials (regional centres)	15 000	13 000	15 000	43 000	15 000	13 000	15 000	43 000	86 000
5209	Translation and e-publishing of technical guidelines	10 000	–	10 000	20 000	25 000	–	25 000	50 000	70 000
5210	Translation of notifications	–	7 500	–	7 500	–	7 500	–	7 500	15 000
5211	Translation/layout/editing (scientific support (SC))	–	–	25 000	25 000	–	–	5 000	5 000	30 000
5212	Translation of national reports on Basel Convention and Stockholm Convention reporting formats	25 000	–	10 000	35 000	25 000	–	10 000	35 000	70 000
5213	Printing/translation (clearing-house mechanism)	–	–	–	–	–	–	–	–	–
5214	Translation/design/printing (publication related to cooperation between the Basel Convention and the International Maritime Organization)	10 000	–	–	10 000	10 000	–	–	10 000	20 000
5215	Information/public awareness materials (resource mobilization)	1 000	1 000	1 000	3 000	1 000	1 000	1 000	3 000	6 000
5299	<b>Total</b>	<b>139 000</b>	<b>126 500</b>	<b>140 500</b>	<b>406 000</b>	<b>206 000</b>	<b>159 500</b>	<b>164 500</b>	<b>530 000</b>	<b>936 000</b>
5300	<b>Sundry</b>									
5301	Other expenses (capacity-building (RC))	–	23 500	–	23 500	–	24 500	–	24 500	48 000
5302	Other expenses (capacity-building (BC, RC, SC))	–	1 500	–	1 500	–	1 000	–	1 000	2 500
5399	<b>Total</b>	<b>–</b>	<b>25 000</b>	<b>–</b>	<b>25 000</b>	<b>–</b>	<b>25 500</b>	<b>–</b>	<b>25 500</b>	<b>50 500</b>
5999	<b>Component total</b>	<b>139 000</b>	<b>151 500</b>	<b>140 500</b>	<b>431 000</b>	<b>206 000</b>	<b>185 000</b>	<b>164 500</b>	<b>555 500</b>	<b>986 500</b>
<b>Direct project cost operational budget</b>		<b>3 204 289</b>	<b>2 827 825</b>	<b>3 332 345</b>	<b>9 364 459</b>	<b>3 221 774</b>	<b>3 576 116</b>	<b>3 705 294</b>	<b>10 503 184</b>	<b>19 867 643</b>
<b>UNEP programme support costs 13%</b>		<b>416 558</b>	<b>367 617</b>	<b>433 205</b>	<b>1 217 380</b>	<b>418 831</b>	<b>464 895</b>	<b>481 688</b>	<b>1 365 414</b>	<b>2 582 794</b>
<b>Total operational budget</b>		<b>3 620 847</b>	<b>3 195 442</b>	<b>3 765 550</b>	<b>10 581 839</b>	<b>3 640 605</b>	<b>4 041 011</b>	<b>4 186 982</b>	<b>11 868 598</b>	<b>22 450 437</b>

Basel Convention Technical Cooperation Trust Fund (BD)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	5 147 828	5 341 058	10 488 886			
Programme requirements for the biennium 2014–2015				3 620 847	3 640 605	7 261 451
Approved average annual budget for the biennium 2012–2013			5 244 443			
Proposed average annual budget for the biennium 2014–2015						3 630 726
<b>Decrease in the average annual budget</b>						<b>30.77%</b>

Special Trust Fund for the Rotterdam Convention (RV)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	1 983 150	2 058 295	4 041 445			
Programme requirements for the biennium 2014–2015				3 195 442	4 041 011	7 236 453
Approved average annual budget for the biennium 2012–2013			2 020 723			
Proposed average annual budget for the biennium 2014–2015						3 618 227
<b>Increase in the average annual budget</b>						<b>79.06%</b>

Special Trust Fund for the Stockholm Convention (SV)	2012	2013	2012–2013 Total	2014	2015	2014–2015 Total
Programme requirements approved for the biennium 2012–2013	4 750 520	4 287 220	9 037 740			
Programme requirements for the biennium 2014–2015				3 765 550	4 186 982	7 952 532
Approved average annual budget for the biennium 2012–2013			4 518 870			
Proposed average annual budget for the biennium 2014–2015						3 976 266
<b>Increase in the average annual budget</b>						<b>-12.01%</b>

Table 4

**D. Indicative scale of assessments for the General Trust Fund for Basel (BC) for the operational budget for the biennium 2014-2015 (in United States dollars)**

**Portion of operational budget to be covered by assessed contributions:**

<b>2014</b>	<b>4 872 308</b>
<b>2015</b>	<b>4 838 057</b>

	Party	United Nations scale of assessment 2013**	Adjusted scale of contributions with 22 per cent ceiling and no least developed country paying more than 0.01 per cent	Assessed contributions to be covered by the parties 2014	Assessed contributions to be covered by the parties 2015
No.		Percentage	Percentage	United States dollars	United States dollars
1	Afghanistan***	0.005	0.0063	305	303
2	Albania	0.010	0.0125	609	605
3	Algeria	0.137	0.1713	8 349	8 290
4	Andorra	0.008	0.0100	488	484
5	Antigua and Barbuda	0.002	0.0025	122	121
6	Argentina	0.432	0.5403	26 327	26 142
7	Armenia	0.007	0.0088	427	424
8	Australia	2.074	2.5939	126 394	125 505
9	Austria	0.798	0.9981	48 632	48 290
10	Azerbaijan	0.040	0.0500	2 438	2 421
11	Bahamas	0.017	0.0213	1 036	1 029
12	Bahrain	0.039	0.0488	2 377	2 360
13	Bangladesh	0.010	0.0100	487	484
14	Barbados	0.008	0.0100	488	484
15	Belarus	0.056	0.0700	3 413	3 389
16	Belgium	0.998	1.2482	60 820	60 393
17	Belize	0.001	0.0013	61	61
18	Benin	0.003	0.0038	183	182
19	Bhutan	0.001	0.0013	61	61
20	Bolivia (Plurinational State of)	0.009	0.0113	548	545
21	Bosnia and Herzegovina	0.017	0.0213	1 036	1 029
22	Botswana	0.017	0.0213	1 036	1 029
23	Brazil	2.934	3.6695	178 804	177 547
24	Brunei Darussalam	0.026	0.0325	1 584	1 573
25	Bulgaria	0.047	0.0588	2 864	2 844
26	Burkina Faso	0.003	0.0038	183	182
27	Burundi	0.001	0.0013	61	61
28	Cambodia	0.004	0.0050	244	242
29	Cameroon	0.012	0.0150	731	726
30	Canada	2.984	3.7321	181 851	180 573
31	Cape Verde	0.001	0.0013	61	61
32	Chad	0.002	0.0025	122	121
33	Central African Republic	0.001	0.0013	61	61
34	Chile	0.334	0.4177	20 355	20 212
35	China	5.148	6.4385	313 730	311 524
36	Colombia	0.259	0.3239	15 784	15 673
37	Comoros	0.001	0.0013	61	61
38	Congo	0.005	0.0063	305	303
39	Cook Islands	0.001	0.0013	61	61
40	Costa Rica	0.038	0.0475	2 316	2 300
41	Côte d'Ivoire	0.011	0.0138	670	666
42	Croatia	0.126	0.1576	7 679	7 625
43	Cuba	0.069	0.0863	4 205	4 175
44	Cyprus	0.047	0.0588	2 864	2 844
45	Czech Republic	0.386	0.4828	23 524	23 358
46	Democratic People's Republic of Korea	0.006	0.0075	366	363
47	Democratic Republic of the Congo	0.003	0.0038	183	182
48	Denmark	0.675	0.8442	41 136	40 847
49	Djibouti	0.001	0.0013	61	61
50	Dominica	0.001	0.0013	61	61
51	Dominican Republic	0.045	0.0563	2 742	2 723
52	Ecuador	0.044	0.0550	2 681	2 663
53	Egypt	0.134	0.1676	8 166	8 109
54	El Salvador	0.016	0.0200	975	968
55	Equatorial Guinea	0.010	0.0100	487	484
56	Eritrea	0.001	0.0013	61	61

	Party	United Nations scale of assessment 2013**	Adjusted scale of contributions with 22 per cent ceiling and no least developed country paying more than 0.01 per cent	Assessed contributions to be covered by the parties 2014	Assessed contributions to be covered by the parties 2015
No.		Percentage	Percentage	United States dollars	United States dollars
57	Estonia	0.040	0.0500	2 438	2 421
58	Ethiopia	0.010	0.0125	609	605
59	Finland	0.519	0.6491	31 629	31 407
60	France	5.593	6.9951	340 849	338 453
61	Gabon	0.020	0.0250	1 219	1 210
62	Gambia	0.001	0.0013	61	61
63	Georgia	0.007	0.0088	427	424
64	Germany	7.141	8.9312	435 187	432 128
65	Ghana	0.014	0.0175	853	847
66	Greece	0.638	0.7979	38 881	38 608
67	Guatemala	0.027	0.0338	1 645	1 634
68	Guinea	0.001	0.0013	61	61
69	Guinea-Bissau	0.001	0.0013	61	61
70	Guyana	0.001	0.0013	61	61
71	Honduras	0.008	0.0100	488	484
72	Hungary	0.266	0.3327	16 211	16 097
73	Iceland	0.027	0.0338	1 645	1 634
74	India	0.666	0.8330	40 587	40 302
75	Indonesia	0.346	0.4327	21 086	20 938
76	Iran (Islamic Republic of)	0.356	0.4452	21 695	21 543
77	Iraq	0.068	0.0850	4 144	4 115
78	Ireland	0.418	0.5228	25 474	25 295
79	Israel	0.396	0.4953	24 133	23 963
80	Italy	4.448	5.5631	271 070	269 165
81	Jamaica	0.011	0.0138	670	666
82	Japan	10.833	13.5487	660 185	655 544
83	Jordan	0.022	0.0275	1 341	1 331
84	Kazakhstan	0.121	0.1513	7 374	7 322
85	Kenya	0.013	0.0163	792	787
86	Kiribati	0.001	0.0013	61	61
87	Kuwait	0.273	0.3414	16 637	16 520
88	Kyrgyzstan	0.002	0.0025	122	121
89	Lao People's Democratic Republic	0.002	0.0025	122	121
90	Latvia	0.047	0.0588	2 864	2 844
91	Lebanon	0.042	0.0525	2 560	2 542
92	Lesotho	0.001	0.0013	61	61
93	Liberia	0.001	0.0013	61	61
94	Libya	0.142	0.1776	8 654	8 593
95	Liechtenstein	0.009	0.0113	548	545
96	Lithuania	0.073	0.0913	4 449	4 417
97	Luxembourg	0.081	0.1013	4 936	4 902
98	Madagascar	0.003	0.0038	183	182
99	Malawi	0.002	0.0025	122	121
100	Malaysia	0.281	0.3514	17 125	17 004
101	Maldives	0.001	0.0013	61	61
102	Mali	0.004	0.0050	244	242
103	Malta	0.016	0.0200	975	968
104	Marshall Islands	0.001	0.0013	61	61
105	Mauritania	0.002	0.0025	122	121
106	Mauritius	0.013	0.0163	792	787
107	Mexico	1.842	2.3038	112 255	111 466
108	Micronesia (Federated States of )	0.001	0.0013	61	61
109	Monaco	0.012	0.0150	731	726
110	Mongolia	0.003	0.0038	183	182
111	Montenegro	0.005	0.0063	305	303
112	Morocco	0.062	0.0775	3 778	3 752
113	Mozambique	0.003	0.0038	183	182
114	Namibia	0.010	0.0125	609	605
115	Nauru	0.001	0.0013	61	61
116	Nepal	0.006	0.0075	366	363
117	Netherlands	1.654	2.0686	100 798	100 090
118	New Zealand	0.253	0.3164	15 418	15 310
119	Nicaragua	0.003	0.0038	183	182
120	Niger	0.002	0.0025	122	121
121	Nigeria	0.090	0.1126	5 485	5 446
122	Norway	0.851	1.0643	51 862	51 497
123	Oman	0.102	0.1276	6 216	6 172
124	Pakistan	0.085	0.1063	5 180	5 144



	Party	United Nations scale of assessment 2013**	Adjusted scale of contributions with 22 per cent ceiling and no least developed country paying more than 0.01 per cent	Assessed contributions to be covered by the parties 2014	Assessed contributions to be covered by the parties 2015
No.		Percentage	Percentage	United States dollars	United States dollars
125	Palau	0.001	0.0013	61	61
126	Panama	0.026	0.0325	1 584	1 573
127	Papua New Guinea	0.004	0.0050	244	242
128	Paraguay	0.010	0.0125	609	605
129	Peru	0.117	0.1463	7 130	7 080
130	Philippines	0.154	0.1926	9 385	9 319
131	Poland	0.921	1.1519	56 128	55 733
132	Portugal	0.474	0.5928	28 887	28 683
133	Qatar	0.209	0.2614	12 737	12 647
134	Republic of Korea	1.994	2.4939	121 518	120 664
135	Republic of Moldova	0.003	0.0038	183	182
136	Romania	0.226	0.2827	13 773	13 676
137	Russian Federation	2.438	3.0492	148 577	147 532
138	Rwanda	0.002	0.0025	122	121
139	Saint Kitts and Nevis	0.001	0.0013	61	61
140	Saint Lucia	0.001	0.0013	61	61
141	Saint Vincent and the Grenadines	0.001	0.0013	61	61
142	Saudi Arabia	0.864	1.0806	52 654	52 284
143	Samoa	0.001	0.0013	61	61
144	Senegal	0.006	0.0075	366	363
145	Serbia	0.040	0.0500	2 438	2 421
146	Seychelles	0.001	0.0013	61	61
147	Singapore	0.384	0.4803	23 402	23 237
148	Slovakia	0.171	0.2139	10 421	10 348
149	Slovenia	0.100	0.1251	6 094	6 051
150	Somalia	0.001	0.0013	61	61
151	South Africa	0.372	0.4653	22 670	22 511
152	Spain	2.973	3.7183	181 181	179 907
153	Sri Lanka	0.025	0.0313	1 524	1 513
154	Sudan	0.010	0.0100	487	484
155	Suriname	0.004	0.0050	244	242
156	Swaziland	0.003	0.0038	183	182
157	Sweden	0.960	1.2007	58 504	58 093
158	Switzerland	1.047	1.3095	63 806	63 358
159	Syrian Arab Republic	0.036	0.0450	2 194	2 178
160	Thailand	0.239	0.2989	14 565	14 463
161	The former Yugoslav Republic of Macedonia	0.008	0.0100	488	484
162	Togo	0.001	0.0013	61	61
163	Tonga	0.001	0.0013	61	61
164	Trinidad and Tobago	0.044	0.0550	2 681	2 663
165	Tunisia	0.036	0.0450	2 194	2 178
166	Turkey	1.328	1.6609	80 931	80 362
167	Turkmenistan	0.019	0.0238	1 158	1 150
168	Uganda	0.006	0.0075	366	363
169	Ukraine	0.099	0.1238	6 033	5 991
170	United Arab Emirates	0.595	0.7442	36 261	36 006
171	United Kingdom of Great Britain and Northern Ireland	5.179	6.4773	315 619	313 400
172	United Republic of Tanzania	0.009	0.0113	548	545
173	Uruguay	0.052	0.0650	3 169	3 147
174	Uzbekistan	0.015	0.0188	914	908
175	Venezuela (Bolivarian Republic of)	0.627	0.7842	38 211	37 942
176	Viet Nam	0.042	0.0525	2 560	2 542
177	Yemen	0.010	0.0125	609	605
178	Zambia	0.006	0.0075	366	363
179	Zimbabwe*	0.002	0.0025	122	121
180	European Community	2.500	2.5000	121 817	120 961
	<b>Total</b>	<b>80</b>	<b>100</b>	<b>4 872 308</b>	<b>4 838 057</b>

\* New parties that have ratified the Convention.

\*\* United Nations scale of assessments for the 2014–2015 period as per resolution 67/238 adopted at the sixty-seventh session of the General Assembly on 24 December 2012.

\*\*\* New parties that have ratified the Convention after posting of programme of work document in 2013.

**Table 5****E. Indicative staffing table for the Secretariat for the biennium 2014–2015****Funded from the general trust funds (used for costing purposes)**

Staff category and level	Approved 2012–2013 Basel	Approved 2012–2013 Rotterdam			Approved 2012–2013 Stockholm	Total approved 2012–2013 BRS	Total proposed 2014–2015 BRS	Remarks
		FAO	UNEP	Total				
<b>A. Professional category</b>								
D-2	–	–	–	–	–	–	1.25	1)
D-1	1.00	0.25	0.25	0.50	0.75	2.25	1.00	
P-5	3.00	1.00	1.00	2.00	3.00	8.00	8.00	2)
P-4	3.00	1.00	1.50	2.50	3.00	8.50	9.00	3)
P-3	3.00	3.00	4.00	7.00	6.25	16.25	15.00	
P-2	2.00	1.00	1.00	2.00	–	4.00	4.00	
<i>Subtotal A:</i>	<i>12.00</i>	<i>6.25</i>	<i>7.75</i>	<i>14.00</i>	<i>13.00</i>	<i>39.00</i>	<i>38.25</i>	
<b>B. General Service category</b>								
GS	7.00	1.25	4.50	5.75	8.00	20.75	21.25	4)
<i>Subtotal B:</i>	<i>7.00</i>	<i>1.25</i>	<i>4.50</i>	<i>5.75</i>	<i>8.00</i>	<i>20.75</i>	<i>21.25</i>	
<b>Total (A+B):</b>	<b>19.00</b>	<b>7.50</b>	<b>12.25</b>	<b>19.75</b>	<b>21.00</b>	<b>59.75</b>	<b>59.50</b>	

Note.

1. The in-kind contribution from FAO reflects the upgrade of 0.25 D-1 to 0.25 D-2.

2. One P-5 retiring July 2014 (RC), one P-5 retiring October 2015 (BC), one P-5 retiring July 2017 (BC) and one P-5 retiring December 2017 (BC).

3. Two administrative officers funded via programme support costs (1 BC, 0.5 RC and 0.5 SC).

4. One GS retiring July 2014 (BC) and one GS retiring September 2015 (SC). Five GS positions funded from the programme support costs.

**Funded from the voluntary special/technical cooperation trust funds (used for costing purposes)**

Staff category and level	Approved 2012–2013 BRS	Total proposed 2014–2015 BRS
<b>A. Professional category</b>		
D-2	–	–
D-1	–	–
P-5	–	–
P-4	–	–
P-3	–	8.00
P-2	–	–
<i>Subtotal A:</i>	<i>–</i>	<i>8.00</i>
<b>B. General Service category</b>		
GS	–	3.00
<i>Subtotal B:</i>	<i>–</i>	<i>3.00</i>
<b>Total (A+B):</b>	<b>–</b>	<b>11.00</b>

## Standard amounts used for calculating salary costs for Geneva and Rome for the biennium 2014–2015 (in United States dollars)

### Duty station: Geneva

Staff category and level		2012	2013	2014*	2015**
<b>A.</b>	<b>Professional category</b>				
	D-2	297 336	309 400	309 400	321 776
	D-1	273 416	288 500	288 500	300 040
	P-5	244 088	254 800	254 800	264 992
	P-4	206 336	216 400	216 400	225 056
	P-3	172 432	180 300	180 300	187 512
	P-2	135 928	144 800	144 800	150 592
<b>B.</b>	<b>General Service category</b>				
	GS-6	162 240	170 400	170 400	177 216
	GS-5	125 216	136 300	136 300	141 752

\* United Nations standard salary costs for Geneva for the year 2013 were used to calculate the staff costs in 2014 (United Nations standard salary costs version 21 dated 17 January 2013).

\*\* Staff costs for 2015 were estimated by using the figure for 2014 plus 4 per cent.

### Duty station: Rome

Staff category and level		2012	2013	2014*	2015**
<b>A.</b>	<b>Professional category</b>				
	D-2	278 796	289 948	289 948	301 546
	D-1	264 036	274 597	274 597	285 581
	P-5	229 664	238 851	238 851	248 405
	P-4	200 220	208 229	208 229	216 558
	P-3	159 828	166 221	166 221	172 870
	P-2	120 564	125 387	125 387	130 402
<b>B.</b>	<b>General Service category</b>				
	GS-5	114 912	119 508	119 508	124 289

\* FAO standard salary costs for Rome for the year 2012 (version June 2012) were used to calculate the staff costs in 2014.

\*\* Staff costs for 2015 were estimated by using the figure for 2014 plus 4 per cent.

## Annex II

### List of pre-session documents organized by agenda item

#### Item 2: Adoption of the agenda

UNEP/CHW.11/1 Provisional agenda

#### Item 3: Organizational matters

##### (a) Election of officers

UNEP/CHW.11/2 Election of officers

##### (b) Organization of work

UNEP/CHW.11/1/Add.1 Annotations to the provisional agenda

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/1/Rev.1

Scenario note for the ordinary and simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/2/Rev.1

Tentative schedule of work for the ordinary and simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/3 Information on the high-level segment of the ordinary and simultaneous extraordinary meetings of the conferences of the parties to the Basel, Rotterdam and Stockholm conventions

UNEP/CHW.11/INF/1 Provisional list of meeting documents organized by provisional agenda item and by document symbol

##### (c) Report on the credentials of representatives to the eleventh meeting of the Conference of the Parties

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/15 Status of ratification of the Basel, Rotterdam and Stockholm conventions

#### Item 4: Matters related to the implementation of the Convention

##### (a) Strategic issues:

##### (i) Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention

UNEP/CHW.11/3 Follow-up to the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention

UNEP/CHW.11/3/Add.1/Rev.1 Draft framework for the environmentally sound management of hazardous wastes and other wastes

UNEP/CHW.11/3/Add.2 Providing further legal clarity: draft glossary of certain terms

UNEP/CHW.11/INF/2 Report on the implementation of the Basel Convention as it relates to the interpretation of certain terminology

	UNEP/CHW.11/INF/3	Study on used and end-of-life goods
	UNEP/CHW.11/INF/4	Providing further legal clarity: comments on the draft glossary of certain terms
	UNEP/CHW.11/INF/5	Comments on options for the interpretation of terms
	UNEP/CHW.11/INF/34	Communication from the United Nations Office of Legal Affairs on the number of parties to the Basel Convention at the time of adoption of the Ban Amendment
<b>(ii)</b>	<b>Strategic framework</b>	
	UNEP/CHW.11/4	Report on progress on the implementation of the Strategic Framework
	UNEP/CHW.11/INF/6	Report on the creation of a baseline for the mid-term and final evaluations of the strategic framework
<b>(b)</b>	<b>Scientific and technical matters:</b>	
<b>(i)</b>	<b>Technical guidelines</b>	
	UNEP/CHW.11/7	Technical guidelines
	UNEP/CHW.11/7/Add.1	Technical guidelines on transboundary movements of electronic and electrical waste (e-waste), in particular regarding the distinction between waste and non-waste
	UNEP/CHW.11/INF/16	The experience of parties in using technical guidelines for the environmentally sound management of used tyres, of wastes consisting of elemental mercury and wastes containing or contaminated with mercury and of co-processing of hazardous waste in cement kilns
	UNEP/CHW.11/INF/33	Progress report on the implementation of the programme of work for the development, review and updating of technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants
<b>(ii)</b>	<b>Amendments to the annexes to the Basel Convention</b>	
	UNEP/CHW.11/8	Applications for new entries to Annex IX to the Basel Convention
	UNEP/CHW.11/INF/17	Comments received from parties on applications for new entries to Annex IX to the Basel Convention
<b>(iii)</b>	<b>Classification and hazard characterization of wastes</b>	
	UNEP/CHW.11/9	Classification and hazard characterization of wastes: review of cooperation with the World Customs Organization and its Harmonized System Committee
<b>(iv)</b>	<b>National reporting</b>	
	UNEP/CHW.11/13	National reporting
	UNEP/CHW.11/INF/19	Additional information on national reporting

- (c) **Legal, compliance and governance matters:**
- (i) **Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention**
- UNEP/CHW.11/10 Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention
- UNEP/CHW.11/10/Add.1 Terms of reference for cooperative arrangements on preventing and combating illegal traffic
- UNEP/CHW.11/11 Membership of the Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention
- UNEP/CHW.11/INF/14 Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention: classification and publication of parties' individual compliance performance with regard to the annual reporting obligation
- UNEP/CHW.11/INF/18 Committee for Administering the Mechanism for Promoting Implementation and Compliance of the Basel Convention: selected documents
- (ii) **National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic**
- UNEP/CHW.11/12 National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic
- (d) **Technical assistance:**
- (i) **Capacity-building**
- UNEP/CHW.11/15 Technical assistance and capacity-building for the implementation of the Basel Convention
- UNEP/CHW.11/INF/21 Programme for the delivery of technical assistance for the implementation of the Basel Convention
- UNEP/CHW.11/INF/31 Capacity-building and training activities organized by the Secretariat from May 2011 to December 2012
- UNEP/CHW.11/INF/32 Basel Convention capacity-building and training activities planned by the Secretariat for 2013
- (ii) **Basel Convention regional and coordinating centres**
- UNEP/CHW.11/5 Basel Convention regional and coordinating centres
- UNEP/CHW.11/5/Add.1 Process for evaluating the performance and sustainability of the Basel Convention regional and coordinating centres
- UNEP/CHW.11/INF/8 Basel Convention regional and coordinating centres: business plans for the biennium 2012–2013

	UNEP/CHW.11/INF/9	Activity reports for the period 2011–2012 by Basel Convention regional and coordinating centres
	UNEP/CHW.11/INF/10	Business plans for the biennium 2014–2015 by Basel Convention regional and coordinating centres
<b>(iii)</b>	<b>Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention</b>	
	UNEP/CHW.11/14	Implementation of decision V/32 on the enlargement of the scope of the Trust Fund to Assist Developing and Other Countries in Need of Technical Assistance in the Implementation of the Basel Convention
	UNEP/CHW.11/INF/20	Report on the implementation of decision V/32 in responding to emergency situations
<b>(e)</b>	<b>International cooperation, coordination and partnerships:</b>	
<b>(i)</b>	<b>Basel Convention Partnership Programme</b>	
	UNEP/CHW.11/6	Partnership for Action on Computing Equipment
	UNEP/CHW.11/6/Add.1/Rev.1	Revised guidance document on the environmentally sound management of used and end-of-life computing equipment
	UNEP/CHW.11/INF/11	Progress report by the co-chairs of the Partnership for Action on Computing Equipment Working Group
	UNEP/CHW.11/INF/12/Rev.1	Guideline on environmentally sound testing, refurbishment and repair of used computing equipment
	UNEP/CHW.11/INF/13/Rev.1	Guideline on environmentally sound material recovery and recycling of end-of-life computing equipment
<b>(ii)</b>	<b>Environmentally sound dismantling of ships</b>	
	UNEP/CHW.11/16	Environmentally sound dismantling of ships
<b>(iii)</b>	<b>Cooperation with the International Maritime Organization</b>	
	UNEP/CHW.11/17	Cooperation between the Basel Convention and the International Maritime Organization
	UNEP/CHW.11/INF/22	Legal analysis of the application of the Basel Convention to hazardous and other wastes generated on board ships
	UNEP/CHW.11/INF/23	Comments from parties and others on the legal analysis of the application of the Basel Convention to hazardous and other wastes generated on board ships
<b>(iv)</b>	<b>Other international cooperation and coordination</b>	
	UNEP/CHW.11/18	International cooperation and coordination
	UNEP/CHW.11/INF/24	Report on international cooperation and coordination and on the Basel Convention Partnership Programme

**(f) Resource mobilization and financial resources**

UNEP/CHW.11/19	Implementation of the relevant decisions of the Conference of the Parties on resource mobilization and sustainable financing
UNEP/CHW.11/INF/25	Additional information on the implementation of the relevant decisions of the Conference of the Parties on resource mobilization and sustainable financing

**(g) Operations and work programme of the Open-ended Working Group for 2014–2015**

UNEP/CHW.11/20	Operations and work programme of the Open-ended Working Group for 2014–2015
UNEP/CHW.11/20/Add.1	Options for operations of the Open-ended Working Group

**Item 5: Programme of work of the Secretariat and adoption of the budget**

UNEP/FAO/CHW/RC/POPS/EXCOPS.2/3	Programmes of work and proposed budgets for the biennium 2014–2015: combined proposal, including joint activities
UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/11	Programmes of work and proposed budgets for the biennium 2014–2015
UNEP/FAO/CHW/RC/POPS/EXCOPS.2/INF/12	Programmes of work and proposed budgets for the biennium 2014–2015: budget activity fact sheets
UNEP/CHW.11/INF/7	Activities undertaken by the Secretariat pertaining to the Basel Convention from 1 October 2011 to 31 December 2012
UNEP/CHW.11/INF/26	Programme of work and proposed budget for the biennium 2014–2015: Basel Convention proposal, including joint activities
UNEP/CHW.11/INF/27	Information on financial matters
UNEP/CHW.11/INF/28	Implementation of the Basel Convention programme budget for 2012
UNEP/CHW.11/INF/29	Updated information on financial matters

**Item 7: Other matters**

UNEP/CHW.11/21	Official communications
UNEP/CHW.11/22	Admission of observers
UNEP/CHW.11/23	Draft memorandum of understanding between 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
UNEP/CHW.11/INF/15	Further development of the Basel Waste Solutions Circle
UNEP/CHW.11/INF/30/Rev.1	Admission of observers to meetings of the Conference of the Parties to the Basel Convention



UNEP/CHW.11/INF/35

Submission by the United Nations  
Environment Programme on a draft  
memorandum of understanding between 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

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