



Food and Agriculture  
Organization of the  
United Nations



BASEL CONVENTION



ROTTERDAM CONVENTION



STOCKHOLM CONVENTION

## BASEL, ROTTERDAM AND STOCKHOLM CONVENTIONS

### PROJECT CONCEPT NOTE

<b>CONVENTIONS :</b>		<b>PROJECT TITLE :</b>	
<input type="checkbox"/> BC <input type="checkbox"/> RC <input type="checkbox"/> SC <input checked="" type="checkbox"/> SYN		Enhancing national cooperation and coordination for the implementation of the Basel, Rotterdam and Stockholm Conventions as well as other relevant international agreements in the chemicals and waste cluster	
<b>FUNDING OPTIONS:</b>		<b>TYPE / LOCATION</b>	<b>TARGETED COUNTRIES:</b>
<input type="checkbox"/> Funding in full <input checked="" type="checkbox"/> Partial funding possible		<input type="checkbox"/> Global <input checked="" type="checkbox"/> Regional <input type="checkbox"/> National	Parties to the Basel, Rotterdam and Stockholm conventions
Project start date: <i>01/03/2016</i>		Project completion date: <i>31/12/2017</i>	Total duration: <i>22 months</i>
<b>LEGAL BASIS AND MANDATE</b>			
<p>Articles 16 and 19 of the Rotterdam Convention and Articles 12 and 20 of the Stockholm Convention and Articles 10 and 16 of the Basel Convention          Decisions BC-12/9, RC-7/7 and SC-7/16 on Technical Assistance          Programme of Work Activity 17 (S2/S3): Training and capacity building activities to enhance the implementation of the Basel, Rotterdam, Stockholm conventions at the regional and national levels          Programme of Work Activity 33 (S20): Legal and policy activities under the Basel, Rotterdam and Stockholm Conventions          Decisions BC-10/29, BC-10/2, BC-10/3, BC-10/13, BC-10/23, and BC-11/11 of the Basel Convention          Decision BC-12/8: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic          Decisions RC-5/12, RC-5/10, RC-5/14, and RC-6/11 of the Rotterdam Convention          Decision SC-5/27, SC-5/20, and SC-6/15 of the Stockholm Convention          Synergies decisions: IX/10, RC-4/11 and SC-4/34 (section I, part A, para 3 and 4)          Synergies decisions: BC-12/20, RC-7/10, SC-7/28.          Decisions BC-12/17, RC-7/9, and SC-7/27 on International cooperation and coordination</p>			
<b>BACKGROUND INFORMATION AND PROJECT JUSTIFICATION</b>			
<p>The decisions on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions by the three Conferences of the Parties (Basel COP9 decision IX/10, Rotterdam COP4 decision RC-4/11, Stockholm COP4 decision SC-4/34) recognized that the overarching goal of all three conventions is the protection of human health and the environment for the promotion of sustainable development and that the objective of enhanced coordination and cooperation among the three conventions is to contribute to the achievement of that goal. Furthermore the conferences of the parties highlighted their conviction that action taken to enhance coordination and cooperation should be aimed at strengthening implementation of the conventions at the national, regional and global levels. The activities will build on related past activities undertaken by the Secretariat. In September 2013 the secretariat organized a Regional Workshop on Enhancing National Cooperation and Coordination for the implementation of the Basel, Rotterdam and Stockholm conventions for Arab-speaking countries which was held in Nairobi, Kenya.</p> <p>Based on the needs assessment carried out in 2014, about 16 % of the parties to the Stockholm Convention and 17 % of the parties to the Rotterdam Convention indicated that national coordination and legal and institutional framework is a priority for the effective implementation of these conventions at the national level. Similarly, this is also important for the Basel Convention, particularly for African region.</p> <p>Effective national coordination for the implementation of the Basel, Rotterdam and Stockholm conventions also aims at benefitting coordinated efforts related to the early implementation of the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (SAICM). In 2015, parties requested the Secretariat to enhance cooperation and coordination within the chemicals and wastes cluster, in particular to facilitate activities at the regional and national levels that would support the implementation of the agreements in the cluster in areas of mutual interest. The activities will be geared toward fulfilling this mandate.</p> <p>The outcomes of the proposed activity will provide input to the implementation of the special programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and SAICM which seeks to, <i>inter alia</i>, facilitate multi-sectoral and multi-stakeholder cooperation and coordination at the national level.</p>			

## PROPOSED ACTIVITIES

- 1. Developing case studies on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM, with a focus on national institutional frameworks and coordination mechanisms and mainstreaming into the national sustainable development strategies.** Case studies will be collected to highlight successes and challenges, common approaches and co-benefits of coordinated implementation of the conventions in general and/or specific issues under the conventions. Particular attention will be given to national experiences of mainstreaming chemicals and waste into the national sustainable plans or strategies, including barriers faced and lessons learned. This experience will be timely as countries are revising their national sustainable development policies in light of the 2030 Agenda for Sustainable Development. Countries that express their interest in participating in the case studies will be engaged, taking into consideration regional balance.
- 2. Developing a self-assessment tool for parties to evaluate their level of implementation of the Basel, Rotterdam and Stockholm conventions.** A tool building on the checklists for the legislator under the Basel, Rotterdam and Stockholm conventions will be developed to support parties in evaluating their level of implementation of the obligations under each convention. It will help parties identify gaps in the implementation of the conventions at the national level and aim at guiding their efforts towards improved implementation.
- 3. Organizing three regional workshops on best practices for the effective coordinated implementation of the Basel, Rotterdam and Stockholm conventions, early implementation of the Minamata convention and SAICM.** The workshops will serve as a platform to introduce existing and newly developed training materials and guidance documents, including the draft guide on possible approaches for the effective coordinated implementation of the Basel, Rotterdam and Stockholm conventions, identify existing challenges and seek solutions for addressing the effective coordination and cooperation in the implementation of the Basel, Rotterdam and Stockholm conventions, as well as the Minamata Convention and SAICM. The participants will be invited to identify possible elements of a national strategy for the effective implementation of the Basel, Rotterdam and Stockholm conventions and other relevant agreements, e.g. measures, steps and best practices for strengthening national institutional, regulatory and legal frameworks. The workshops will include training sessions on reporting under the Basel and Stockholm Conventions to enhance participants' understanding of the reporting obligations. Finally, results of the case studies on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM, and experience from using the self-assessment tool by parties will be presented to the participants.  
  
The workshops are planned to take place in the Latin America and the Caribbean, African, and Central and Eastern Europe regions. The workshops will target government officials dealing with hazardous chemicals and wastes including the Basel Convention's Competent Authorities, the Rotterdam Convention's Designated National Authorities and the Stockholm Convention's National Focal Points.
- 4. Implementing pilot projects in cooperation with the regional partners on strengthening institutional and regulatory frameworks and mainstreaming<sup>1</sup>.** Based on the capacity gaps identified at the workshops, and interest expressed by countries, three countries will be selected to undertake pilot projects from the Latin America and the Caribbean, African, and Central and Eastern Europe regions. The projects will be individually designed to address specific needs of the countries. They could entail enhancing the national and regional coordination for the implementation of the three conventions, addressing challenges related to national legislation, information exchange, mainstreaming chemicals and wastes into the 2030 Agenda for Sustainable Development at the national level and pilot testing the self-assessment tool under the Basel, Rotterdam and Stockholm conventions.
- 5. Disseminating best practices through the clearing house mechanism of the Basel, Rotterdam and Stockholm conventions.** The clearing house mechanism will be used to widely disseminate information collected through these activities to parties and stakeholders.

## RESULTS TO BE ACHIEVED

### Expected results:

- Information on existing practices related to national coordination mechanisms, information exchange for the implementation of the Basel, Rotterdam and Stockholm conventions, Minamata Convention and SAICM and mainstreaming chemicals and wastes into the national sustainable development strategies is collected and presented in case studies;
- Approaches towards enhanced coordination of the implementation of the Basel, Rotterdam and Stockholm conventions, Minamata Convention and SAICM and information flows on chemicals and wastes at the national level and regional characteristics and differences are documented and disseminated;

<sup>1</sup> One of the participating countries could be the Republic of Kazakhstan, based on its request for assistance.

3. A practical self-assessment tool of the implementation of the Basel, Rotterdam and Stockholm conventions is developed.
4. Parties acquired better understanding and learned from each other on effective approaches for the implementation of the three conventions;
5. Parties enhanced their knowledge and experience related to the reporting obligations of the Parties to the Basel and Stockholm Conventions;
6. Institutional and regulatory frameworks for the implementation of the Basel, Rotterdam and Stockholm conventions, Minamata Convention and SAICM are enhanced and the self-assessment tool are tested in three countries;
7. Best practices related to the national coordination mechanisms and mainstreaming of chemicals and waste management into development processes are available through the clearing house mechanism of the Basel, Rotterdam and Stockholm conventions.

**Indicator of success:**

1. Case studies on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM from at least two countries are available;
2. Positive feedback from the participants attending the workshops;
3. Draft/revised legislation and/or institutional coordination is improved in at least three countries;
4. A draft practical self assessment tool is developed.

**Means of verification:**

1. Case studies posted on the website;
2. Workshop reports are available on the website;
3. COPs 13 pre-session documents and INF documents available on the meeting documents website.

**PROJECT SUSTAINABILITY AND REPLICABILITY**

The approach for developing and implementing this activity is based on the approach within the technical assistance programme. Lessons learned from the previous training and capacity building activities under the three conventions will be taken into consideration. One of the activities will specifically focus on training the regional centres to ensure sustainability and replicability of the activity at the regional and local levels. This activity will build on and take advantage of similar or related activities being undertaken by the Secretariat as well as other partners. Partners will be able to both replicate the activities and use the outcomes of the workshops e.g. case studies and best practices.

The activity will be supportive of the integrated approach to address the financing of the sound management of chemicals and wastes, in particular in relation to mainstreaming of chemicals and wastes into development processes, as provided for in the resolution 1/5 adopted by the United Nations Environment Assembly of the United Nations Environment Programme at its first session on 27 June 2014. It will also aim to respond to the newly adopted post 2015 development agenda.

The activity will address all three dimensions of the Sustainable Development: environmental, economic and social. It will thus support the implementation of the Sustainable Development Goal 3 on ensuring healthy lives (specifically Target 3.9: by 2030 substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination), as well as SDG 12 on ensuring sustainable consumption and production patterns (specifically Target 12.4: by 2020 achieve environmentally sound management of chemicals and all wastes throughout their lifecycle and minimizing their adverse impacts on human health and the environment). It will also be supportive of the Goal 1 on end poverty in all its forms everywhere and Goal 16 on promoting peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.

**GENDER MAINSTREAMING**

The proposed activity is gender-relevant. Participation of both men and women will be encouraged at the workshops. At the training workshops, a session will be dedicated to the gender equality for the sound management of hazardous chemicals and wastes, giving a special attention to the equal opportunities for men and women in decision-making.

<b>OUTREACH AND INFORMATION SHARING</b>	
<p>Outreach activities will be integrated in the proposed activity. Information about the training and its results will be posted on the BRS website. The clearing house mechanism of the Basel, Rotterdam and Stockholm conventions will be also used to disseminate the best practices and case studies. Live webinars will allow open access to the training sessions. Webinar recordings are available for download after the live webinar sessions.</p>	
<b>BUDGET [USD] FOR 2016-2017</b>	
STAFF PERSONNEL	191,720
CONTRACTUAL SERVICE	2,450
TRAVEL	381,000
EQUIPMENT, VEHICLES, FURNITURE	9,000
OTHER OPERATIONAL COSTS	6,000
GRANTS OUT	186,000
<b>DIRECT PROJECT COST OPERATIONAL BUDGET</b>	<b>776,170</b>
<i>Programme Support Costs (PSC) 13%</i>	<i>100,902</i>
<b>TOTAL OPERATIONAL BUDGET</b>	<b>877,072</b>