



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 parties' capacities to deal with legal and illegal trade and traffic under the Basel, Rotterdam and Stockholm conventions	
<b>FUNDING OPTIONS:</b>		<b>TYPE / LOCATION</b>	<b>TARGETED COUNTRIES:</b>
<input checked="" type="checkbox"/> Funding in full <input type="checkbox"/> Partial funding possible		<input checked="" type="checkbox"/> Global <input checked="" type="checkbox"/> Regional <input type="checkbox"/> National	Parties to the Basel, Rotterdam and Stockholm conventions
Project start date: <i>01/01/2016</i>		Project completion date: <i>31/12/2017</i>	Total duration: <i>24 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          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          Articles 10 and 16 of the Basel Convention          Programme of Work Activity 33 (S20): Legal and policy activities under the Basel, Rotterdam and Stockholm conventions          Decision BC-12/8: National legislation, notifications, enforcement of the Convention and efforts to combat illegal traffic          Synergies decisions: IX/10, RC 4/11 and SC4/34 (section I, part A, para 3 and 4) Synergies decisions: IX/10, RC-4/11 and SC-4/34 (section I, part A, para 3 and 4)</p>			
<b>BACKGROUND INFORMATION AND PROJECT JUSTIFICATION</b>			
<p>The Basel, Rotterdam and Stockholm conventions set conditions and procedures to be followed for the import and export of the covered hazardous chemicals and wastes. These procedures are expected to ensure that importing States are not confronted with hazardous chemicals and wastes that they do not wish to receive, for instance because they are unable to manage them in an environmentally sound manner. The international trade of determined hazardous chemicals and pesticides is covered by the Rotterdam and Stockholm conventions, while international trade of hazardous wastes primarily falls under the scope of the Basel Convention.</p> <p>Under the Basel Convention, preventing and combating illegal traffic are core requirements under the Convention (art. 4.4 and 9.5) and the Secretariat's activities pertaining to illegal traffic and enforcement support the effective implementation of these requirements and hence the achievement of fundamental objectives of the Convention. The Basel Convention COP-12 among other things, requested the Secretariat to organize enforcement training activities 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. In their decisions on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions, the three COPs list "combating illegal traffic and trade in hazardous chemicals and wastes" as a specific area for enhanced cooperation and coordination among the conventions. BC COP-12, RC COP-7 and SC COP-7 also requested the Secretariat to prepare recommendations on possible synergies between the Basel, Rotterdam and Stockholm conventions in preventing and combating illegal traffic and trade in hazardous chemicals and wastes, building on lessons learned under the Basel Convention. The activity will aim to support the development of such recommendations.</p> <p>Based on the needs assessment carried out in 2014, 12 % parties to the Basel Convention indicated the control procedure for the transboundary movements of hazardous and other wastes as a priority issue for them. Likewise, trade issues are also important for the parties to the Rotterdam and Stockholm conventions. For example, 20% parties to the Rotterdam Convention from the Central and Eastern Europe consider supporting custom officers in implementing the Convention as a priority area.</p>			

## PROPOSED ACTIVITIES

1. **Developing a case study on legal and illegal trade and traffic under the Basel, Rotterdam and Stockholm conventions.** The case study will seek to collect best practices on preventing and combating illegal traffic and trade in hazardous chemicals and wastes. If possible, the case study will be developed using experience from the parties taking part in the proposed two training workshops on trade control procedures and illegal traffic under the Basel, Rotterdam and Stockholm conventions. The outcomes of the case study will provide input into possible synergies between the Basel, Rotterdam and Stockholm conventions in preventing and combating illegal traffic and trade in hazardous chemicals and wastes.
2. **Translating, designing and publishing the Customs Manual on the Basel, Rotterdam and Stockholm conventions in six UN languages.** The interactive Manual for Customs Officers on hazardous chemicals and wastes under the Basel, Rotterdam and Stockholm conventions was developed by the Secretariat and is currently available in electronic form and in English (<http://www.basel.int/Implementation/Publications/TrainingManuals/tabid/2363/Default.aspx>). It is proposed to translate the Manual in the five other UN languages and to make it available in printed format so as to enable its better access and wider use in developing countries.
3. **Organization of two training workshops on trade control procedures and illegal traffic under the Basel, Rotterdam and Stockholm conventions.** The training workshops will target government officials, legal experts, enforcement officers such as customs, environmental inspectors, police, port authorities, and prosecutors dealing with hazardous chemicals and wastes. The workshops will bring together the other entities involved in the international trade and enforcement chain at the national level from the selected regions and will raise awareness of the conditions and procedures to be followed for the import and export of the covered hazardous chemicals and wastes. Workshops will take place in Africa and Central and Eastern Europe regions. The workshops will allow to collect information with regard to national legal frameworks, ascertain the current situation of chemicals and hazardous waste legal framework in participating countries; assist countries in identifying whether the existing legal frameworks, in particular legislation, fully meet the requirements for legislative or administrative measures, as required under the three conventions; and offer guidance on how to prepare and draft or update the existing legal frameworks. The workshops will also aim to raise awareness on the necessary cooperation and coordination mechanisms that need to be in place between entities involved in the international trade and enforcement of the Basel, Rotterdam and Stockholm conventions, both nationally and internationally. Furthermore, participating countries will share best practices on the development of legal frameworks, the establishment of cooperative mechanisms and in preventing and combating illegal traffic/trade in hazardous chemicals and wastes.
4. In partnership with partners, **national level activities will be implemented** in two countries from Africa and Central and Eastern Europe regions to enhance national legislation and other measures to implement the Basel Convention, Rotterdam and/or Stockholm conventions and to prevent and punish illegal traffic under the Basel Convention.
5. **Preparing a video on trade control procedures and illegal traffic under the Basel, Rotterdam and Stockholm conventions.** A video will be used for the further training events. Existing tools as well as materials and footage from the workshops will be used as input when preparing a video.

## RESULTS TO BE ACHIEVED

### Expected results:

1. Best practices on preventing and combating illegal traffic and trade in hazardous chemicals and wastes collected;
2. The Customs Manual on the Basel, Rotterdam and Stockholm conventions is translated, designed and published in the six UN languages;
3. Participants of the workshops will have a better understanding of the obligations of the Basel, Rotterdam and Stockholm conventions with regard to control trade procedures and illegal traffic of hazardous chemicals and wastes and other wastes and will strengthen expertise on their application; benefit from lessons learned resulting from concrete case studies; and share information and experiences on challenges and solutions relevant to the international trade of hazardous chemicals and wastes and way to prevent illegal traffic/trade;
4. National level activities related to the revision of the legislation and other measures are implemented in two countries from Africa and Central and Eastern Europe regions;
5. Participants of the workshops will be informed of the challenges in prosecuting cases of illegal traffic of hazardous chemicals and wastes, and other wastes - for instance as they relate to the definition and identification of hazardous wastes and other wastes, whom to prosecute, national coordination and international cooperation - and of possible ways to overcome these; and
6. Participants of the workshops will be informed of the existence of enforcement and other networks and encouraged to join, or create, as appropriate, such networks.

**Indicator of success:**

1. Case study on best practices for preventing and combating illegal traffic and trade in hazardous chemicals and wastes is available;
2. Positive feedback from the participants attending the workshops;
3. Draft/ revised legislation is prepared in two countries;
4. The Customs Manual on the Basel, Rotterdam and Stockholm conventions is available in electronic and printed format in six UN languages;
5. Video on trade control procedures and illegal traffic under the Basel, Rotterdam and Stockholm conventions is prepared.

**Means of verification:**

1. Case study is posted on the website;
2. Workshop reports are made available on the convention websites;
3. Basel COP 13 and Rotterdam and Stockholm COPs 8 pre-session documents and INF documents are made available on the meeting documents website.

**PROJECT SUSTAINABILITY AND REPLICABILITY**

The approach for developing and implementing this activity is based on the technical assistance programme. Lessons learned from the previous training and capacity building activities with regard to combating illegal traffic under the Basel Convention will be taken consideration. Experience in the area of national legislation and illegal traffic gained through the Basel Convention will be applied, to the extent possible, to the Rotterdam and Stockholm conventions. The regional centres will invited to the workshops so that the training has the potential to be replicated by the regional centres at the regional and local levels.

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 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**

Participation of both men and women will be encouraged at the workshops. At the training workshops, a session will be dedicated to gender equality for national legislation and illegal traffic of hazardous chemicals and wastes, giving a special attention to the equal opportunities for men and women in decision-making.

**OUTREACH AND INFORMATION SHARING**

Outreach activities will be integrated in the proposed activity. Information about the training and its results will be posted on the BRS website. A video will be prepared as part of the training materials for the use in the future training activities (see also concept note for POW 13). Live webinars will allow open access to the training sessions. Webinar recordings are available for download after the live webinar sessions.

**BUDGET [USD] FOR 2016-2017**

STAFF PERSONNEL	152,000
CONTRACTUAL SERVICE	162,270
TRAVEL	274,000
EQUIPMENT, VEHICLES, FURNITURE	6,000
OTHER OPERATIONAL COSTS	9,000
GRANTS OUT	124,000
<b>DIRECT PROJECT COST OPERATIONAL BUDGET</b>	<b>727,270</b>
<i>Programme Support Costs (PSC) 13%</i>	<i>94,545</i>
<b>TOTAL OPERATIONAL BUDGET</b>	<b>821,815</b>