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**Open-ended Working Group of the Basel Convention
on the Control of Transboundary Movements of
Hazardous Wastes and Their Disposal**
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Item 4 (a) of the provisional agenda*

**Strategic plan for the implementation of
the Basel Convention to 2010: report on progress**

Strategic plan for the implementation of the Basel Convention

Report on progress

Note by the Secretariat

I. Introduction

1. By decision VI/1, the Conference of the Parties adopted the Strategic Plan for the Implementation of the Basel Convention to 2010 as the major instrument to give further effect to the Basel Declaration on Environmentally Sound Management.
2. By decision VI/2, the Conference of the Parties requested the Secretariat to organize and compile the project proposals submitted by Parties or the Basel Convention regional centres for submission to the Open-ended Working Group for consideration. In the same decision, the Conference of the Parties further requested the Open-ended Working Group to consider the proposals submitted and provide funding for selected projects in accordance with criteria set out in the appendix to the decision.
3. By decision VI/41, the Conference of the Parties agreed to allocate \$1,200,000 over 2003 and 2004 to implement projects under the Strategic Plan.

II. Implementation

4. By decision OEWG-I/1, adopted at its first session, held from 28 April to 2 May 2003, the Open-ended Working Group selected 15 project proposals out of 35 such proposals for funding under the Strategic Plan for 2003-2004, totalling \$880,000, in accordance with the criteria adopted by the Conference of the Parties at its sixth meeting.

* UNEP/CHW/OEWG/3/1.

5. By decision OEWG-II/1, adopted at its second session, held from 20 to 24 October 2003, the Open-ended Working Group selected an additional six project proposals for funding totalling \$320,000 under the Strategic Plan for 2003-2004 using the resources of the Basel Convention Trust Fund.

6. Of the 21 proposals selected for funding by the Working Group at its first and second sessions, 17 were submitted by the Basel Convention regional centres in Argentina, China, El Salvador, Egypt, Indonesia, Nigeria, Russian Federation, Senegal, Slovakia, South Africa, Trinidad and Tobago and Uruguay, and four by Parties to the Convention – Bangladesh, Cambodia, Germany and Jordan. Those project proposals and their summaries are available on the Basel Convention's web site (<http://www.basel.int>).

7. Following the decisions of the Working Group at its first and second sessions, the Secretariat made arrangements for the disbursement of funds for the 21 project proposals in consultation with the originators of these proposals and in accordance with the requirements of the United Nations Environment Programme (UNEP) for the preparation and approval of project documents.

8. Arrangements for funding have been completed for 20 projects and they are currently at various stages of implementation, with the exception of the regional project for assessment and recycling of used oils in Africa, which is expected to be initiated in the near future. The current status of all projects selected for implementation is presented in document UNEP/CHW/OEWG/3/INF/4.

9. The process of preparing, approving and implementing the projects under the Strategic Plan has been intensive and required lengthy consultation with the originators of the project proposals and with UNEP, which has administrative responsibility for the disbursement and management of project funding. Based on the experience gained, some observations may be made regarding the functionality and efficiency of the present mechanism for implementing the Strategic Plan. These observations are presented in the following three sections, under the headings: Preparation and approval; Implementation; and General.

A. Preparation and approval

10. The large number of project proposals submitted to the open-ended working groups by the Parties and the Basel Convention regional centres demonstrated a high level of interest among the Parties and the regional centres to be actively involved in the implementation of the Strategic Plan. On the whole, most of the proposals were realistic and limited in the scope of activities to ensure implementation within the required time-frame and funds available. Some other project proposals were more ambitious and involved a large number of stakeholders. Early indications from the implementation of these larger projects show that there is potential for more centres to propose large-scale projects in the future.

11. Fund disbursement for the projects prepared by the respective Parties and regional centres required full support from the Secretariat in the following key issues: preparation of project proposals in accordance with the established format of a memorandum of understanding or project document; clarification of objectives and substantive links to the Strategic Plan; and preparation of budgets.

12. One of the main difficulties encountered in the process of preparing project proposals was that there were limited number of staff in the Basel Convention regional centres to prepare and finalize project proposals according to a required format. This led to a greater reliance on the support of the Secretariat to finalize project proposals.

13. The project proposals received were primarily targeted at the specific needs of a country or a region. These projects, however, did not necessarily demonstrate their critical role in the strategic context in addressing a range of priorities within each country or region. All the project proposals received from the regional centres originated, to varying degrees, from their business plans, which was commendable in reflecting regional needs. On the other hand, projects received from Parties did not make any reference to the business plans of the centres in their region.

B. Implementation

14. The process of approving project proposals was slow, owing to a combination of factors involving the administrative requirements both of UNEP and of the Parties themselves. Moreover, amendments to proposals had to be conducted by e-mail or by phone, requiring a significant amount of time and resources on the part of the Secretariat as well as the originators of the proposals. Transferring funds to those Parties that had not conducted Basel Convention projects before was particularly challenging.

15. The funding provided to several of the projects did not match the budget requested. Consequently, the projects had to be scaled down or more time was spent on raising additional funds – efforts that were not always successful and were very time-consuming. Clearly more work needs to be done in mobilizing additional sources for funding the Strategic Plan projects.

16. Four projects secured additional Basel Declaration trust funding and an additional three secured other sources of funding. Details of these may be found in the annex to the present note. In total, additional sources of funds represent 18 per cent of the funds allocated under decision VI/41. Some of the projects were implemented with assistance from and contributions by UNEP, the United Nations Industrial Development Organization (UNIDO), the World Health Organization (WHO), the New Partnership for Africa's Development (NEPAD), the national cleaner production centres and with financial contributions from Parties – Austria, the Czech Republic, Japan, Germany, Switzerland and the United Kingdom of Great Britain and Northern Ireland. Two projects secured in-kind contribution from industry.

17. Support from the voluntary contributions to the Technical Cooperation Trust Fund proved to be highly important in supplementing the limited funds available in the Basel Convention Trust Fund for the full implementation of the projects. The following Parties contributed to the Technical Cooperation Trust Fund of the Basel Convention in support of the Strategic Plan: Australia, China, Denmark, Finland, Germany, Japan, Liechtenstein, Luxembourg, the Netherlands, Sweden, Switzerland and the United Kingdom.

18. The Secretariat is currently preparing a strategy for resource mobilization. This is intended to help bridge the types of funding gaps that have been encountered to date. It cannot, however, be guaranteed that these additional resources, even if they become available, will be sufficient to fund all the priority Strategic Plan activities. Inevitably a more sustainable funding mechanism will be required.

19. Other approaches that could help bridge the funding gap might include: a more direct linkage between a proposed project and the Basel Convention Partnership Programme; developing projects which are more likely to generate funding from a variety of stakeholders, and greater assistance from Parties directed towards the Basel Convention regional centres and the Secretariat in identifying potential partners and funding sources.

C. General

20. The support provided to the Basel Convention regional centres through the funding of projects under the Strategic Plan has had limited impact on the sustainability of their business plans and on developing a strategic approach to the implementation of the Convention or the Declaration, owing due to the limited amount of funds available.

21. The Secretariat played an important role in assisting the Parties and regional centres in developing and implementing project proposals. Its efforts were constrained, however, owing to the lack of resources needed to promote more active dialogue with the originators of the proposals and to provide much needed capacity-building and training in such areas as needs assessments, screening and scoping, strategic planning, and project preparation.

22. Owing to time and other constraints, it proved difficult and impracticable for the Open-ended Working Group to approve individual project proposals on the basis of their merits in strategically addressing both the priority programme focuses of the Strategic Plan and the specific needs of the respective regions or countries. Short of establishing a new mechanism, such as a special expert panel,

the Secretariat may be called upon to provide the Working Group with project evaluation and recommendations.

23. Cooperation and partnerships are growing in importance in terms of delivering the required expertise and financial resources to the Strategic Plan projects. From the experience of preparing and implementing these projects, it is clear that the setting up of effective partnerships requires greater resources up front in order to secure greater benefits in the future. Developing these projects with a variety of stakeholders will require more information, knowledge and financial resources. Furthermore, in the short to medium term it will also require the Secretariat to play a more substantial role.

24. At its first session, the Open-ended Working Group considered that the attention of the Parties should be drawn to the need for a better process of evaluating the merits of project proposals. At the same session, the Working Group emphasized strongly the need to mobilize additional funds for the implementation of the Strategic Plan.

25. The Parties may wish to discuss the question of the funding of the Strategic Plan for the implementation of the Basel Convention, which was considered in the context of the decision on financial matters at the sixth meeting of the Conference of the Parties.

26. An updated report will be prepared on the implementation of the Strategic Plan for the seventh meeting of the Conference of the Parties.

III. Proposed action

27. The Open-ended Working Group may wish to submit a draft decision along the following lines to the Conference of the Parties at its seventh meeting:

The Conference of the Parties,

Recalling decision VI/1, by which it adopted the Strategic Plan for the implementation of the Basel Convention to 2010 as the major instrument to give further effect to the Basel Declaration on Environmentally Sound Management,

Noting with appreciation the report by the Secretariat on progress in the implementation of the Strategic Plan,

Welcoming the progress made in the implementation of the projects proposals approved under the Strategic Plan,

Recalling that the Open-ended Working Group should review, and amend as necessary, the action table in the light of experience gained in the implementation of the activities in 2003–2004,

Noting that a sustainable and adequate financial basis is essential for the implementation of priority actions of the strategic plan up to 2010.

1. *Agrees* that Parties and the Basel Convention regional centres, in partnership with other stakeholders, should continue to promote the implementation of the Strategic Plan using, for that purpose, the budget approved for 2005–2006 for core funding;

2. *Requests* the Secretariat to prepare, in consultation with the Parties, the Basel Convention regional centres and other stakeholders concerned, a set of project proposals for consideration and approval by the Open-ended Working Group for implementation in 2005–2006;

3. *Requests* the Secretariat to continue to assist the Parties, the Basel Convention regional centres and other stakeholders in the development and implementation of priority activities contained in the Strategic Plan under the guidance of the Open-ended Working Group and in the preparation of partnership programmes to support the Strategic Plan;

4. *Strongly* encourages the recipient Parties to consider including in their development assistance priorities projects that implement the Strategic Plan for the implementation of the Basel Convention and to request Parties, the Basel Convention regional centres and the Secretariat to help those Parties to approach donors for assistance in mobilizing available financial resources to this end;

5. *Requests* the Open-ended Working Group to develop an appropriate resource mobilization strategy to strengthen the financial basis for implementing the Strategic Plan, including, gaining access to multilateral financial institutions, such as the Global Environmental Facility and the World Bank, and regional funding institutions;

6. *Requests* the Secretariat to report to the Conference of the Parties at its eighth meeting on progress in the implementation of the Strategic Plan and, as appropriate, to the relevant subsidiary bodies on experience gained and obstacles encountered.

Annex

Projects and activities carried out by the Parties and Basel Convention regional centres with other stakeholders to implement the Strategic Plan

Main field	Other fields	Title of project	BCRC or Party	BC funds	BD funds	Comments
Projects approved by the Open-ended Working Group at its first session						
Africa						
e	a, f, h	Hazardous wastes landfill (site selection, design and preparation of operating plans) in the Arab region	BCRC–Egypt	135,541		
e		Inventory of hazardous wastes in French speaking countries covered by BCRC-Dakar	BCRC–Senegal	97,903		
f	g, e, h	Development of a database for use by the countries in the region	BCRC–South Africa	19,581		
b	a, g, f	Regional workshop on successful case studies of recycling, reuse and recovery methods towards the environmentally sound management of hazardous wastes and implementation of the Basel Convention in Africa	BCRC–Nigeria	90,651		
Asia						
a	e, h, f	New partnership with local authorities for the environmentally sound management of hazardous and other wastes in urban areas	BCRC–China	108,781		Other sources of funding
e	a, h	Inventories of waste lead-acid batteries	Cambodia	45,688		
e	a, g	Hazardous waste management in small and medium-sized enterprises in the context of the integrated life-cycle management of materials	Jordan	43,512	76,000	
Central and eastern Europe						
b	g, h f	International training on implementation of waste minimization – cleaner production project	BCRC–Slovakia	30,687	6,016	
Latin America and the Caribbean						
d	i, c	Implementation of the control, detection and prevention of the illegal traffic of hazardous wastes	BCRC–Argentina	36,260		
e	f	Assessment of the environmentally sound management of used oil in the Caribbean	BCRC–CARIRI	72,521	35,000	
e	h, f	Preparation of a regional strategy for the environmentally sound management of used lead-acid batteries in Central America and the Caribbean	BCRC–El Salvador	72,521	40,000	
b	a, h, f	Pilot programme for the minimization of impacts generated by hazardous waste	BCRC–Uruguay	32,090		
e	g, f	Training programme for municipal officers in the environmentally sound management of hazardous wastes	BCRC–Uruguay	44,600		
Western Europe and other countries						
b	a, g	Scoping paper on the transfer of national experiences with waste prevention and minimization to a trans-regional or an international level	Germany	13,402		Other sources of funding
Total				880,000	157,016	

Main field	Other fields	Title of project	BCRC or Party	BC funds	BD funds	Comments
Projects approved by the Open-ended Working Group at its second session						
		Asia				
e	a, h	Training in the environmentally sound management of biomedical wastes in Dhaka city, Bangladesh	Bangladesh	42,308		
e	d, i, f	Survey of the import and the environmentally sound management of electronic wastes in the Asia-Pacific region	BCRC–China	87,302		
e		Pilot project on the inventory of hazardous waste generation in selected member countries	Indonesia	68,111		
		Central and eastern Europe				
e	i, f	Preparation of a review on the existing national and international legislation on monitoring and control of transboundary movements of hazardous wastes and their disposal	BCRC–Russian Federation	36,860		
h	e, f	Regional workshop for the preparation of a regional approach for the environmentally sound management of POPs as wastes in selected central and eastern European countries	BCRC–Slovakia	59,561		
h	e	Workshop on the strengthening of cooperation between the chemical and hazardous wastes conventions	Slovakia	25,858		Other sources of funding
			Total	320,000	-	
Other project activities						
		Africa				
e	a, h	National project for the preparation of a national health care waste management plan in Nigeria	Nigeria		72,000	
e	a, f	Establishment of a polychlorinated dibenzodioxin (PCDD)/polychlorinated dibenzofuran (PCDF) release inventory in a sub-Saharan context, with particular focus on specific local practices	BCRC–Dakar		20,000	Other sources of funding
e	a	Regional project for the preparation of national inventories, action plans and strategies for the environmentally sound management of PCBs and PCB-containing equipment in the SADC subregion	SADC subregion			Other sources of funding
a	e, g, h	African stockpile project	African region			Other sources of funding
		Asia				
d	c, g, e	Pilot project for the control of transboundary movements of hazardous wastes in the Asian region	Sri Lanka, China, Thailand, Indonesia		92,000	
		Latin America and the Caribbean				
e	a, f	Project for the preparation of a regional disposal plan for obsolete pesticides in the Caribbean	Caribbean		15,000	Other sources of funding
e	a, f	Regional project for the environmentally sound management of PCBs and PCB-containing equipment in central America	BCRC–El Salvador		298,094	Other sources of funding
i	d	Development and set-up of an electronic waste-management tracking system	Mexico		13,000	Other sources of funding
a	e, g, h	Inter agency cooperation with IMO and ILO to initiate project activities in countries where ship dismantling occurs to assist these countries to implement the technical guidelines adopted in the context of the Basel Convention, IMO and ILO				Other sources of funding

Main field	Other fields	Title of project	BCRC or Party	BC funds	BD funds	Comments
Other training activities						
Africa						
h	f	Subregional workshop on the coordinated implementation of multilateral environmental agreements (Basel, Rotterdam and Stockholm conventions) on chemicals and wastes in English-speaking African countries	BCRC–South Africa			Other sources of funding
d	c, i	Regional training seminars for customs, port and law enforcement officers	UR of Tanzania		50,000	
d	c, i	Regional training seminars for customs, port and law enforcement officers	Egypt	27,750		
i	e	UNEP capacity-building training seminar on communications and the environment for the Palestinian Environmental Quality Authority				Other sources of funding
Asia						
h		Pacific regional workshop on the Stockholm Convention national implementation plan in parallel with a Basel and Waigani conventions workshop for competent authorities on the use of the control system and POPs awareness-raising workshop for non-governmental organizations	Fiji			Other sources of funding
Central and eastern Europe						
i	e	National workshops for the implementation of the Basel Convention, organised by REC	Romania, Bosnia and Herzegovina, Serbia and Montenegro			Other sources of funding
i	d	Third joint meeting of senior officials and legal experts in multilateral environmental agreements	Romania			Other sources of funding
i	e	Regional workshop on national reporting and the undertaking of national inventories of hazardous wastes under the Basel Convention	Russian Federation	31,010		
h		Regional workshop on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions in central and eastern Europe	Latvia			Other sources of funding
Latin America and the Caribbean						
i	e	National workshop on the implementation of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal	Honduras		13,000	
h	f	Regional workshop on the coordinated implementation of the Basel, Rotterdam and Stockholm conventions in Latin America and the Caribbean	BCRC–Uruguay			Other sources of funding