

# Introduction to the Basel, Rotterdam and Stockholm Conventions for managing hazardous chemicals and wastes

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Module 5b

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# The Conventions

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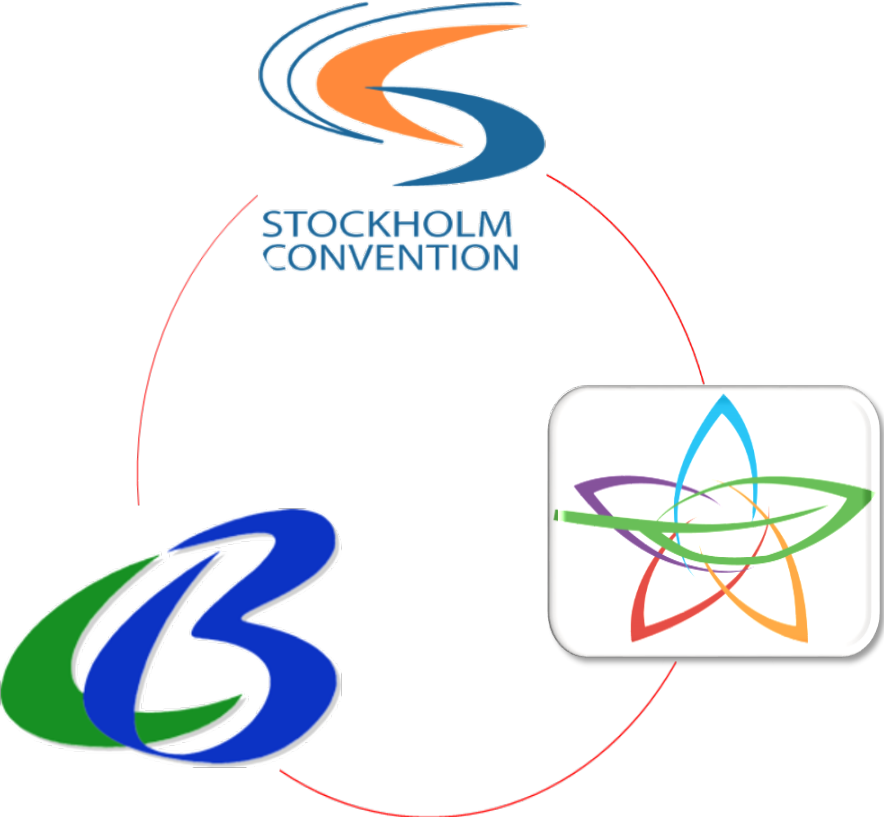
- The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal
  - Adopted in 1989
  - 188 Parties
- The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade
  - Adopted in 1998
  - 164 Parties
- The Stockholm Convention on Persistent Organic Pollutants
  - Adopted in 2001
  - 184 Parties

# The Conventions (continued)

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- A framework for Life Cycle Management of hazardous chemicals and wastes:
  - The 3 Conventions together cover elements of “cradle-to-grave” approach
- Common objectives: to protect human health and the environment against hazardous chemicals and wastes.
- Interlocking scopes of application:
  - Common thread: most POPs are covered by all 3 Conventions;
  - Many pesticides are subject to the 3 Conventions;
  - As wastes, all chemicals will fall under the scope of the Basel Convention

# Visual overview



# Scope and coverage

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- Basel covers hazardous wastes that are explosive, flammable, reactive, poisonous, infectious, corrosive, toxic or ecotoxic. Basel also covers “other wastes”;
- Rotterdam covers pesticides and industrial chemicals that have been banned or severely restricted for health or environmental reasons by Parties and those which have been included in the scope of the Convention;
- Stockholm covers persistent organic pollutants.

# Three pillars of the Basel Convention



- Minimize the generation of hazardous wastes in terms of quantity and degree of hazard;
- Promote the environmentally sound management of hazardous wastes and other wastes;
- Control transboundary movements of hazardous wastes and other wastes (conditions and the PIC procedure).

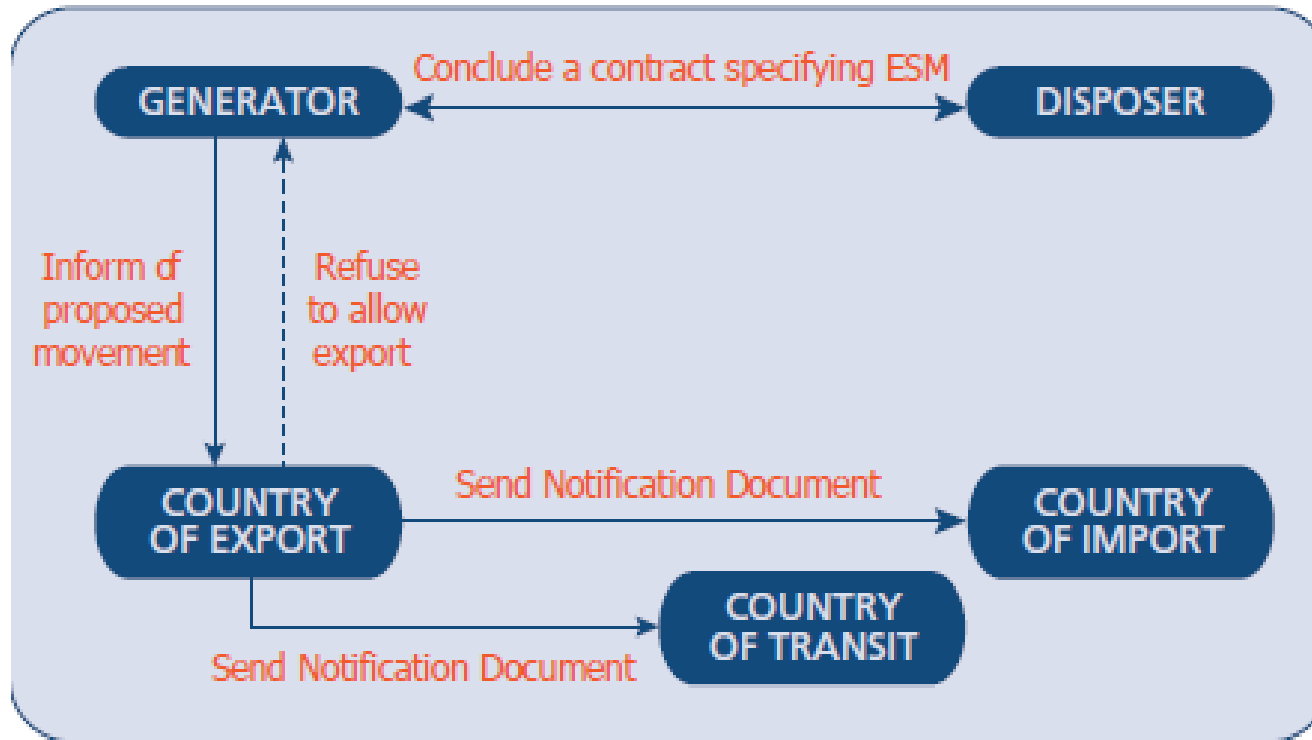
# Key provisions of the Basel Convention

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- Transboundary movement only among Parties (exception - Article 11 Agreements);
- A procedure for transboundary movements of hazardous wastes or other wastes, based upon prior informed consent (PIC);
- Each shipment needs a movement document from the point of departure from exporter to the point of disposal;
- Export is prohibited if the State of import: has an import ban, or has not given its consent to the import;
- Illegal traffic: defined by the Convention - consequences provided.

# Prior informed consent (PIC) procedure

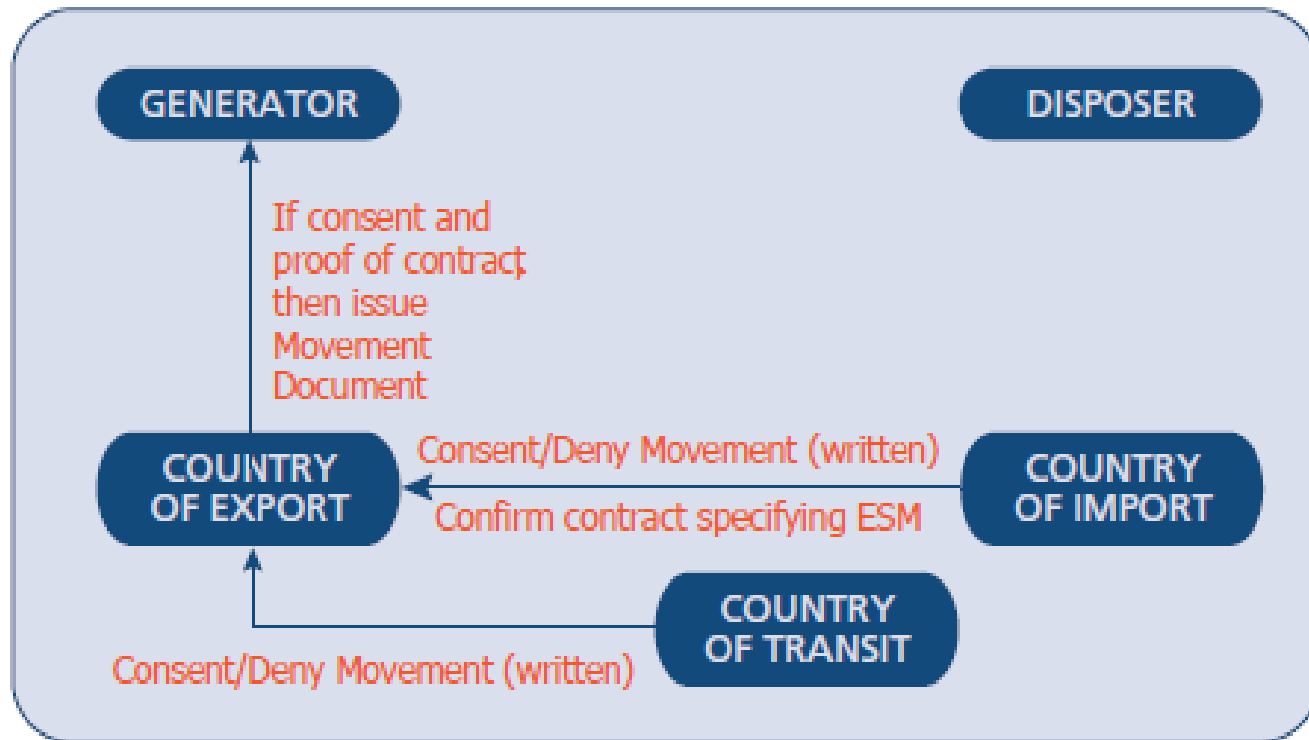
## Stage 1: Notification





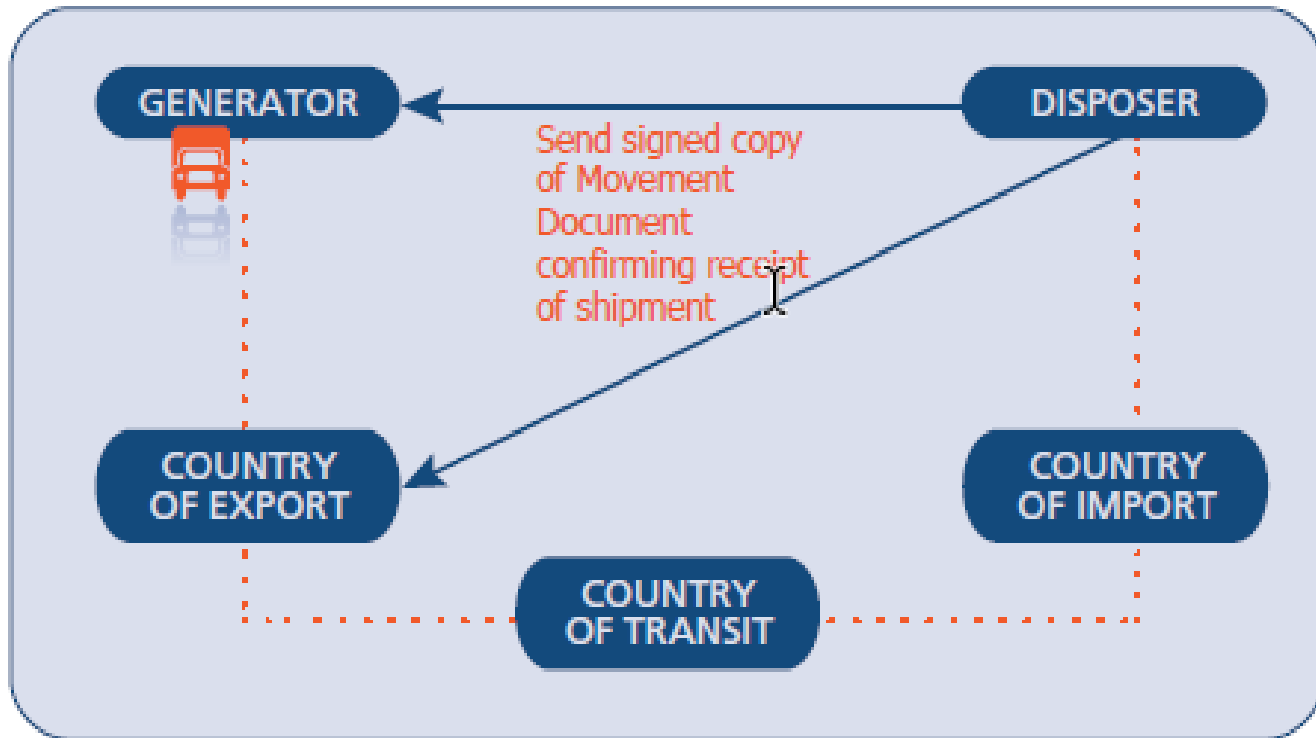
# Prior informed consent (PIC) procedure

## Stage 2: Consent & Movement document



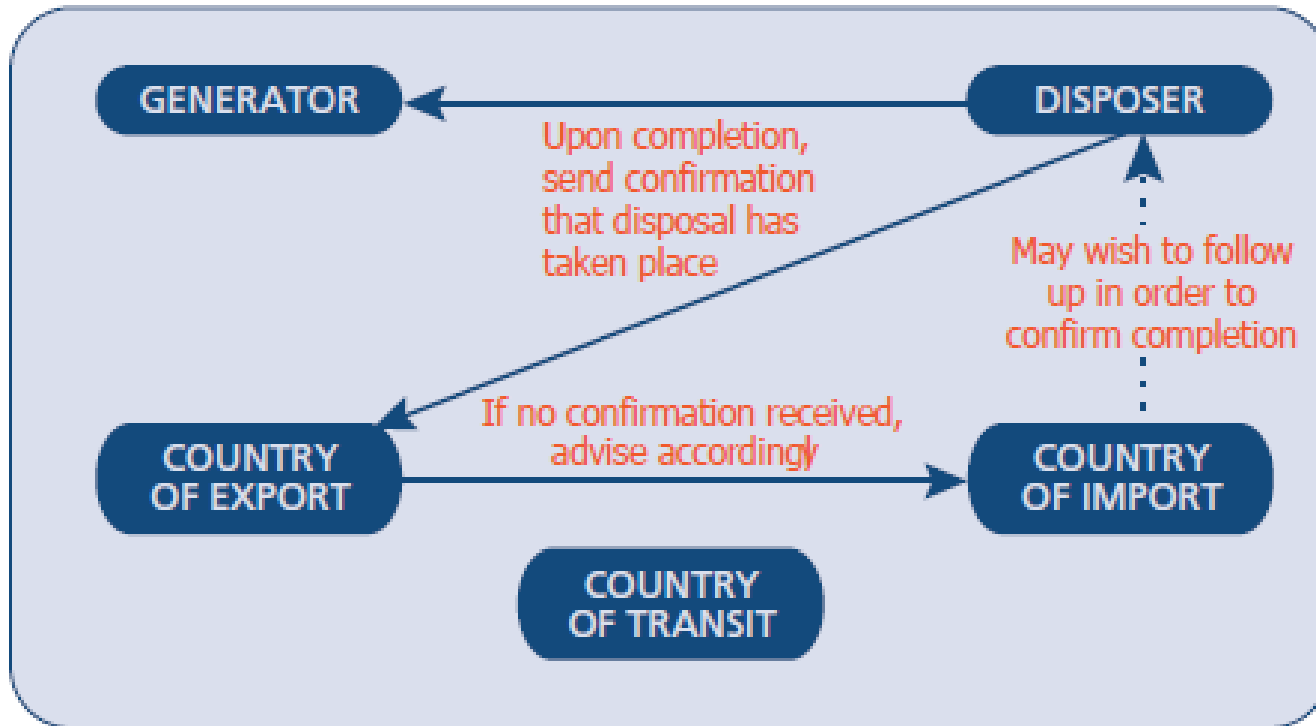
# Prior informed consent (PIC) procedure

## Stage 3: Transboundary Movement



# Prior informed consent (PIC) procedure

## Stage 4: Confirmation of ESM disposal



# Prior informed consent (PIC) procedure

## Wastes that require PIC procedure

- Hazardous wastes (Annex I, III, VIII)
- Other wastes (Annex II)

## Wastes that do not require PIC procedure

- Annex IX



# Categories of wastes to be controlled

## Annex I

Examples of waste categories	Y-code, annex I of Basel Convention	H-code, annex III of Basel Convention	A-code annex VIII or B-code annex IX of Basel Convention	United Nations shipping name, number, and hazard class or division
Waste lead-acid batteries	Y31, Y34	H8, H11, H12, H13	A1160	Waste Battery, Wet, Filled with Acid, UN2794, Class 8 -or- Waste Battery, Wet, Non-spillable, UN2800, Class 8
Waste lead-acid batteries, drained	Y31	H11, H12, H13	A1160	Environmentally Hazardous Substances, Solid, N.O.S., UN3077, Class 9
Waste battery electrolyte	Y34	H8	A4090	Waste Battery Fluid, Acid, UN2796, Class 8
Waste lithium batteries	Y19	H13	A1170	Waste Lithium Ion Batteries, UN 3480, Class 9
Waste tyres	-	-	B3140	-
Waste mercury switches	Y29	H11, H12, H13	A1030, A1180	Environmentally Hazardous Substances, Solid, N.O.S., UN3077, Class 9
Waste oils	Y8	H11, H12, H13	A3020	Environmentally Hazardous Substances, Liquid, N.O.S., UN3082, Class 9
Petrol (fuel)	Y9	H3, H11	A4060	Petroleum Products, N.O.S., UN1268, Class 3
Waste antifreeze	Y42	H11	A3140	Environmentally Hazardous Substances, Liquid, N.O.S., UN3082, Class 9
Waste catalytic converters that contain refractory ceramic fibre (RCF)	-	H11	-	Environmentally Hazardous Substances, Solid, N.O.S., UN3077, Class 9

# Disposal operations

## Annex IV

### DISPOSAL OPERATIONS

#### A. Operations which do not lead to the possibility of resource recovery, recycling, reclamation, direct re-use or alternative uses

Section A encompasses all such disposal operations which occur in practice.

D1	Deposit into or onto land, (e.g., landfill, etc.)
D2	Land treatment, (e.g., biodegradation of liquid or sludgy discards in soils, etc.)
D3	Deep injection, (e.g., injection of pumpable discards into wells, salt domes of naturally occurring repositories, etc.)
D4	Surface impoundment, (e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.)
D5	Specially engineered landfill, (e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.)
D6	Release into a water body except seas/oceans
D7	Release into seas/oceans including sea-bed insertion

D8	Biological treatment not specified elsewhere in this Annex which results in final compounds or mixtures which are discarded by means of any of the operations in Section A
D9	Physico chemical treatment not specified elsewhere in this Annex which results in final compounds or mixtures which are discarded by means of any of the operations in Section A, (e.g., evaporation, drying, calcination, neutralization, precipitation, etc.)
D10	Incineration on land
D11	Incineration at sea
D12	Permanent storage (e.g., emplacement of containers in a mine, etc.)
D13	Blending or mixing prior to submission to any of the operations in Section A
D14	Repackaging prior to submission to any of the operations in Section A
D15	Storage pending any of the operations in Section A

# Disposal operations

## Annex IV

### **B. Operations which may lead to resource recovery, recycling reclamation, direct re-use or alternative uses**

Section B encompasses all such operations with respect to materials legally defined as or considered to be hazardous wastes and which otherwise would have been destined for operations included in Section A

<b>R1</b>	Use as a fuel (other than in direct incineration) or other means to generate energy
<b>R2</b>	Solvent reclamation/regeneration
<b>R3</b>	Recycling/reclamation of organic substances which are not used as solvents
<b>R4</b>	Recycling/reclamation of metals and metal compounds
<b>R5</b>	Recycling/reclamation of other inorganic materials
<b>R6</b>	Regeneration of acids or bases
<b>R7</b>	Recovery of components used for pollution abatement
<b>R8</b>	Recovery of components from catalysts
<b>R9</b>	Used oil re-refining or other reuses of previously used oil

# Management of wastes

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- Hazardous and other wastes should be managed and disposed in an environmentally sound manner (ESM)
- Parties are expected to:
  - Minimize the quantities that are moved across borders;
  - Treat and dispose of wastes as close as possible to their place of generation;
  - Prevent or minimize the generation of wastes at source.



# Rotterdam Convention

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## Objectives:

- To promote shared responsibility and cooperative efforts in international trade of certain hazardous chemicals;
- To protect human health and the environment from potential harm;
- To contribute to their environmentally sound use.

## Scope:

- Chemicals – falling into 2 categories: pesticides & industrial chemicals;
- Listed in Annex III, or
- Banned or severely restricted by a Party.

# Exchange of information

FRA notifications

Import responses

Export notifications

**ROTTERDAM CONVENTION**  **Food and Agriculture Organization of the United Nations**  **UN environment**

### THE ROTTERDAM CONVENTION AND ITS PRIOR INFORMED CONSENT (PIC) PROCEDURE

#### WHAT IS THE CONVENTION?

The Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade is a global legally binding agreement that entered into force in 2004. Its objectives are to:

- promote shared responsibility and cooperative efforts among Parties in the international trade of certain chemicals in order to protect human health and the environment;
- contribute to the environmentally sound use of those hazardous chemicals by facilitating information exchange about their characteristics, including by providing for a national decision-making process on their import and export and by disseminating these decisions to Parties.

It provides countries with tools and information to prevent unwanted trade of certain hazardous chemicals through the legally binding Prior Informed Consent (PIC) procedure. As of 13 March 2013 there are 152 Parties to the Convention, with 87 chemicals listed in the Annex II to the Convention and subject to the PIC procedure.

#### THE PLAYERS

Parties	Conference of the Parties (COP)	Chemical Review Committee (CRC)	Secretariat
 Each Party must designate one or more national authorities (NAs), which are their main contact point and authorized to perform the administrative functions required by the Convention. Parties also designate Official Contact Points (OCPs) who communicate with the Secretariat on official issues.	 The Conference of the Parties is the governing body of the Convention, which reviews and evaluates the implementation of the Convention, and makes decisions regarding amendments to the Convention, including the addition of chemicals to Annex II. All Parties have the right to be represented in meetings of the COP.	 The Chemical Review Committee is a subsidiary body of the COP. Its members are government designated experts in chemical management, who review notifications and proposals, disseminate expert opinions and other information provided by the Parties, facilitate assistance to Parties, as well as information exchange between Parties, and foster collaboration and cooperation with other international organizations. The Secretariat is provided jointly to the Food and Agriculture Organization of the United Nations (FAO) and the United Nations Environment Programme.	 The Secretariat makes administrative arrangements for meetings of the COP and subsidiary bodies, writes information accompanying notifications and proposals, disseminates expert opinions and other information provided by the Parties, facilitates assistance to Parties, as well as information exchange between Parties, and fosters collaboration and cooperation with other international organizations. The Secretariat is provided jointly to the Food and Agriculture Organization of the United Nations (FAO) and the United Nations Environment Programme.

# PIC procedure

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- For chemicals listed in Annex III;
- DGD distributed to all Parties;
- Triggers obligation to provide response with respect to the future import of the chemical;
- All Parties to ensure that response is complied with by entities within national jurisdiction.

# Stockholm Convention

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## Objective:

- “Mindful of the precautionary approach”, to protect human health and the environment from the harmful impacts of POPs

## Scope:

- Chemicals listed in 3 annexes:
- Annex A: objective = elimination;
- Annex B: objective = restriction/limitation;
- Annex C: objective = reduce releases from unintentional production.

What are POPs?

# Obligations under the Stockholm Convention

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## Production and use (Article 3, Annexes A and B)

- Elimination
- Restriction
- Trade control (import / export)

## Unintentional production (Article 5, Annex C)

- Identify, characterize, quantify and prioritize sources of releases of Annex C chemicals (inventory)
- Develop strategies with measures, timelines and goals to minimize these releases (action plans)
- Review every five years of these strategies (reports)

## Stockpiles and wastes (Article 6)

# Implementation of BRS conventions related to the oil and gas sector

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- Waste management obligations: specific guidance for ESM of chemicals and wastes in the oil and gas sector;
- Classification of wastes and national reporting;
- Measures to reduce releases of POPs from anthropogenic sources: BAT/BEP;
- Identifying and addressing gaps in the national legal and institutional framework to ensure ESM;
- Identify opportunities for further technical assistance.

# Thank you



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UNEP-Norway Partnership

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