



*United Nations Environment Programme  
(UNEP)*



*Food and Agriculture Organization of the  
United Nations (FAO)*

## **Review of the arrangements adopted pursuant to the “Synergies Decisions” on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions**

### **FINAL REPORT**

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## **Acknowledgements and Disclaimer**

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The views expressed in this paper are those of the consultants and the independent FAO and UNEP Evaluation Offices and should not be attributed to the FAO, UNEP and the Convention Secretariats or any other stakeholders.

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## Acronyms and Abbreviations

|             |  |
|-------------|--|
| AHJWG       | Ad-hoc Joint Working Group   |
| ASB         | Administrative Service Branch  |
| BAT / BEP   | Best Available Techniques / Best Environmental Practices   |
| BC          | Basel Convention   |
| BOA         | Board of Auditors  |
| CA          | Competent Authority (of the Basel Convention)  |
| CEITs       | Countries with Economies in Transition   |
| CHM         | Clearing-house mechanism   |
| CIEN        | Chemical Information Exchange Network  |
| COB         | Conventions Operations Branch  |
| COP         | Conference of the Parties  |
| CRC         | Chemical Review Committee of the Rotterdam Convention  |
| DNA         | Designated National Authority (of the Rotterdam Convention)  |
| Ex-COPs     | Extraordinary meetings of the COPs   |
| FAA         | Finance, Administration and Audit  |
| FAO         | Food and Agriculture Organization  |
| JIS         | Joint Information Service  |
| JLS         | Joint Legal Service  |
| JRMS        | Joint Resource Mobilisation Service  |
| GCI         | Green Customs Initiative   |
| GEF         | Global Environment Facility  |
| GENASIS     | Global Environmental Assessment Information System   |
| GRULAC      | Group of Latin American and Caribbean Countries  |
| IPEN        | International POPs Elimination Network   |
| IPCC        | Intergovernmental Panel on Climate Change  |
| ITS         | Information Technology Service   |
| MEAs        | Multilateral Environmental Agreements  |
| MOU         | Memorandum of Understanding  |
| NGOs        | Non-governmental organisations   |
| NIPs        | National Implementation Plans  |
| OCP         | Official Contact Points (of the Stockholm Convention)  |
| ODS         | Ozone Depleting Substances   |
| OECD-DAC    | Organization for Economic Cooperation & Development – Development Assistance Committee                     |
| OEWG        | Open-ended Working Group of the Basel Convention   |
| OIOS        | UN Office of Internal Oversight Services   |
| QSP         | Quick Start Programme  |
| Party(-ies) | Sovereign states or political and / or economic integration organization who have ratified the Conventions |
| PIC         | Prior Informed Consent   |
| PMS         | Pesticide Stock Management System  |
| POPs        | Persistent Organic Pollutants  |
| POPRC       | Persistent Organic Pollutants Review Committee of the Stockholm Convention                                 |
| RC          | Rotterdam Convention   |
| ReC(s)      | Regional Centres   |

|        |   |
|--------|---|
| RM     | Resource Mobilisation                                     |
| ROs    | Regional Offices (FAO or UNEP)                            |
| SAICM  | Strategic Approach to International Chemicals Management  |
| SC     | Stockholm Convention                                      |
| SOP    | Standard Operating Procedure                              |
| SPC    | Safe Planet Campaign                                      |
| SSB    | Scientific Support Branch                                 |
| TAB    | Technical Assistance Branch                               |
| TOC    | Theory of Change  |
| TOR    | Terms of Reference  |
| UNDESA | United Nations Department for Economic and Social Affairs |
| UNDP   | United Nations Development Programme                      |
| UNEP   | United Nations Environment Programme                      |
| UNIDO  | United Nations Industrial Development Organization        |
| UNITAR | United Nations Institute for Training and Research        |
| UNOG   | United Nations Office at Geneva                           |
| WCO    | World Customs Organization                                |
| WHO    | World Health Organisation                                 |
| WSSD   | World Summit on Sustainable Development                   |

## **Executive Summary**

ES1. The report consists of four sections: the first section provides a descriptive overview of the synergies process and decisions; the second details the objectives, scope, methodology and review limitations; the third section presents findings, responding to the key questions of the review; the fourth section provides conclusions and recommendations.

## **Background**

ES2. The initial discussions on the synergies between the Basel, Rotterdam and Stockholm Conventions and chemicals management in general began following the World Summit on Sustainable Development (WSSD) in 2002 within the UNEP Governing Council. Discussions continued until the synergies process started in 2005 when Parties to the three Conventions decided to explore further the issue and requested the Secretariats to prepare studies on how to improve synergies among the three Conventions and other relevant programmes.

ES3. The studies and the recommendations of the Ad-hoc Joint-Working Group, established in 2006, resulted in the first synergies decisions adopted by the Conference of the Parties (COP) of the three Conventions in 2008 – 2009 and were further developed by the Ex-COP “omnibus decision”<sup>1</sup> on the following thematic areas: (i) Joint activities; (ii) Joint managerial functions; (iii) Joint services; (iv) Synchronisation of budget cycles; (v) Joint audits; and (vi) Review arrangements. The omnibus decision called upon Parties, other stakeholders and the Secretariats to undertake cooperative and coordinated activities to implement the synergies decisions at all levels and to establish the joint services on a permanent basis.

ES4. In 2011, the COP to the three Conventions further decided to establish a joint Executive head function of the Basel Convention Secretariat, the Stockholm Convention Secretariat and the United Nations Environment Programme part of the Rotterdam Convention Secretariat. The joint Executive Secretary was appointed in April 2011 and was granted a mandate to develop a proposal for the modification of the organization of the three Secretariats<sup>2</sup> administered by UNEP. Parties also adopted identical decisions to further enhance cooperation and coordination for 2012-2013 which, among others, adopted joint activities for inclusion in the programmes of work of the secretariats of the three conventions.<sup>3</sup> The Executive Secretary developed a proposal to create a single Secretariat for the UNEP parts to serve the three Conventions, which was circulated at the end of 2011 and began implementation in early 2012.

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<sup>1</sup> Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1 (February 2010).

<sup>2</sup> Basel and Stockholm Conventions are UNEP entities and the Rotterdam Secretariat is split between UNEP and FAO. The combined Secretariat applied to UNEP administered Secretariats only.

<sup>3</sup> Annex I to Decision SC-5/27 (April 2011); Decision RC-5/12 (June 2011); Decision BC-10/29 (October 2011).

## **Objectives, Scope and Methodology**

ES5. The review was undertaken between March and August 2012 with the objectives of examining: (a) The extent to which processes for enhancing cooperation and coordination have taken into account global concerns and responded to the specific needs of developing countries and CEITs; (b) The extent to which actions taken to enhance coordination and cooperation have helped to strengthen: (i) The implementation of the three Conventions at the national, regional and global levels; (ii) Promoted coherent policy guidance; (iii) Enhanced efficiency the provision of support to Parties with a view to reducing administrative burden and maximizing the effective and efficient use of resources at all levels; and (c) Whether enhanced coordination and cooperation among the three Conventions have contributed to the achievement of their ultimate common objectives: the protection of human health and the environment for the promotion of sustainable development.

ES6. The scope of the review was both retrospective and prospective. This involved taking account of the context of the overall past and present efforts by the Secretariats of the Conventions, Parties and other stakeholders, whilst also considering the planned actions insofar as possible. The review assessment was limited to the period since 2008/09<sup>4</sup> when the synergies decisions came into effect, up to and including ongoing actions and changes underway in 2012, with an end date of August 31<sup>st</sup> 2012.

ES7. The review was structured around key OECD-DAC evaluation criteria of relevance, effectiveness, efficiency and sustainability. The methodological approach was theory-based involved (a) document review of public available information; (b) semi-structured interviews with stakeholders; (c) field visits to Brazil, Czech Republic and Uruguay; and (d) a survey questionnaire for Parties.

ES8. The review triangulated sources of data during the analyses, which provided the basis for the conclusions and recommendation. The draft report was subject to comments from UNEP, FAO, Advisory Panel, Parties and non-Parties to the Conventions.

## **Conclusions and Recommendations**

ES9. The review found that progress has been made at the Secretariat level to synergize structure and core functions. Notably, the three UNEP administered Secretariats have been successfully merged into one organization based on a matrix management structure. The structure is now being underpinned with Standard Operating Procedures, which will harmonize procedures and organizational performance. However, it is too early to judge the effectiveness / cost-effectiveness of the new Secretariat in terms of service delivery to Parties.

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<sup>4</sup> Decisions: BC.IX/10 (June 2008); RC.4/11 (October 2008) and SC.4/34 (May 2009) and the subsequent Omnibus Decisions (BC.Ex1/1; RC.Ex1/1; and SC.Ex-1/1) and the 2011 Decisions – SC.5/27 (April 2011); RC.5/12 (June 2011); and BC.X/29 (October 2011).

ES10. At the national [Party] level moderate progress has been made on establishing inter-ministerial committees to ensure cooperation and coordination. Some of the sampled countries such as Brazil and Uruguay indicated that such efforts started several years prior to the synergies process and decisions. Therefore there is an emerging body of experience, which can be drawn on, and serve as inspiration to other Parties. The review found little evidence of legal harmonization and development of life cycle approaches.

ES11. At the regional level the BC and SC Regional Centres (ReC) and the Regional Offices (RO) of UNEP and FAO have yet to become significantly involved in the synergies process in terms of assisting Parties. Other UN agencies and the World Bank are yet to become actively involved in supporting the synergies process, with the common perception that it has yet to progress beyond the Secretariat level.

ES12. At the Global level the Secretariats involvement with the Global Customs Initiative (GCI) has shown the potential for cooperation between Conventions, international organizations and national customs to reduce illegal trade in hazardous and banned chemicals, and wastes, but it is addressing only trade issues and tangible outcomes have yet to be identified.

ES13. The review found that the sustainability of synergies actions at the Secretariat level were good, and the major organizational restructuring has been achieved. Systems are being put in place by the Secretariat management to ensure sustainability. At the Party (national) and regional level the review found many barriers to sustainability.

ES14. The conclusions and recommendations below reflect the evidence presented in the main text and are organised in accordance with key evaluation criteria. Only the main conclusions and recommendations are presented below, for each there are contributing conclusions and supportive recommendations – these can be found in Chapter 4.

| <b>Conclusion</b>  | <b>Relevance</b><br><b>Recommendation</b>   |
|--|---|
| <p>The synergies decisions and resultant processes have been relevant to the Secretariat and to some extent to the Parties, but have failed to effectively involve other partners (namely ReCs, UNEP and FAO ROs and other international agencies, private sector and civil society) and the part of the RC Secretariat based at the FAO in Rome.</p>  | <p>The Secretariat should continue to promote active participation of Parties and other stakeholders and increase their ownership of the process. To this end, the Secretariat and the Parties should ensure the involvement of stakeholders in the design of the programme of work for the next biennium (2014-2015).</p> <p>The extensive FAO and UNEP experience in the field and its knowledge of chemicals should be acknowledged and enhanced through a more active involvement in future synergies work-programme design and implementation.</p> |
| <b>Conclusion</b>  | <b>Effectiveness and Impact</b><br><b>Recommendations</b>   |
| <p>The creation of a single Secretariat for the Basel, Stockholm and UNEP part of the Rotterdam Conventions has put in place the organizational conditions for improved policy coherence.</p> <p>At the national-level some Parties have put in place mechanisms for cooperation and coordination, however this has yet to lead to observable improvements in the implementation of the Conventions.</p>   | <p>COPs should continue to support the Secretariat implementation of the organizational reforms and synergies.</p> <p>Parties should continue to further develop and streamline their cooperation and coordination mechanisms to improve management of chemicals and wastes, and to share information between relevant Ministries.</p>  |
| <b>Conclusion</b>  | <b>Efficiency</b><br><b>Recommendation</b>  |
| <p>The Secretariat has increased the level of transparency and accountability however the re-structuring and, as officially reported by the Secretariat, the lack of funding has delayed the implementation of the synergies decisions.</p> <p>The Secretariat has estimated cost savings of the synergies process between \$2,281,532 and \$2,552,498 for the biennium 2012-2013. It was however not possible to quantify the level of the estimated cost savings against a baseline.</p> | <p>Priority should be given to the implementation of the synergies work programme (S1-S17 activities) bearing in mind that resources saved from the restructuring should all be moved towards improvement of efficiency and implementation of the Conventions at the national-level.</p>  |
| <b>Conclusion</b>  | <b>Sustainability</b><br><b>Recommendation</b>  |
| <p>At the Secretariat level supporting factors are in place to move towards sustainability, however cooperation between new modalities for cooperation (or integration) of the UNEP and FAO managed Secretariats have yet to be defined.</p> <p>Parties seem to be committed to improving their national coordination and cooperation, but legislative, awareness and financial barriers <i>inter alia</i> are preventing movement towards sustainability.</p>                             | <p>The COP(s) should support the new structure and take an appropriate decision to ensure cooperation between the UNEP and FAO managed Secretariats.</p> <p>Removal of capacity, financing and knowledge barriers at the national level need solutions from the Parties and should be based on partnership with the private sector and civil society, with appropriate international support through broad-based catalytic financing for the Conventions (e.g., expansion of the mandate of the GEF or through other means).</p>                        |

### **Recommendations on the review process**

The relevance of the review has been challenged due to the immaturity of the synergies process. The first synergies work programme has not been completed and has been much delayed by the Secretariat re-structuring process, hence it is not yet possible to measure the outcomes or impacts. For this reason **it is recommended that another independent evaluation of the synergies process be conducted in 2016 after two work-programme cycles (2012 – 2013 / 2014 – 2015) have been completed.**

Lastly, **any future review of the synergies must have an appropriate time scale and resourcing to conduct field-level inquiries with a broad range of Parties and stakeholders.** The experience of this review demonstrates the limitation of relying on telephone/Skype interviews and a questionnaire – neither approach provided satisfactory coverage of a large number of developing countries and CEIT Parties.

## **1. Background and Context**

### **1.1 *Introduction***

1. The Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1 (the “omnibus decisions”), were adopted by the Conferences of the Parties (COP) to the Basel, Rotterdam and Stockholm Conventions (BC / RC / SC), respectively, at their simultaneous extraordinary meetings in February 2010. In section VI of the omnibus decisions, entitled “Review arrangements”, Parties have decided that at their respective meetings in 2013, they would review the arrangements adopted pursuant to the synergies decisions<sup>5</sup>, in particular actions taken by the Secretariats of the Conventions to merge and conduct: joint activities; joint managerial functions and joint services, to determine how far they had contributed to achieving the following objectives: (a) strengthening of the implementation of the three Conventions at the national, regional and global level; (b) promoting coherent policy guidance; (c) reducing administrative burden; (d) maximizing the effective and efficient use of resources at all levels; and (e) protecting human health and the environment for the promotion of sustainable development.
2. The purpose of the present review is to assess progress made towards the implementation of the synergies decisions with the objective of establishing how the synergies process has contributed to enhancing cooperation and coordination at the national, regional and global levels. The review takes into account progress made by the Parties, the Secretariats, UNEP, FAO and all the stakeholders involved in the relevant decisions on synergies towards their implementation.
3. The review was conducted in three phases: Firstly an inception phase which elaborated the methodology and review framework, conducted initial desk review, and included the preparation of an inception report. Secondly, the implementation phase, which consisted of primary data collection, including telephone and Skype interviews, field missions to Brazil, Czech Republic and Uruguay and analyses and drafting of the draft report. Finally, the reporting phase which provided opportunities for internal and external comments and adjustments to be made to the report pending its presentation to the COPs in 2013.
4. The final report consists of four sections: the first section provides a descriptive overview of the synergies process and decisions; the second details the objectives, scope, methodology and review limitations; the third section presents findings, responding to the key questions of the review; the fourth section provides conclusions and recommendations.
5. The annexes provide the review matrix, methodological information such as examples of semi-structured questions and also the survey questionnaire, documents reviewed and a list of interviewees.

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<sup>5</sup> Decisions: BC.IX/10 (June 2008); RC.4/11 (October 2008) and SC.4/34 (May 2009)

## **1.2 Historical Overview of the Synergies Process**

6. Initial discussions on the synergies between the chemicals Conventions and chemicals management in general began following the World Summit on Sustainable Development (WSSD) in 2002 within the UNEP Governing Council. Discussions continued until the synergies process started in 2005 when Parties to the three Conventions decided to explore further the issue and requested the Secretariats to prepare studies on how to improve synergies among the three Conventions and other relevant programmes<sup>6</sup>.

7. In 2006 the Parties to the three Conventions mindful of the recent adoption of the Strategic Approach to International Chemicals Management (SAICM)<sup>7</sup> and believing that synergies and cooperation should be subject to a transparent and inclusive process, called for further improved cooperation and coordination among the Conventions. In recognising the legal autonomy of each Convention, Parties decided to establish an Ad Hoc Joint Working Group (AHJWG) to prepare joint recommendations on enhancing cooperation and coordination among the three Conventions<sup>8</sup> and requested the preparation of a supplementary report exploring the specific areas in which cooperation and coordination at the programmatic level would be to the mutual advantage of the three Conventions.

8. Composed of 45 representatives of Parties, 15 from each of the Conventions, the AHJWG met three times<sup>9</sup>. In their first meeting agreement was reached on the objectives and guiding principles to be applied in its future work<sup>10</sup> and consideration was given to the Supplementary Report prepared by the President of the SC<sup>11</sup>. Key among the findings were the: “*... need for clearly identifiable benefits and respect for the individual integrity of the Conventions and the sovereignty of the COPs*” and the merit of “*further discussions not necessarily confined to the three chemicals and wastes Conventions, on whether improved implementation of the Conventions could be facilitated by strengthening coordination with other relevant international bodies*”.

9. At its third and last meeting the AHJWG made specific recommendations on: (i) Organizational issues in the field (including coordination at the national level, programmatic cooperation in the field and coordinated use of regional centres); (ii) Technical issues (including national reporting; compliance/non-compliance mechanisms; and cooperation on technical and scientific issues); (iii) Information management and public awareness issues (including joint outreach and public awareness; information exchange/clearing-house mechanism on health and environmental impacts; and joint input into other processes); (iv)

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<sup>6</sup> Decision SC-1/18 (May 2005); Decision OEWG-IV/10 (July 2005); Decision RC-2/6 (September 2005).

<sup>7</sup> Adopted by the International Conference on Chemicals Management on 06/02/2006 (Dubai, United Arab Emirates)

<sup>8</sup> Decision SC-2/15 (May 2006); Decision RC-3/8 (October 2006); Decision BC-VIII/8 (December 2006).

<sup>9</sup> 26-28 March 2007 Helsinki; 10-13 December 2007 Vienna; 25-28 March 2008 Rome.

<sup>10</sup> Report of the AHJWG on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions on the work of its first meeting - UNEP/FAO/CHW/RC/POPS/JWG.1/4, Annex

<sup>11</sup> Supplementary Report on Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions - BC-RC-SC /AHJWG.1/2 (19/02/2007).

Administrative issues (including joint managerial functions; resource mobilization; financial management and audit functions; and establishment of joint services on an interim basis); (v) Decision making including the convening of three Extraordinary meetings of the three Conferences of the Parties<sup>12</sup> (EX-COPs).

### **1.3 The Synergies**

10. The recommendations of the AHJWG were adopted in 2008-2009 through decisions on cooperation and coordination at national, regional and global levels from each COP to the three Conventions<sup>13</sup> which constitute the backbone and the formal start of the synergies process (see Annex A).

11. Parties, through the “synergies decisions”, also convened the Ex-COPs to the three Conventions which were held in February 2010 in coordination with the 11<sup>th</sup> special session of the UNEP Governing Council/Global Ministerial Environment Forum. The Executive Director highlighted the fact that the process was driven by the *“need for more effective deployment of resources to tackle unprecedented environmental change”* with a view *“to promote enhanced coordination, coherence and synergies between Multilateral Environmental Agreements (MEAs) and the United Nations system, thus increasing United Nations system’s contribution towards a more integrated approach to international environmental governance and management at the national, regional and international levels”*<sup>14</sup>.

12. The main outcome of Ex-COPs was the adoption of the “omnibus decision”<sup>15</sup> on the following thematic areas: (i) Joint activities; (ii) Joint managerial functions; (iii) Joint services; (iv) Synchronisation of budget cycles; (v) Joint audits; and (vi) Review arrangements. The omnibus decision elaborated on the 2008 – 2009 synergies decisions and called upon Parties, other stakeholders and the Secretariats to undertake cooperative and coordinated activities to implement the synergies decisions at all levels and to establish the joint services on a permanent basis.

13. Parties to the three Conventions further decided to establish a joint head function to serve for a period of two years to be reviewed at the ordinary meetings of the COPs in 2013. The joint head was requested to develop a proposal for the modification of the organization of the three UNEP managed Secretariats for the biennium 2012-2013 for consideration by the COPs at their ordinary meetings in 2011. However, as a result of the appointment of the joint

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<sup>12</sup>Report of the AHJWG on enhancing cooperation between the Conventions -UNEP/FAO/CHW/RC/POPS/JWG.3/3 (29/03/2008).

<sup>13</sup> Decision BC-IX/10 (June 2008); Decision RC-4/11 (October 2008); Decision SC-4/34 (May 2009).

<sup>14</sup>Comments by the Executive Director on the management review of environmental governance within the United Nations system carried out by the Joint Inspection Unit, Eleventh special session of the Governing Council/ Global Ministerial Environment Forum UNEP/GCSS.XI/5 (02/12/2009)

<sup>15</sup> Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1 (February 2010).

head [Executive Secretary]<sup>16</sup> in April 2011 the proposal for the organization of the BC, SC and UNEP part of the RC was not presented at the 2011 COPs.

14. In 2011 Parties adopted substantively identical decisions to further enhance cooperation and coordination<sup>17</sup> and approved the cross-cutting and joint activities for inclusion in the programme of work of the Secretariats of the three Conventions for 2012-2013<sup>18</sup> on: (i) Technical assistance (activities S1-S5); (ii) Scientific and technical activities (activities S6-S7); (iii) Regional centres (activities S8-S9); (iv) Clearing-house mechanism (activities S10-S11); (v) Public awareness, outreach and publications (activities S12-S14) ; (vi) Reporting (activity S15) ; and (vii) Overall management (activities S16-S17).

15. Parties further requested the Executive Secretary to prepare a proposal for the organisation of the Secretariats of the BC, SC and UNEP part of the RC, including staffing levels, numbers and structure, in consultation with the Parties through the bureaux, to be implemented by 31 December 2012. The RC Secretariat in Rome was not supposed to be part of this structural reorganisation and thus not substantively involved or consulted in the initial preparation of the Executive Secretary's proposal.

16. This proposal was presented in December 2011<sup>19</sup> based on views expressed by regional groups, meetings with officers of Geneva-based permanent missions and staff members of the three Conventions and the findings of the sub-groups set up under the Secretariat Task Force on Restructuring. It represented a shift from the programmatic structure consisting of three separate Secretariats dedicated to each respective Convention with a joint convention services group to a single Secretariat matrix structure based on functions. The new structure consists of four branches covering administrative (and finance) service (ASB), convention operations (COB), technical assistance (TAB) and scientific support (SSB).

17. The proposal was made available to all Parties and observers. Only a few Parties<sup>20</sup> and one observer have expressed their views.<sup>21</sup> The Executive Secretary implemented the proposals as of February 2012 and one Secretariat was created serving all three Conventions managed by UNEP.

18. At the next cycle of COPs<sup>22</sup> Parties will consider a full organisational proposal that is cost-neutral in respect of the adopted operating budgets of the Conventions taking into account the reports on the reviews to be prepared by the Secretariat and the Evaluation Offices of UNEP/FAO. The proposal will be considered together with draft decisions on the

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<sup>16</sup> Mr. Jim Willis - Former Director of the U.S. Environmental Protection Agency's (EPA), Chemicals Control Division

<sup>17</sup> Decision SC-5/27 (April 2011); Decision RC-5/12 (June 2011); Decision BC-10/29 (October 2011).

<sup>18</sup> Annex I to Decision SC-5/27 (April 2011); Decision RC-5/12 (June 2011); Decision BC-10/29 (October 2011). For each activity the following information is provided: title; mandate; objective; indicators of achievement; short description; expected outputs; method of implementation; partners.

<sup>19</sup> Joint managerial functions – proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the secretariats of the three Conventions (21/12/2011).

<sup>20</sup> Armenia, Canada, European Union and its Member States, Mexico, Norway and Switzerland.

<sup>21</sup> To which response was provided by the Executive Secretary in June 2012

<sup>22</sup> The next COPs will be held back-to-back in Geneva in April – May 2013.

review of arrangements adopted pursuant to the synergies decisions, draft proposals for joint activities for 2014-2015 and respective budget for the same biennium.

19. The sections below provide an overview of the arrangements derived from the main decisions on enhancing cooperation and coordination among the Conventions (Secretariat, Parties and other stakeholders) which are listed in detail under Annex B.

### ***Synergies for the Secretariat***

20. The Secretariat has been commissioned, through the synergies decisions, to undertake various actions which include *inter alia*: dissemination of good practices<sup>23</sup> and elaboration of guidance and training in various areas indicated below; promotion of the effective implementation of the decisions of the COPs to the three Conventions and their work programmes in the area of technology transfer and capacity building and cooperation on cross-cutting issues in those areas; facilitate the exchange of relevant information between the technical and scientific bodies of the three Conventions through the sharing of information with one another, with the secretariat of the SAICM and with other relevant intergovernmental bodies; initiate pilot projects on the coordinated use of regional centres and exchange information about their capacities and work programmes; maintain or establish cooperation on common technical issues; develop a common approach to awareness-raising and outreach activities; and develop systems of information exchange on health and environmental impacts, including a clearing-house mechanism (CHM).

21. The most recent COPs requested the Secretariats to pursue further cooperation and coordination in respect of the activities that are not listed in the proposed crosscutting and joint activities programme for 2012-2013. The Executive Secretary was mandated to undertake several actions on joint managerial and service functions.

### ***Synergies for Parties***

22. In establishing the synergies process Parties have simultaneously agreed on the need to strengthening implementation of each Convention at the national, regional and global levels while reducing their administrative burden and maximizing the effective and efficient use of resources at all levels.<sup>24</sup>

23. The synergies decisions invited Parties to take several actions on organizational issues in the field including *inter alia*: establish or strengthen national processes or mechanisms for coordinating and provide models of such coordination mechanisms and examples of good coordination practices; ensure close cooperation and coordination among relevant sectors, ministries or programmes at the national level with respect to those areas

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<sup>23</sup> Good practices such as national and regional collaboration and cooperation; legal frameworks; life-cycle approaches and synergistic investments.

<sup>24</sup> Neither of these objectives have been sufficiently defined by the COPs or by the Secretariat and are thus open to a range of interpretations.

indicated below (see para 24); incorporate in their national development plans and strategies measures to implement the three Conventions in order to ensure coherence in their national priority setting and to facilitate the provision of aid by donors in response to country and regional demand; strengthen capacity-building and technical support to developing countries and countries with economies in transition (CEITs) for coordinated national implementation; consider establishing common websites and documentation centres at the national and, where appropriate, regional levels, containing available information on human health and environmental impacts relevant to the three Conventions.

24. The areas that have been identified as benefiting from a close cooperation and coordination among relevant sectors, ministries and programmes at the national level are, among others: a) protection of human health and the environment from the harmful impacts or adverse effects of hazardous chemicals and wastes; (b) prevention of accidents and emergency response in case of accidents; (c) combating illegal trade and trade in hazardous chemicals and wastes; (d) information generation and access; (e) technology transfer and transfer of know-how; (f) preparation of national positions for meetings of the COPs and other bodies of the three Conventions; (g) development cooperation.

25. The omnibus decisions invited Parties, regional centres (ReCs) and other stakeholders to exchange experiences, in particular on examples of good coordination practices, through voluntary reports on national and regional activities. A total of 37 countries, three ReCs and two Non-governmental organisations (NGOs) expressed their views, which were summarised by the Secretariats and submitted to the COPs of each Convention in 2011.<sup>25</sup>

### ***Synergies for Other Stakeholders***

26. ReCs (of the BC and SC) play an important role in supporting implementation of the Conventions. The importance of the coordinated use of ReCs was highlighted by the AHJWG<sup>26</sup> and after by the synergies decisions which invited Parties, with other stakeholders, to promote their full and coordinated use in order to strengthen the regional delivery of technical assistance under the three Conventions and to promote coherent chemicals and waste management, bearing in mind the existing and ongoing work of other MEAs and institutions.

27. The synergies decisions recommended that a limited number of regional focal centres be selected from among those of the BC and SC, with the responsibility of facilitating coordinated activities in the regions covering both chemicals and waste management in order to: (a) ensure that the regional centres deliver their work and serve as an entry point for countries needing assistance or guidance; (b) strengthen regional centres to enable them to exercise a more synergistic approach as delivery mechanisms under the three Conventions; (c) play a special role in providing an overview of their activities and results to the COPs of

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<sup>25</sup> UNEP/CHW.10/INF/39; UNEP/FAO/RC/COP.5/INF/12; UNEP/POPS/COP.5/INF/15.

<sup>26</sup> Report of AHJWG on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions on the work of its second meeting (08/01/2008) UNEP/FAO/CHW/RC/POPS/JWG.2/18

the three Conventions as examples of lessons learned on enhanced practical implementation of the Conventions. In 2010 at the Barcelona meeting of ReCs (see para 109), it was subsequently decided that focal centres were not required, as it would result in the fragmentation of partnership between them.

28. The GEF, within its mandate, other relevant international financial institutions and instruments, the ReC host countries and others from the donor community have been called upon to provide financial support for the ReCs to carry out projects aimed at cooperation and coordination in support of implementation of the three Conventions.

29. UNEP and FAO<sup>27</sup>, working together with other bodies of the United Nations, in particular UNDP, MEAs, and other international bodies, were invited to develop programmatic cooperation in the field that would support implementation of the three Conventions in areas of common concern such as sustainable development, trade, customs (for example through the Green Customs Initiative- GCI), transport, public health, labour, environment, agriculture and industry. UNEP, UNDP and FAO were further invited to include such cooperation in their work programmes.

30. The omnibus decision encourages, urges and invites “other stakeholders” to undertake the same actions pending upon Parties on joint activities, and joint services.

31. The proposed cross-cutting and joint activities for inclusion in the programme of work for the three Conventions for 2012-2013 identify the partners to each activity which, besides those indicated above include: the United Nations Institute for Training and Research (UNITAR), the UNEP chemicals, the UNEP Division of Environmental law and Conventions, the World Health Organisation (WHO), the World Customs Organization (WCO), several NGOs and industry (private sector) bodies.

## **2. Objectives, Scope and Methodology**

### ***2.1 Objectives and Scope***

32. The objectives of the review are to examine:

- a. The extent to which processes for enhancing cooperation and coordination have taken into account global concerns and responded to the specific needs of developing countries and CEITs.
- b. The extent to which actions taken to enhance coordination and cooperation have helped to strengthen:
  - i. The implementation of the three Conventions at the national, regional and global levels;

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<sup>27</sup> UNEP and FAO involvement recognized their established experience in chemicals and pesticides management.

- ii. Promoted coherent policy guidance;
- iii. Enhanced efficiency the provision of support to Parties with a view to reducing administrative burden and maximizing the effective and efficient use of resources at all levels

c. Whether enhanced coordination and cooperation among the three Conventions have contributed to the achievement of their ultimate common objectives: the protection of human health and the environment for the promotion of sustainable development.

33. The scope of the review was both retrospective and prospective. This involved taking account of the context of the overall past and present efforts by the respective organizations and the secretariats of the Conventions to cooperate and to coordinate their activities with the aim of promoting efficiencies in their support for Parties, whilst also considering the planned actions.

34. The review assessment was limited to the period since 2008/09<sup>28</sup> when the synergies decisions came into effect up to and including ongoing actions and changes underway in 2012, with an end date of August 31<sup>st</sup> 2012.<sup>29</sup> A period of just over four years.

35. Whilst adhering to the scope above the review also took into account the actions and context prior to 2008, keeping in mind the broader discussions on synergies commenced in 2002 following the WSSD, and the changes in overall context of MEAs over the last decade. The past context was reconstructed and assessed, insofar as possible, to establish ‘a baseline’ situation prior to the synergies to compare qualitatively against the current and evolving situation.

36. The review scope, however, did require some adjustment and attention to flexibility. The review TOR<sup>30</sup> approved by the COPs focused predominantly on the joint-services and a concomitant set of outcomes and indicators applicable to the 2008 – 2011 period. However, in 2012 the joint-services were integrated into a single Secretariat. The review insofar as possible was able to use the same set of outcomes with some modification, but with the understanding that the context going forward is quite different for a single as opposed to three Secretariats with limited joint-services arrangements.

37. The conclusions and recommendations<sup>31</sup> are based on past and present practice with the intent of improving synergies between the Conventions. In line with the scope limitation imposed by the TOR the review did not assess, draw findings or make recommendations on compliance with the provisions of the Conventions.

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<sup>28</sup> Decisions: BC.IX/10 (June 2008); RC.4/11 (October 2008) and SC.4/34 (May 2009) and the subsequent Omnibus Decisions (BC.Ex1/1; RC.Ex1/1; and SC.Ex-1/1) and the 2011 Decisions – SC.5/27 (April 2011); RC.5/12 (June 2011); and BC.X/29 (October 2011).

<sup>29</sup>Date for closure of the synergies survey questionnaire for Parties.

<sup>30</sup>ToR for the preparation of the report by the evaluation offices of UNEP and FAO – Annex V to Decision SC-5/27, RC 5/12, BC 10/29Annex V to Decision SC-5/27, RC 5/12, BC 10/29

<sup>31</sup> The TORs also requested lessons learned to be distilled from the findings, but in many cases the review found it is too early to develop lessons for the draft. They may be added after internal review.

## 2.2 Key Questions

38. The key questions were provided in the review TOR's, and were structured according to OECD-DAC evaluation criteria of<sup>32</sup>; relevance; effectiveness and impact; efficiency and sustainability:

### 2.2.1 Relevance

- To what extent are the synergies decisions and actions congruent with the broader global, political, institutional and environmental context; taking into account –
  - Trends towards synergies in other Conventions
  - Trends in chemicals and hazardous waste strategies and management of other organizations (e.g., GEF, UN agencies and Multilateral Development Banks)
  - Trends in approaches to environmental management
- To what extent do the synergies decisions and actions respond to the needs of all Parties to the Conventions particularly:
  - Developing countries
  - Countries with economies in transition
- To what extent the actions taken by the secretariat and Parties are consistent with and responsive with the COP synergies decisions?
- To what extent synergies process and actions have been relevant to reducing administration burden and maximizing use of resources?
  - Are there alternatives to synergies that would also deliver the same efficiency gains?

### 2.2.2 Effectiveness and Impact

- How and to what extent have the actions taken (pursuant to the decisions) strengthened the implementation of the three Conventions at national, regional and global level?<sup>33</sup>
- To what extent the mechanisms established pursuant to the *omnibus decisions* have directly or indirectly assisted in promoting and enhancing cooperation and coordination among the Conventions?
- How have outcomes of actions taken pursuant to the synergies decisions contributed to the achievement of the common objectives of the Conventions: the protection of human health and the environment for the promotion of sustainable development?

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<sup>32</sup>[http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html)

<sup>33</sup> The review will take account of indicators set out by the decisions to measure progress towards strengthened implementation.

### 2.2.3 Efficiency

- To what extent have efforts and actions taken to forge synergies among the Conventions been cost-effective?
- To what extent efforts and actions taken to forge synergies among the Conventions were undertaken in a timely manner?
- To what extent actions pursuant to the synergies decisions have reduced administrative burden in the Conventions Secretariats, Parties and other stakeholders and contributed to maximizing the efficient use of resources at all levels?
- To what extent actions pursuant to the synergies decisions have led to improved efficiency and implementation of convention activities at the national-level?

### 2.2.4 Sustainability

- What are the factors that are likely to contribute to the persistence of benefits arising from synergies between the Conventions at national level and at the level of the Conventions Secretariats?
- What are the likely factors that will constrain synergies among the Conventions at national level and at the level of the Conventions Secretariats?

39. The questions were not well aligned with the preliminary performance indicators detailed in the TORs (which were mainly focused on Secretariat-level synergies). The review developed a review [evaluation] matrix to specify the sources of information, basic data and to elaborate further on indicators (see Annex C).

## 2.3 Approach and Methodology

### 2.3.1 Theory-based Approach

40. The approach taken during the inception phase of the review was to develop a theory of change (TOC) for the synergies process. An initial TOC was developed by UNEP – FAO Evaluation Offices prior to contracting of the review team. The initial TOC focused on joint-services and traced out pathways from outputs through to planned impacts and was provided as an input into inception phase. The review refined the TOC based on a review of the synergies decisions and then collected data and shifted the focus – delineating links between outcomes and impacts, referred to as *outcomes-impacts pathways model*.

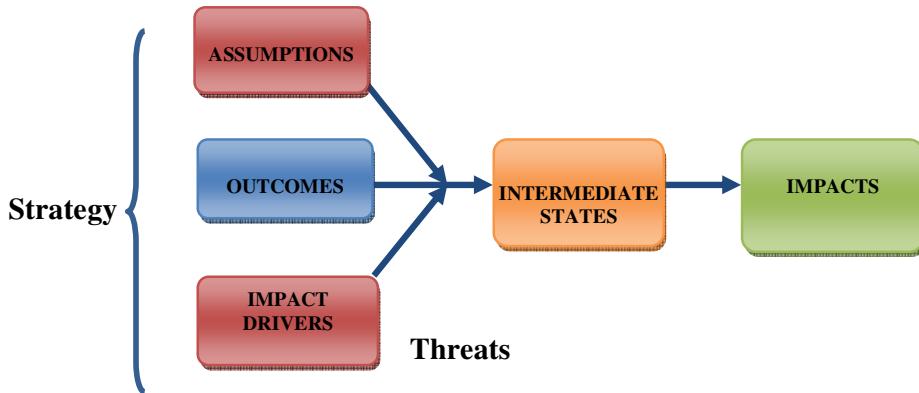
41. The TOC sets out the logical sequence of conditions and factors that are necessary to deliver impact, and sustainability.<sup>34</sup> The synergies process did not explicitly develop a conceptual framework for detailing the relationship between explicit (planned) and implicit

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<sup>34</sup> For information on the use of theory of change approaches in the evaluation of environmental projects (on which this model is based) please see: GEF (2009) Review of Outcomes to Impacts (ROtI): Practitioners Handbook. GEF Evaluation Office. Washington DC. (pages 7 – 15) Also see Morra-Imas & Rist (2009) The Road to Results: Designing and Conducting Effective Development Evaluations. The World Bank. Washington DC. (pages 153 – 156)

outcomes, impacts or set clear targets and indicators of success. Each outcomes-impacts pathway represents a specific strategy. Figure 1 below illustrates the key elements and relationships for the detailed TOC between outcomes and impacts.

**Figure 1. Generic outcomes-impacts pathways model (Theory of Change)**



42. The key ingredients in the outcomes-impacts pathways (or strategies) are impact drivers, assumptions and intermediate states which are defined in Table 1 below. If the intervention outcomes are assessed to be successfully delivered and the key ingredients of the outcomes and impacts model are in place, then it is reasonable to conclude that there is indirect evidence that the barriers and threats to impact have been overcome and that impact has or will be achieved with time.

**Table 1. Definitions in Outcomes-impacts Pathways**

| TOC terms                | Definition   |
|--------------------------|--|
| Impact Drivers (ID)      | The measures that are needed to overcome the major barriers / threats to realisation of the intermediate states, and that an intervention can potentially incorporate or influence. The presence of impact drivers provides a good basis for sustainability from outcomes to impact. |
| Assumptions (A)          | The factors that are needed to overcome the major barriers to realisation of the intermediate states, but that are largely beyond the scope of the intervention to incorporate or influence.   |
| Intermediate States (IS) | The transitional conditions between the interventions outcomes and impacts in which the major barriers to ultimate achievement of the intended impacts have been overcome  |

43. Two outcomes-impact models were developed: The first focused on national (Party) – regional synergies required to move towards impact and sustain and strengthen initial outcomes; secondly at the Secretariat level, which focus primarily on internal and organizational outcomes (see Figures 2 and 3).

44. The likely impact drivers and assumptions that need to be present to make progress towards impacts are:

- a. Governments are committed to enhancing national (ID1) / regional (ID2) cooperation and coordination among Ministries responsible for the implementation of the Conventions: In order for the strengthened implementation of the three conventions ministries<sup>35</sup> and governments need to work together to coordinate policy, legislation and enforcement to manage chemicals and hazardous waste at national and regional levels.
- b. Other stakeholders (BC / SC ReCs, UN agencies, civil society, private sector) are incentivized to support synergistic interventions (ID3): Synergies require other stakeholders to work together to respond to government(s) policy and legislation. For example, for the private sector this would include putting in place life cycle approaches for product development and use based on minimizing occupational, health and environmental impacts of products, supply chains, transportation, use and disposal. A key incentive for the private sector would be waste minimization and costs savings from more efficient production, sourcing and supply chain management, leading to enhanced sustainability.
- c. **Management capacities are sufficient to enforce national legislation and measure progress (ID4):** In order for legislative changes to support synergies to be effective national capacity will need to be sufficient to enforce rules and regulations. Furthermore, monitoring and evaluation capacity will be critical to track progress towards reducing exposure to hazardous chemicals and wastes in humans and the environment.
- d. **Leadership of the Secretariat is actively committed to the synergies process (ID5):** The synergies process involves merging and re-structuring the Conventions secretariats into one cohesive cross-functional team. This requires leadership commitment to the process of change management and the maintenance of service delivery to Parties.
- e. **Synergies re-structuring is supported by Secretariat staff (ID6):** A critical driver to ensure the functioning of a single Secretariat and the delivery of services to Parties will be a motivated and supportive staff. Key indicators of support will be staff satisfaction with their new roles and responsibilities and also retention of staff.

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<sup>35</sup> Typically, Environment, Agriculture, Health and Industry.

**Figure 2 Outcome-Impact Pathway for Synergies at the National and Regional Level**



*Enhanced cooperation and coordination between the Basel, Rotterdam and Stockholm Conventions at the National, and Regional level leads to improved protection of human health and the environment*

| GOAL | OUTCOMES  | DRIVERS & ASSUMPTIONS  | THREATS / RISKS   | INTERMEDIATE STATE (RESULTS)  | IMPACT   |
|------|---|--|---|---|--|
| Goal | Expected Outcomes   | What key drivers and assumptions that are responsible for delivery (or non-delivery) of results  | What are the risks or threats that will prevent results / impacts   | What has happened since the intervention(s) ended, or still needs to happen, to achieve impacts?  | What was the strategy ultimately aiming to achieve? - IMPACTS                            |
|      | <p>Strengthened national process and coordinating mechanisms among sectors and ministries</p> <p>Policy coherence improved through the integration of the three Conventions into national development plans and strategies</p> <p>Harmonized legislation to promote life-cycle approaches to ensure environmentally sustainable management of chemicals and wastes</p> <p>Strengthened technical capacities for coordinated national and regional implementation</p> <p>Improved knowledge management on human health and environmental impacts</p> | <p>ID1: Governments are committed to enhancing national cooperation and coordination among Ministries responsible for the implementation of the Conventions</p> <p>ID2: Governments are committed to regional cooperation and coordination for the implementation of the Conventions</p> <p>ID3: Other stakeholders (BC / SC ReCs, UN agencies, civil society, private sector) are incentivized to support synergistic interventions</p> <p>A1: Policies and legislation at the national level can be harmonized</p> <p>ID4: Management capacities are sufficient to enforce national legislation and measure progress</p> | <p>Conflicts ('turf wars') between Ministries block cooperation and coordination</p> <p>Lack of Government commitment to national and regional policy and legislative harmonization</p> <p>Other stakeholders are not sufficiently involved or incentivized to support synergies</p> <p>National management capacities are insufficient to enable synergies</p> <p>No measurement of progress towards improved protection of human health and the environment</p> | <p>Policy and legislative changes (Life-cycle / cradle to grave or product stewardship) are implemented</p> <p>Cost-effective and viable synergistic investments are executed by stakeholders (e.g., Government, private sector)</p> <p>Monitoring and evaluation of environmental status and human health to track progress towards Convention goals</p> | <p>Reduced exposure to hazardous chemicals and wastes for humans and the environment</p> |

**Figure 3 Outcome to Impact Pathway for Synergies at the Secretariat Level**

The flowchart illustrates the Outcome to Impact Pathway for Synergies at the Secretariat Level. The process is structured as follows:

- GOAL** (Grey box)
- OUTCOMES** (Blue box)
- DRIVERS & ASSUMPTIONS** (Red box)
- THREATS / RISKS** (Red box)
- INTERMEDIATE STATE (RESULTS)** (Orange box)
- IMPACT** (Green box)

Arrows indicate a sequential flow from GOAL to OUTCOMES, OUTCOMES to DRIVERS & ASSUMPTIONS, DRIVERS & ASSUMPTIONS to THREATS / RISKS, THREATS / RISKS to INTERMEDIATE STATE (RESULTS), and finally INTERMEDIATE STATE (RESULTS) to IMPACT.

**Table Data:**

| Objective   | Expected Outcomes?   | What key drivers and assumptions that are responsible for delivery (or non-delivery) of results   | What are the risks or threats that will prevent results / impacts                             | What has happened since the intervention(s) ended, or still needs to happen, to achieve impacts?               | What was the strategy ultimately aiming to achieve? - IMPACTS                            |
|---|--|---|---|--|--|
| <p><i>Enhanced cooperation and coordination between the three Conventions at the Secretariat level leads to strengthening of implementation; more coherent policy guidance; reduced administrative burden; more efficient and effective use of resources resulting in improved protection of human health and the environment</i></p> | Improved implementation of substantive activities at national, regional and global level     | ID5: Leadership of the Secretariat is actively committed to the synergies process   | Conflicts and delays within the Secretariat lead to poor delivery of services to Parties      | Improved implementation of the Conventions at the national and regional, and global level                      | <p>Reduced exposure to hazardous chemicals and wastes for humans and the environment</p> |
|   | Improved financial management and audit for the Conventions                                  | ID6: Synergies re-structuring is supported by Secretariat staff   | Insufficient accountability mechanisms put in place to support service delivery               | Improved policy and legislative harmonization and enforcement at the national and regional levels              |  |
|   | Harmonized IT service for the Conventions  | A2: Accountability and incentive structures are in place to support administrative and technical synergies and service provision to Parties | ReCs and UNEP & FAO regional offices do not have the capacity or funding to support synergies | Regularized and reliable funding sources to support implementation of the Conventions                          |  |
|   | Resource mobilization leads to increased funding for Conventions related activities          | A3: Parties are supportive of synergies   | Lack of financing for implementation of the Conventions                                       | Improved knowledge among the public and policy-makers of the need for increased action on chemicals and wastes |  |
|   | Enhanced Public information and outreach   | A4: Broad-based and sufficient financing options can be developed to support chemicals and wastes management                                | Low visibility of chemicals and wastes threats and risks                                      |  |  |
|   | Harmonized legal service for the three Conventions improves policy and legislative coherence |   |   |  |  |

- f. **Policies and legislation at the national level can be harmonized (A1):** An important part of the synergies processes at the national level are policy and legal harmonization to ensure that chemicals and hazardous wastes are regulated and managed effectively and efficiently. Harmonization will also contribute to simplification and reduction in administrative burden for the private sector.
- g. Accountability and incentive structures are in place to support administrative and technical synergies and service provision to Parties (A2): Roles and responsibilities are aligned to carry out the synergies process and activities within the re-structured secretariat (e.g., job descriptions, operating procedures, functions and processes within teams, clear reporting lines, individual performance criteria) are in place to underpin the delivery of services internally and to Parties.
- h. **Parties are supportive of synergies (A3):** It is assumed that the Parties are supportive of the synergies process and activities and that they will support the Secretariat actions and also take actions at the national-level to improve coordination and cooperation between the three Conventions (e.g., inter-ministerial coordination / committees or bringing responsibilities under one ministry).
- i. **Broad-based and sufficient financing options can be developed to support chemicals and wastes management (A4):** It is assumed that financing for synergies through a range of means (donor, government and private sector) will be developed to improve sound management of chemicals and wastes based on a life cycle approach.

### 2.3.2 *Methodology*

45. The methods employed by the review were qualitative and quantitative combining: documentary review; semi-structured interviews; and a structured questionnaire survey of Parties. The data collection methods were aimed to respond to the objectives and questions of the review as per the TOR and also to assess the outcome-impact pathways (see 3.3 and 3.4). Further detail is provided below.

46. The document review focused on: (i) publicly available information on the synergies process; and (ii) non-public documents provided by the Secretariat and other stakeholders. During the inception phase the review was focused on public documents available<sup>36</sup> through the websites of the Conventions, Parties, ReCs, UNEP, FAO and other stakeholders and processes such as SAICM. It was also anticipated that many non-public documents such as meeting minutes, back-to-office country visit reports and relevant correspondence would be made available to the review. However, the review team were informed that such non-public documents did not exist.<sup>37</sup> Follow up during the implementation phase failed to reveal many relevant non-public documents. A full list of all documents consulted by the review is provided in Annex D.

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<sup>36</sup> Some were not available, such as the compilation of comments on the AHJWG's draft recommendation UNEP/FAO/CHW/RC/POPS/JWG.3/INF/9

<sup>37</sup> The review team made a request to the Secretariat for non-public documents including minutes of meetings and relevant correspondence as required by the ToR (see para 22). in mid-March 2012 (teleconference 19.3.2012). The only non-public document made available to the team was the draft audit report of the Basel Convention conducted by UN OIOS in 2011 and the comments made by the Executive Secretary.

47. Six protocols were developed to assess the documents for information on: joint substantive activities; joint legal services; joint IT; joint information services; joint financial and administrative support services and audit; joint resource mobilization services and synchronization of budget cycles. The protocols collected key information on decisions for each activity / input; activities conduction; outputs and outcomes against the indicators; follow up questions and issues for the implementation phase were also noted. In addition, any information on baseline situation prior to the synergies decision and process was noted for comparative review.

48. Semi-structured interview protocols were developed and discussions were held with the following stakeholders (see Annex E):<sup>38</sup>

- Secretariats staff and management (37)
- Convention Bureau representatives and former members of the AHJWG (4)
- Representatives of Parties from developed and developing countries and those with economies in transition (7)
- UNEP and FAO Regional Offices (ROs) (6)
- Other agencies including GEF, UNEP, UNIDO, UNDP and the World Bank (9)
- BC / SC ReCs including joint / focal centres (7)
- NGOs / civil society and representatives from industry (3)

49. The interviews protocols focused on obtaining information on baseline situation prior to synergies process, relevance including stakeholder involvement, emerging results and factors influencing results, efficiency, challenges and missed opportunities. The specific questions were developed and tailored to sets of stakeholders. Interviews were conducted in person through visits to the Geneva – Rome Secretariats and also with those Parties who agreed to field visits. All other interviews were conducted by telephone or Skype. Where possible interviews were conducted jointly by the review team in order to compare and triangulate notes and improve the accuracy, reliability and validity of transcriptions.

50. 14 Parties<sup>39</sup> (and approximately 45 government representatives) were selected for semi-structured interviews. The sampling was purposive and aimed to gain a greater understanding of experiences at the national level facilitating and challenging synergies from the perspective of developing countries and CEITs. The sampling, in so far as was possible given the time and resource constraints, attempted to gain insights from all UN regions.

51. Of the 14 Parties, five countries: Brazil, Czech Republic, Kenya, South Africa and Uruguay were selected for field visits by the review team. Selection was based on opportunities for interviews with BC Competent Authorities (CAs) / RC Designated National Authority (DNAs) and SC Focal Points (FPs); ReCs and / or UNEP ROs and FAO ROs in-country or in neighbouring countries. Field visits were conducted in Brazil, Czech Republic

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<sup>38</sup> Number interviewed indicated in brackets.

<sup>39</sup> The Competent Authorities (BC), Designated National Authorities (RC) and Focal Points (SC) of Argentina, Brazil, Chile, Czech Republic, China, India, Kenya, Nigeria, Pakistan, Senegal, South Africa, Thailand, Togo and Uruguay.

and Uruguay and involved meetings with the FP / DNA / CA for the three Conventions and in one country with UNEP office representative, and visits to BC / SC ReCs. The planned field visits to Kenya and South Africa were cancelled due to lack of availability of key government representatives, and ReCs in-country were interviewed by telephone.

52. Interviews with BC and SC ReCs focused on those that had received grant assistance to implement synergies actions at the national and regional level as reported to the COPs in 2011.<sup>40</sup> Interviews with the UNEP and the FAO ROs focused on support given to Parties to promote synergies and their involvement in the ongoing synergies work programme (S1 – S17). Other stakeholders including other UN agencies, GEF and NGOs were interviewed to gain additional insights into synergistic actions undertaken including project assistance.

53. A structured survey questionnaire was designed in April 2012 based on the preliminary review of documents, TOR outcome indicators and the preliminary TOC. The survey was targeted only at representatives of the Parties. The questionnaire focused on Parties perceptions of performance and change with regard to the situation prior to the synergies decisions (the baseline before 2008) and then since (2008 – 2012). It responds directly to the indicators specified in the TOR for the review (see Annex F).

54. The survey questionnaire was jointly launched and managed alongside the Secretariat (self-managed review) on April 30<sup>th</sup> 2012 and remained open until August 31<sup>st</sup> 2012.<sup>41</sup> The deadline was informally extended for 15 countries that had nearly completed the survey and were subsequently encouraged to do so by September 14<sup>th</sup> 2012. 17 out of 179 Parties responded to the questionnaire<sup>42</sup> of which only 11 were CEITs or developing countries. Hence the response rate was low and less than expected given the length of time provided for completion (see Annex G).

55. Basic survey analysis and data processing was conducted by the Secretariat and provided to the review team for analysis and integration into the report in September 2012.

### *2.3.3 Data Analysis*

56. The synthesis and analyses of the qualitative and documentary data by the review team was conducted on a rolling basis throughout the implementation phase. This permitted the review team to identify emerging or new issues and also adjust the protocols as necessary.

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<sup>40</sup> UNEP/FAO/RC/COP.5/24/Add.1 – programme of work and proposed budget for the biennium 2012 – 2013, also UNEP/CHW.10/23/Add.1 and UNEP/POPS/COP.5/35

<sup>41</sup> It was originally planned that the survey questionnaire would be open for one month (May 2012). However, the Secretariat advised, based on the timeline agreed for the preparation of the Secretariat's report, that the independent review questionnaire needed to be open for the same period of three months allowing Parties to respond and to take account of international meetings (e.g., Rio+20 and INC4 etc.) and vacations which would disrupt responses over a shorter timeframe.

<sup>42</sup> Argentina, Bulgaria, Canada, France, Georgia, Guatemala, Italy, Madagascar, Myanmar, Mexico, Malaysia, Romania, Slovakia, Switzerland, Turkey, Ukraine and Uruguay

57. The primary data synthesis and analysis technique was triangulation. This was done at several levels<sup>43</sup>:

- Methodological triangulation: through comparing and contrasting the data collected through documentary, interviews (and between interviewees) and survey sources.
- Reviewer triangulation: involving more than one review team member in interviews and documentary review.
- Data triangulation: time, space and stakeholder – this was achieved by triangulating different stakeholder responses on the same issue.

58. Responses from stakeholder interviews were entered into a matrix and mapped to review criteria and key review questions. This allowed the analyses to be conducted across stream of data, rather than focusing on individual stakeholder responses and thus minimizing bias.

59. The review used a simple scale for judging relevance, effectiveness, efficiency and sustainability based on ‘strong, moderate, weak’ qualitative rating scale (see Table 2).

**Table 2: Rating Scale**

| Rating   | Definition  |
|----------|---|
| Strong   | <p>Evidence of achievement of outputs / outcomes or impacts</p> <p>Presence of conditions / actions that support progress towards impact and / or sustainability in which major threats or barriers have been mitigated</p>       |
| Moderate | <p>Some evidence of achievement of outputs / outcomes or impacts</p> <p>Presence of conditions / action that support progress toward impact and / or sustainability but threats and barriers may not have been mitigated</p>      |
| Weak     | <p>Little evidence of achievement of outputs / outcomes or impacts</p> <p>No significant presence of conditions / actions that support progress toward impact and / or sustainability and threats or barriers remain in place</p> |

#### **2.4 Review Limitations**

60. Based on the review inception and implementation phases the following constraints were identified which limited the extent to which it was possible to respond to the objectives and key questions in the TOR:

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<sup>43</sup> See Denzin, N. (2006) *Sociological Methods: A Source Book*. Aldine Transaction. New York (5<sup>th</sup> Edition)

- Many of the actions pursuant to the synergies decisions have been under implementation for a short period of time or have not begun substantive implementation (e.g., the Secretariat 2012 – 2013 work-programme).<sup>44</sup> Therefore, the expected outcomes and impacts are not yet widely observable at national, regional and global level. Changes were more easily observable at the Secretariat level, however the outcomes are mostly ‘process-level’.
- The Executive Secretary of the BC, SC and UNEP part of RC had already implemented the proposal for the creation of a single Secretariat in February 2012 prior to the review implementation phase therefore the joint-services shared by the three Conventions had ceased to exist. Staff, had in some cases been reallocated to new roles and responsibilities and this made it challenging to assess outcomes against agreed indicators in the TOR. In essence the review was evaluating an evolving situation within the context of a new organizational structure. It was not possible to evaluate the organizational effectiveness or efficiency of the new single Secretariat.
- The extent to which outputs / outcomes from national and regional synergies could be addressed by the review through field work / interviews was limited for several reasons:
  - a. 7 out of 14 Parties did not meaningfully respond to invitations for semi-structured interviews, hence it was not possible to obtain data. Several Parties cited preparations for the Rio+20 conference and INC4 intergovernmental negotiations to prepare a global legally binding instrument on Mercury, which meant they were not able to devote time to answer the review questionnaire.<sup>45</sup> Furthermore, several ReCs, ROs, former Secretariat staff and private sector did not respond to requests or declined to be interviewed for the review. For non-responding Parties the review team was able to take information from government websites and consult national chemical profiles (produced under the SAICM)<sup>46</sup>, however this was not a perfect substitute for the lack of direct contact with the Party.
  - b. The review was limited in financial resources and time; this restricted opportunities to sample a wider number of Parties experience – through interviews and / or field missions to developing countries and CEITs.
- The review was unable to assess the effects of coordination and cooperation among the Conventions on contribution to protection of human health and environment because of limited data availability and issues of attribution. Most developing countries have not established baselines or monitoring and evaluation systems to measure changes in human health or environment associated with policies, actions and interventions to reduce exposure to hazardous chemicals and wastes. For example, the recently completed UNIDO thematic evaluation of POPs projects found

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<sup>44</sup> The 2011 Decisions SC5/27; RC5/12 and BC10/29 Annexes I – III provide details on the 2012 – 2013 activities, indicators and expected outputs of synergies actions (S1 – S17).

<sup>45</sup> The review team did make a request to attend the INC4 Mercury negotiations to interview Parties (many of whom also attend the BC / RC / SC COPs) however the request was not approved by UNEP citing the busy schedules of delegates.

<sup>46</sup> <http://www.unitar.org/cwm/saicm/national-profile>

no evidence that countries or projects had adequate capabilities in place to monitor and report on changes (-/+) on human health and the environment.<sup>47</sup>

- The review team was not granted access to all the documents and data requested. This has been particularly relevant with regard to the determination of the baseline for estimating efficiency and cost-savings.
- Party responsiveness to the survey questionnaire was very limited, with only 11<sup>48</sup> out of 17 responses (out of 179 targeted parties) were from developing countries or CEITs. This significantly impeded the extent to which the review could use findings to triangulate with interview data. To this end the survey data was used to provide further contextual evidence on the synergies process, and cannot be viewed as a statistically representative response.
- The later availability of the survey questionnaire data after the closure of the qualitative data collection meant that it was not possible to conduct any follow up interviews to resolve or clarify discrepancies between data sets.
- Finally, the preliminary performance indicators provided in the TORs were not well aligned with the key review questions. Furthermore the outcomes detailed tended to confuse outcomes with outputs.

### 3. Findings

#### 3.1 Relevance

61. The relevance assessment responded to key questions focused on the extent to which synergies decisions and actions are: (a) congruent with the broader international context; (b) consistent with the COP synergies decisions; (c) responsive to the needs of all Parties to the Conventions particularly developing countries and CEITs; (d) relevant to reducing administrative burden and maximizing use of resources. Consideration was also given to possible alternatives to synergies that would deliver the same efficiency gains.

##### 3.1.1 Relevance to Broader International Context

62. The synergies process among the Conventions constitutes the first international effort to streamline environmental governance and as such has been on the leading edge of efforts to harmonize and improve cooperation and coordination between MEAs.<sup>49</sup> The synergies process has been used as an input into ongoing discussions to promote synergies among the biodiversity MEAs, as an intergovernmental model of how to move forward with

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<sup>47</sup> See for example the UNIDO (2011) Thematic Evaluation of UNIDO work in the area of Persistent Organic Pollutants. UNIDO Evaluation Group. Vienna.

<sup>48</sup> The response was uneven with only 10 developing countries and CEITs responding to the 'prior to synergies' questions and 11 responding to the 'after synergies questions'. This made the comparison between the two on the same question(s) inconsistent.

<sup>49</sup> NORDEN (2010) Report from a Nordic Symposium: Synergies in the Biodiversity Cluster. Helsinki Finland. (April 2010)

discussions and decision-making.<sup>50</sup> Some key factors that have enhanced the relevance of the synergies process that are being used by biodiversity MEAs are: (a) that the majority of the detailed negotiations of the synergies decisions were discussed and recommended by the AHJWG and not elevated directly to the COPs; and (b) the attention paid to building a transparent process in which trust could be established between the Parties.<sup>51</sup>

63. Concurrent to the synergies decisions there has been a continuing process within the UN agencies, the World Bank and the GEF<sup>52</sup> to move away from discrete strategies and programmes based on clusters of chemicals such as Ozone Depleting Substances and POPs (e.g., Destruction technologies and processes) towards a focus on sound management of chemicals and wastes, life cycle approaches and cleaner production. This is in part related to developments within the SAICM process<sup>53</sup>, as well as an anticipation of the increasing synergies between the Conventions. But the GEF is not a financial mechanism for the BC or RC, and hence is limited to provide funding only for the SC projects.

64. Lastly, within the wider environmental and sustainability debates there has been increased emphasis among the private sector to further develop and solidify their sustainability aspects of business. This has been in part driven by legislative pressure but also by public demand in developed countries (but also increasingly in developing countries and CEITs) for product safety, stewardship and / or cradle to grave approaches (including guidelines) that are analogous to life cycle approaches advocated under the synergies decisions.<sup>54</sup>

### 3.1.2 Consistency with COP decisions

65. The programme of work of the Secretariats of the Conventions for 2012-2013 adopted in 2011<sup>55</sup> was based on the synergies decisions which provided the mandate and the scope of each activity which comprise: technical assistance and capacity building at national and regional levels (S1-S3); partnerships with MEAs (S4); regional centres and south-south cooperation (S5, S8, S9); coordination among scientific bodies (S6); updating POPs waste guidelines (S7); joint CHM and IT (S10 and S11); public awareness, outreach and publications (S12-S14); reporting (S15); resource mobilisation (S16); and review arrangements (S17). The status report on the implementation of the joint activities presented

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<sup>50</sup> UNEP-WCMC (2012) Promoting Synergies within the Biodiversity-related MEAs. UNEP-WCMC. Cambridge.

<sup>51</sup> O. Álvarez-Pérez & K. Stendahl on *Synergies between the Basel, Rotterdam and Stockholm Conventions, from AHJWG to ExCOPs*, presented at the Nordic Symposium: Synergies in the biodiversity cluster, Helsinki, April 2010

<sup>52</sup> See UNIDO: <http://www.unido.org/index.php?id=04460> GEF: <http://www.thegef.org/gef/node/1353> UNDP: [http://www.undp.org/content/undp/en/home/ourwork/environmentandenergy/focus\\_areas/chemicals\\_management/](http://www.undp.org/content/undp/en/home/ourwork/environmentandenergy/focus_areas/chemicals_management/) See UNIDO: <http://www.unido.org/index.php?id=04460>; World Bank (2004) The Global Pursuit of the Sound Management of Chemicals. World Bank. Washington DC.

<sup>53</sup> <http://www.saicm.org/>

<sup>54</sup> For the chemical industry: <http://www.icca-chem.org/en/Home/Responsible-care/> ; Chlorine based industry: <http://www.worldchlorine.org/sustainability/index.html> mining - <http://www.icmm.com/> For the chemical industry: <http://www.icca-chem.org/en/Home/Responsible-care/> ; \

<sup>55</sup> Annex I to Decisions SC-5/27 (April 2011), RC-5/12 (June 2011) and BC-10/29 (October 2011).

in May 2012 to the Meeting of the Bureau of the COP to the SC is consistent with the Decisions on Synergies<sup>56</sup>.

66. The Executive Secretary of BC SC and UNEP part of RC answered the request from Parties to prepare a proposal for the organization of the BC SC and UNEP part of RC secretariats, including staffing levels, numbers and structure (Section II of the synergies decisions), which was made available for comments in December 2011<sup>57</sup>.

67. The Executive Secretary of BC SC and UNEP part of RC was also requested to include joint audits in the decisions on financing and budget for 2012-2013.

68. As indicated below (see Section 3.2), mechanisms and instruments of cooperation and coordination have been identified at national level within the scope of the synergies decisions.

69. In conclusion, the Secretariat has acted within the mandate received from the COPs. As for the Parties the activities reported are consistent with the synergies decisions but no evidence was found that the coordination and cooperation at the national level was determined by the synergies decisions.

### *3.1.3 Responsiveness to Developing Countries and Countries with Economies in Transition*

70. The guiding principles of the AHJWG's work adopted at its first meeting included the need to respond to the specific needs of developing countries and CEITs.<sup>58</sup>

71. The omnibus decisions are mindful of the various principles recognized within the three Conventions, including pertinent provisions of the Rio Declaration on Environment and Development, such as the principle of common but differentiated responsibilities<sup>59</sup>.

72. The decisions from the Ex-COPs noted that the processes for enhancing cooperation and coordination are driven by Parties, should take into account global concerns and respond to the specific needs of developing countries and CEITs. It encourages Parties to strengthen capacity-building and technical support to developing countries and CEITs for coordinated national implementation (see Annex B).

73. The fact that the same decision on synergies was endorsed by the COPs of the three Conventions calling upon action from the Secretariats, Parties and other stakeholders demonstrates that in spite of the initial concerns raised mainly by some Parties to the BC, arguing that being an older MEI it could lose importance to the other two conventions, and by

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<sup>56</sup><http://chm.pops.int/Convention/ConferenceofthePartiesCOP/Meetings/COPBureau2012/tabid/2728/mct/ViewDetails/EventModID/1126/EventID/258/xmid/8820/Default.aspx>

<sup>57</sup> Proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organisation of the secretariats of the three conventions (21/12/2011).

<sup>58</sup>Report of the AHJWG on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions on the work of its first meeting UNEP/FAO/CHW/RC/POPS/JWG.1/4, Annex I

<sup>59</sup> Preamble to Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1

some developing countries, claiming that the process was too top-down and could lead to reduction of resources allocated to implementation, there is a general support to the synergies process.

74. Several actions to promote synergies were already being undertaken prior to 2008 including on the mechanisms for institutional structure (see section 3.2), a high-level roundtable in 2004 which culminated in the adoption of the *Prague Declaration on enhancing cooperation among chemicals-related MEAs*<sup>60</sup> and regional workshops to promote synergies in developing countries and CEITs<sup>61</sup>.

75. The potential for allowing mainstreaming of chemicals into development agendas, promoting new opportunities for funding, streamlining meetings and reporting requirements (data collection and submission) have been identified by many interviewees as the main benefits of the synergies process for developing countries and CEITs which have limited financial and human resources. On the other hand for countries that were already cooperating and coordinating at national level, for instance within the Group of Latin American Countries (GRULAC), the synergies process represents mainly a formalization of an already established institutional coordination.

76. A substantial part of the synergies decisions are directed to national coordination and cooperation, promotion of coherent policy guidance and national reporting. In order for synergies to enhance relevance for developing countries and CEITs, the sampled Parties identified many barriers to implementing the synergies decisions in developing countries and CEITs (see section 3.2), indicating that there are many challenges and needs to be met.

77. The need to ensure 'full respect for the legal autonomy of each convention' (in line with paragraph 7(a) of Section II on Joint Managerial Functions of the Omnibus decisions) has been stressed by Parties and other stakeholders during the interviews as a key element. The review found no evidence that the legal autonomy of the Conventions has been undermined by the synergies process and decisions.

78. The synergies process has been mainly focused on the Parties through discussions outside (e.g., AHJWG) and inside the COPs. The process has called on and expected involvement of other stakeholders such as the ReCs, UNEP and FAO ROs, other UN agencies, civil society and the private sector. However, the review found that the predominant view among other stakeholders is that they see the process as exclusive and open to Parties only – the ReCs, for instance, claimed that they should attend the COPs. Many stakeholders stated that synergies 'are for the Secretariat' and/or 'for Geneva.' The past approach of

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<sup>60</sup> Ministerial Roundtable on Illegal Trade and International Chemicals Management attended by representatives from 61 countries and the European Commission (November 2004, Prague) [http://ozone.unep.org/new\\_site/en/Treaties/treaties\\_decisions-hb.php?nav\\_id=2026](http://ozone.unep.org/new_site/en/Treaties/treaties_decisions-hb.php?nav_id=2026)

<sup>61</sup>Regional workshop organized by LATU on the coordinated implementation of the three conventions in Latin America and Caribbean (January 2004, Montevideo) - see Recommendations and Final Conclusions: [http://www2.unitar.org/cwm/publications/cbl/synergy/pdf/cat1\\_gen/rec\\_and\\_concl\\_gen3.pdf](http://www2.unitar.org/cwm/publications/cbl/synergy/pdf/cat1_gen/rec_and_concl_gen3.pdf)

Workshop in Central and Eastern Europe on Strengthening of Co-operation Based on Chemicals and Hazardous Wastes Conventions (March 2004, Prague)

confining discussions to Parties reduces the relevance of the synergies when at an operational level many more stakeholders are needed to make synergies a reality.<sup>62</sup>

### *3.1.4 Relevance to Reducing Administrative Burden and Resource Maximization*

79. The way in which the synergies decisions are drafted illustrates their priorities: – firstly to improve implementation and achievement of the objectives of the three Conventions (Sections I, II and III) whereas the administrative issues are dealt at the end (Section IV)<sup>63</sup>. The decisions clearly state that any resources saved are to be reallocated towards implementation – the restructuring proposal is to *save costs on support services and move resources towards assistance for the implementation of the three Conventions* (paragraph 5 of Section III on Joint Services of the Omnibus decision).

80. The most relevant aspects of synergies identified by the various stakeholders during the interviews have been: improving the level of services provided by the Secretariat; facilitating implementation of the Conventions (through *inter alia* awareness raising, regulation, technical assistance, scientific support, data collection and monitoring); reducing duplication and overlaps; and streamlining reporting and planning.

81. Reducing costs and administrative burden has been identified as being more relevant at present to international [Secretariat] and global level than at regional or national level where increased mobilization of resources is perceived to be required to improve implementation of the Conventions, promote better cooperation and coordination among them and overcome barriers (see section 3.2 and 3.3).<sup>64</sup>

### *3.1.5 Alternatives to Synergies*

82. Stakeholders did not identify alternatives to the synergies process but some noted that transition could have been promoted in a more efficient and inclusive manner.

83. Firstly, due to the lengthy process of decision-making and a degree of organizational inertia the managerial actions required for synergies at the Secretariat level were stretched out over three years and this resulted in excessive stress and uncertainty for technical and administrative staff. An alternative process would have had clearer organizational targets and goals for the Secretariat.

84. Secondly, as already stated, others have also pointed out that alternative synergies decisions and process would have been more inclusive and drawn in knowledge and experience from other stakeholders. Various weaknesses of the synergies process were highlighted which provide an indication of what an alternative set of decisions and processes could have included: (i) the decisions and process did not adequately address all the concerns raised by the part of the Secretariat of the RC based at the FAO in Rome on the new

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<sup>62</sup> Interview data.

<sup>63</sup> Decisions: BC.IX/10 (June 2008); RC.4/11 (October 2008) and SC.4/34 (May 2009)

<sup>64</sup> Interview data.

organizational structure; (ii) the approach followed during the negotiations has in some aspects been top-down with discussions led by diplomats without full consideration of all the technical and managerial implications which affected the level of involvement of the different developing countries and CEITs; (iii) the ‘one size fits all’ may not solve the wide variety of challenges and contexts faced by Parties at the level of implementation, capacity, knowledge and enforcement; and (iv) the process has not allowed for active participation of ReCs, UN agencies, civil society or the private sector, although some of these groups have been permitted to ‘observe’ the process. Furthermore, the decisions have called some of these groups to participate in the implementation of the synergies decisions, which creates a contradiction when they have not been actively involved in the decision-making process.

85. For Parties that were already ‘synergizing’ the relevance of the COPs decisions was the endorsement of their *status quo*. Although it is too early to judge if synergies decisions will lead to enhanced relevance (e.g., through policy changes and investment) for those countries who have already developed synergistic management approaches. For those that were not yet cooperating and coordinating no evidence has been found that the synergies decisions have resulted in organizational changes in the national management of chemicals and wastes or investments (see section 3.2).

86. In summary **the relevance of the synergies process and decisions is strong at the Secretariat and moderate to weak at Parties level**. Little evidence of relevance of the synergies decisions has been found regarding the other stakeholders (ReCs, UNEP ROs and FAO ROs and other UN agencies) mainly due to their lack of involvement / ownership of the synergies process.

### **3.2 Effectiveness and Impact**

87. The effectiveness and impact assessment responded to the key questions focused on the extent to which synergies process and activities had: (a) strengthened implementation of the three Conventions at national, regional and global level; (b) promoted and enhanced cooperation and collaboration among the Conventions at the Secretariat level; and (c) contributed to the achievement of the common objectives of the Conventions - protecting human health and environment for the promotion of sustainable development.

#### **3.2.1 Implementation at the National Level**

88. National synergies encompass a range of (possible) processes such as; organizational changes in national management of chemicals and wastes through coordinating mechanisms and / or the gathering of responsibilities under a single ministry; incorporation of chemicals and wastes issues in development planning, priority setting and budgeting; harmonizing of legislation to ensure policy and enforcement coherence; and also development of tangible investments and life-cycle approaches involving government and private sector (see Box 1). In the sampled countries the review looked for evidence of such action and approaches to synergies.

**Box 1. Life cycle approaches to chemicals and waste management**

Life-cycle management of toxic and hazardous chemicals in the interests of protecting health and environment refers to both prevention and control measures undertaken from a chemical's development to its ultimate destruction. Management is therefore comprehensive ("cradle-to-grave"). It entails governmental co-ordination among ministries; enabling legislation and regulatory provisions and practices that address screening and assessment of chemicals, labelling of products at all stages of the life-cycle; governance relative to chemical import, transport, storage, sale, use, recycling and disposal, mandatory safety provisions, e.g., with respect to workers, production site design; emergency contingency (in event of spills, accidents); source reporting of products (e.g., labelling and standards), wastes generated and releases; monitoring (i.e., of humans, animals, fish and birds, including aquatic life and of food and feed stocks); laboratory analysis; identification and remediation of contaminated sites; research; training; risk communications and public outreach, education and awareness-raising; governmental co-ordination among ministries; obligatory corrective actions, and audit and compliance procedures among the private sector.

89. Sampled Parties reported modest progress on the development of inter-ministerial cooperation and coordination. Brazil and Uruguay reported that cooperation and coordination pre-dated the synergies decisions and were an 'intrinsic part of good environmental governance and management.' In other countries such as Kenya and Togo mechanisms have been put in place more recently. Furthermore, promotion of cooperation and coordination is also stressed under the SAICM and the scope and constraints have been identified through the national chemical profiles process. However, regardless of the maturity of the institutional coordination and cooperation mechanisms the functions were not without challenges.

90. Uruguay undertook action to strengthen inter-ministerial cooperation and coordination on environmental issues during the early 1990s through the creation of the Technical Advisory Commission for the Protection of the Environment (COTAMA). It is composed of all public and private stakeholders including civil society and meets every two months with the aim of improving the integration of environmental issues (including chemicals and wastes) into public and private decisions, policies and strategies. In 2007, the Government of Uruguay created the Working Group for Chemicals (WGC) which is a sub-commission of COTAMA. The WGC is chaired by the Ministry of Environment and also involves the Ministries of Agriculture and Health. Although the mechanism pre-dates the synergies decisions and is relatively mature, it was reported to be largely controlled by the Ministry of Environment with the other ministries having little control over the agenda of its ad-hoc meetings. Furthermore, in spite of the progress made on synergies there are four DNAs for the RC (Min of Environment, Health, Agriculture and Foreign Affairs), which results in a vertical and bureaucratic institutional structure with little horizontal articulation of crosscutting issues between Ministries.

91. Similar to Uruguay, Brazil commenced actions to improve cooperation and coordination on chemicals and wastes in the early 2000s with the creation of the National Commission for Chemical Safety (CONASQ), which brings together representatives from Ministries, civil society and the private sector. It is coordinated by the Ministry of Environment and meets approximately four times per year. A key factor underpinning the functioning of the CONASQ and the Governments internal cooperation is that the FP / DNA / CA for the three Conventions is based in the Ministry Foreign Affairs which helps to create a common integrated vision for chemicals and waste issues. More generally the majority of the Parties to all three Conventions have taken steps to consolidate FP / DNA / CA's with 72

Parties having some similarities (sharing 2 or 3 country contacts between the Conventions), 56 Parties have no similarities between the designated country contacts.<sup>65</sup>

92. In Kenya<sup>66</sup>, India, Nigeria, Pakistan, South Africa and Togo inter-ministerial coordination mechanisms have been put in place, and coordination has in some countries (e.g., Kenya) been underpinned by supporting legislation mandating such approaches. Similar experiences were also documented in Costa Rica, Egypt<sup>67</sup>, Macedonia, India, North Korea and Venezuela.<sup>68</sup>

93. The main internal and external operational constraints<sup>69</sup> to synergies highlighted by Parties and other stakeholders were:<sup>70</sup>

- Lack of embedded culture of good governance and overlapping ministry and committee mandates – some Parties reported that this was often related to power and political struggles between ministries and personalities which are difficult to overcome through awareness-raising and training in the short-run;
- Capacity gap - lack of human resources and technical expertise resulting in poor enforcement of legislation;
- Fragmented or absent legislation and policy to enable coordination and cooperation, and life-cycle management of chemicals and wastes;
- Lack of knowledge and data on chemicals and hazardous waste risks, levels of contamination etc.;
- Poor awareness and demand for action from government policy-makers and public;
- Insufficient engagement with civil society and the private sector to develop joint-solutions to hazardous chemicals and wastes challenges;
- Lack of financing opportunities for the BC and RC activities – several Parties reported that development of synergistic investments was challenging because of lack of funders and narrow priorities of existing funders (e.g., GEF);
- Lack of coordination and cooperation among UN agencies addressing chemicals and wastes and promotion of synergistic approaches – several Parties noted that UN agencies project designs are often uncoordinated.<sup>71</sup>

94. These challenges are common and have been well documented but remain difficult to resolve.<sup>72</sup> In part the synergies process has placed the majority of emphasis at present on

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<sup>65</sup> From information provided by the Secretariat as of June 4<sup>th</sup> 2012.

<sup>66</sup> For Kenya See Environmental Management and Coordination Act 1999; and Waste Management Regulations 2006. [http://www.nema.go.ke/index.php?option=com\\_content&view=article&id=137&Itemid=490](http://www.nema.go.ke/index.php?option=com_content&view=article&id=137&Itemid=490)

<sup>67</sup> Egypt has practiced synergy several years prior to the synergy process and decisions. The three conventions are hosted in one institution which is the Ministry of Environment, and are managed by one head over sighting the whole chemicals and waste cluster (response to the draft review January 2013)

<sup>68</sup> See BC/RC/SC (2011) Synergies Success Stories: Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions. UNDESA, BC, RC, SC, UNEP and FAO. Geneva and Rome.

<sup>69</sup> Interview data

<sup>70</sup> See also national chemical profiles for Kenya, India, Pakistan, South Africa and Thailand. <http://www.unitar.org/cwmsaicm/national-profile>

<sup>71</sup> Also noted in response to the draft review by Mauritius.

<sup>72</sup> See also UNEP (2012) Global Environmental Outlook – Chapter 6 – Chemicals and Waste. UNEP. Nairobi. <http://www.unep.org/geo/>

process-level aspects of cooperation and coordination whilst leaving the more difficult issues requiring tangible action to be addressed at a later unspecified date by Parties and other stakeholders.<sup>73</sup> The constraints seem to confirm several of the main threats detailed in the outcome-impact pathways (see Figures 2 & 3) – absence of adequate capacity and government commitment / prioritization.

95. Harmonization of legislation, the development and implementation of life-cycle management of chemicals and wastes, and investment was not widely reported by sampled Parties. Chile reported progress in involving the cement (co-processing of hazardous waste) and mining companies (mercury negotiations). Typically there are gaps in legislation as highlighted alongside capacity constraints.<sup>74</sup> For example the Pakistan Ministry of Environment reported in 2009:

*“Legislation related to different aspects of life cycle of chemicals, especially with reference to import, export, production, use ... is very comprehensive. The legislation dealing with disposal, transportation and storage of chemicals is insufficient. These areas are required to be addressed urgently. All institutions, in charge of enforcing these acts, should be sufficiently supported in terms of increasing manpower and improving the infrastructure and equipment. Some of these acts do not address problems of chemical management adequately...”<sup>75</sup>*

96. Several of the Parties highlighted lack of monitoring data and research on current state of chemical and waste risks and contaminated sites limits the extent to which the ‘chemicals and wastes agenda’ can be pushed within central government and this contributes to relatively small budgets allocated to Ministries for enforcement and sound management. It then limits the budget for monitoring and research creating a negative feedback loop that is difficult to overcome.

97. In developing countries such as Nigeria, legislation has been put in place to improve management of chemicals and wastes through their life cycle with fines for companies that don’t comply with laws and regulations.<sup>76</sup> But difficulties arise in enforcement and poor local governance.<sup>77</sup>

98. Based on information collected from the sample of Parties there seems to be a paucity of good practice with regard to life-cycle approaches, legislation and investments. There are good practices to be drawn on from developed countries. For example, Australia recently approved the Product Stewardship Act (2011) to encourage the private sector to gain accreditation for reducing hazardous substances in the design and manufacture of products

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<sup>73</sup> Without clearly delineating roles and responsibilities, accountability and / or indicators to measure progress or sanction inaction – e.g., compliance.

<sup>74</sup> Reported in the national chemical profiles of Kenya, India, Nigeria, Pakistan, South Africa and Thailand.

<sup>75</sup> Ministry of Environment (2009) National Profile for Chemical Management in Pakistan. Government of Pakistan. Islamabad. [http://www2.unitar.org/cwm/publications/cw/np/np\\_pdf/Pakistan\\_National\\_Profile\\_2009.pdf](http://www2.unitar.org/cwm/publications/cw/np/np_pdf/Pakistan_National_Profile_2009.pdf)

<sup>76</sup> Interview data. See also: Baseline Study: Towards a Non Toxic Environment in Africa – Nigeria Case Study (2007) [http://www.basel.int/Portals/4/Basel%20Convention/docs/centers/proj\\_activ/tctf\\_projects/029.pdf](http://www.basel.int/Portals/4/Basel%20Convention/docs/centers/proj_activ/tctf_projects/029.pdf)

<sup>77</sup> UNIDO (2012) Mid-term Evaluation of the Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention. UNIDO Evaluation Group. Vienna.

and also to support safe recycling, treatment and disposal. Companies that adhere to the product stewardship receive accreditation under the government voluntary scheme, which can then be used (labelled) on their products.<sup>78</sup> Other good practices were observed in the former CEITs such as the Czech Republic, which in 2009 established the Inter-sectoral Council for Chemical Safety composed of representatives of Ministries, private sector and civil society. The roles of the council include, *inter alia*: support to the implementation of EU regulations relating to chemical safety and coordination of the activities of representatives of the Czech Republic in international fora.<sup>79</sup>

99. In summary, some Parties have made modest progress **in putting in place national institutional structures for cooperation and coordination**. This is an initial step towards strengthened implementation of the Conventions, but little progress seems to have been made on legislative harmonization, life-cycle approaches and putting in place tangible synergistic investments. This is a function on the immaturity of the synergies process, but also related to constraints Parties face, which block effective implementation of the Conventions.

### 3.2.2 Regional and Global Level

100. At the regional and global level the decisions invited Parties to cooperate with each other, particularly with regard to trade, customs, transport, public health, labour, environment, agriculture and industry. Within the context of regional cooperation the decisions also invited Parties and other stakeholders<sup>80</sup> to promote full and coordinated use of the ReCs to strengthen delivery of technical assistance, promote information exchange, good practices and guidance under all three Conventions.<sup>81</sup>

101. At the global level the GCI, including chemicals and wastes, was launched in 2005 to support Customs in facilitating legal trade and combating illegal trade in environmentally sensitive goods. The initiative was developed from earlier capacity building and technical assistance for customs officers, which was developed by the UNEP DTIE OzonAction Compliance Assistance Programme under the Montreal Protocol on ODS. The partnership includes INTERPOL, UNEP, United Nations Office on Drugs and Crime (UNODC), Organization for the Prohibition of Chemical Weapons (OPCW), the WCO as well as the Secretariat of trade-related MEAs (Montreal Protocol, CITES, BC, RC, SC and CBD). It has included joint-workshops / training with the WCO in Africa, Asia and Central Asia, Eastern Europe and Latin America. Train – trainer sessions were also held at the BC / SC ReC meeting in Barcelona. An e-learning tool was planned to be launched by the three conventions and the WCO in 2011.<sup>82</sup> The GCI is a promising initiative however the outcomes such as reduced illegal trade as indicated by tonnages of chemicals detected and

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<sup>78</sup> Interview data. Interview data. Interview data. See also <http://www.environment.gov.au/settlements/waste/product-stewardship/legislation/index.html>

<sup>79</sup> Interview data.

<sup>80</sup> UN technical agencies such as UNDP, UNEP, FAO, UNIDO and UNITAR.

<sup>81</sup> It recommended that a limited number of regional centres be designated as ‘focal centres’ with the responsibility for facilitating technical work on chemical and waste management.

<sup>82</sup> Yet to be confirmed.

successful prosecutions of criminals have yet to be clearly documented through independent evaluation.

102. Another global-level initiative is the Global Environmental Assessment Information System (GENASIS) developed by the SC ReC in the Brno, Czech Republic. The aim of GENASIS is to compile validated global data (from soil, air or water samples) on POPs transportation, effects and risks for analyses and presentation through ArcGIS enabling the spatial interpretation of data. Inputs to the GENASIS include data from Monitoring Network for the determination of POPs in ambient air (MONET) from Africa, Asia / Pacific and Europe. The GENASIS database hopes to strengthen global monitoring and data collection so that it can be used to improve decision-making by policy-makers.<sup>83</sup>

103. The involvement of ReCs of the BC and SC in supporting and implementing synergies actions at the regional / national level is central to the synergies decisions. The review found that several of the ReCs have been working on sound chemicals management and waste management (e.g., particularly e-waste and ship waste) and trying to adopt a more integrated approach prior to the synergies decisions<sup>84</sup> whilst others began training and capacity building activities since 2008. Since 2008, the ReCs have been involved in delivering or assisting in delivery of workshops and trainings within their regions, developing and maintaining regional networks of experts and institutions.

104. The review found that although workshops and trainings have been delivered on synergies and were reported to have raised awareness, and brought government officials together to exchange experiences, tangible contributions to outcomes in terms of changes at the national or regional level are difficult to identify. An exception to this was the BC ReC for Central America and Mexico (Centro Regional del Convenio de Basilea para Centroamérica y México, BCRC-CAM) in El Salvador which is implementing a pilot initiative to explore joint-destruction options for Ozone Depleting Substances (ODS) and POPs therefore promoting synergies between the SC and Montreal Protocol.<sup>85</sup>

105. Several of the ReCs commented that they had not been involved at the COPs or consulted by the Secretariat during the development of the 2012 – 13 work programme and that the process was top-down:

*“We should be seen as active partners as indicated in the [synergies] work programme but we are in practice seen as executors of a decision.”<sup>86</sup>*

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<sup>83</sup> Interview data. See BC/RC/SC (2011) Synergies Success Stories: Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions. UNDESA, BC, RC, SC, UNEP and FAO. Geneva and Rome.

<sup>84</sup> Brazil: SC RC - Companhia Ambiental do Estado de São Paulo; Czech Republic: SC RC Research Centre for Toxic Compounds in the Environment (RECETOX); Uruguay: SC RC Coordinating Centre for Training and Technology for Latin America and the Caribbean.

<sup>85</sup><http://www.basel.int/DNNAdmin/AllNews/tabid/2290/ctl/ArticleView/mid/7518/articleId/333/Central-America-launches-two-national-pilot-projects-to-speed-safe-destruction-of-ozone-depleting-substances-and-persistent-organic-pollutants.aspx>

<sup>86</sup> Interview data.

106. Another issue that was raised by ReCs was the lack of common reporting obligations of the BC ReCs (business plans) and the SC ReCs (work plans), and clear evaluation criteria and mechanisms.<sup>87</sup>

107. All of the sampled ReCs reported similar constraints to supporting synergies activities such as lack of regular budgetary resources; staff and capacity to deliver technical assistance, collate and disseminate guidance and good practices; competition between ReCs and between UN agencies and ReCs for project funds; and lack of participatory approach to the synergies decision-making process. The survey results seem to reflect the constraints faced by ReCs in delivering synergistic activities, as developing country and CEITs respondents found that prior to the synergies process, technical assistance was never (20%) or infrequently delivered (30%) with others (30%) being unaware. Since 2008, the situation has not improved significantly with 55% of respondents stating ReC activities are 'infrequent', and further 18% being unaware.

108. A meeting was organized in 2010 in Barcelona between the ReCs and the UNEP ROs and FAO ROs to promote operational cooperation on synergies but it was reported that there has been little follow up. Although ReCs can be supported to develop and execute projects, UNEP are currently working with the BCSC ReC in Dakar and the BC ReC in South Africa to implement several GEF POPs projects. However, such approaches seem to be founded more on the individual commitments of UNEP to support national or regional execution, whilst other agencies doubted the capacities of ReCs to execute projects effectively.<sup>88</sup>

109. Similar to the ReCs the UNEP and the FAO ROs are also requested to support synergies. Under the 2012 – 13 work programme the ROs are meant to play an important role in supporting the fulfilment of national reporting requirements; capacity building and resource mobilization.<sup>89</sup> Cooperation and coordination between the ROs and the ReCs is also envisaged to support the implementation of the Conventions. Although RO staff were aware of the synergies process and decisions most were unaware of the 2012 – 13 work programme, which requires their involvement.<sup>90</sup>

110. FAO RO staff reported that synergies work has yet to be integrated into their regular work plans, meaning there is little incentive to push synergies. Furthermore, none reported any direct requests from Parties for synergies activities.<sup>91</sup> The survey responses provide some additional context to the findings above with developing country and CEIT respondents

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<sup>87</sup> Ibid.

<sup>88</sup> Interview data. See Regional Project: Demonstration of a Regional Approach to Environmentally Sound Management of PCB Liquid Wastes and Transformers and Capacitors Containing PCBs [http://www.thegef.org/gef/project\\_detail?projID=2770](http://www.thegef.org/gef/project_detail?projID=2770) [http://www.thegef.org/gef/project\\_detail?projID=2770](http://www.thegef.org/gef/project_detail?projID=2770) See also AFLDC:Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion [http://www.thegef.org/gef/project\\_detail?projID=3942](http://www.thegef.org/gef/project_detail?projID=3942) [http://www.thegef.org/gef/project\\_detail?projID=3942](http://www.thegef.org/gef/project_detail?projID=3942)

<sup>89</sup> Decision SC-5/27 (April 2011); Decision RC-5/12 (June 2011); Decision BC-10/29 (October 2011).

<sup>90</sup> Interview data.

<sup>91</sup> Ibid.

reporting prior to synergies activities were never (20%) or infrequently (30%) carried out, with a further 30% being unaware. Since 2008, the situation has not significantly improved with most respondents stating ROs activities were infrequent (45%) or never (9%) conducted, and further 18% being unaware.

111. Other agencies including UNIDO, UNDP and the World Bank were aware of the synergies process but perceived it as more Secretariat driven and focused process at present. To varying degrees all three agencies take BC issues into consideration particularly in their GEF POPs projects that may require trans-boundary movement of wastes. UNIDO and UNEP are also active in promoting cleaner production through a network of global centres and this has resulted in the promotion of innovative business-led approaches such as chemicals leasing which provides economic and environmental benefits to chemical producers and users by reducing volumes of chemicals used.<sup>92</sup> Cleaner production is conceptually similar to product stewardship and life cycle approaches but with emphasis placed on improving the efficiency of industrial processes and reducing waste.

112. All agencies reported that synergies are currently constrained because of lack of donor funding and demand, and prioritization from client countries. For example, for the World Bank if chemicals and waste management issues are not prioritized in the Country Assistance Strategy it is difficult to then develop projects in such areas. It was pointed out by several agencies that the only regular funding window for chemicals is through the GEF but its funding focus is too narrow to allow for the development of operational synergies across the three Conventions, and hence the incentives for integrated approaches are absent.<sup>93</sup>

113. The GEF5 replenishment addressed POPs, ODS in eligible CEITs, and the sound management of chemicals and mercury reduction and sought closer alignment with SAICM. For the implementation of GEF 5 Sound Chemicals Management Strategy, a set-aside of 25 million USD is programmed to initiate pilot work in mercury reduction, and sound management of chemicals including e-waste, chemicals in products, and lead in paint. These pilot projects are expected to contribute to and inform the synergies process.<sup>94</sup>

114. The synergies process emphasizes life-cycle management and also involvement of the private sector in activities and resource mobilization *inter alia* in finding solutions to reduce threats to human health and the environment. The review found that the private sector has yet to be meaningfully engaged in the synergies process in substance or through resource mobilization.<sup>95</sup> On the positive side the private sector is involved in a more proactive way

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<sup>92</sup> Chemical leasing (ChL) is a service-oriented business model through which a chemicals provider sells chemicals services to users instead of chemicals products. In this way clients relying on services from chemicals providers seek to obtain high quality of services while chemicals providers seek to reduce the quantity and complexity of chemicals products and processes to be managed overall. Payment is made on the basis of units of service rendered, such as number of machine parts degreased or washing machines painted, for example, instead of volume of chemicals sold. This approach contrasts with the traditional model of selling the highest quantity of chemicals products to maximize profits.

<sup>93</sup> Interview data

<sup>94</sup> See [www.thegef.org](http://www.thegef.org)

<sup>95</sup> A private sector representative (WCC / ICCA representative) was invited to present at the Ex-COP in Bali – this has been the only input and comment on the synergies process: see - <http://www.unep.org/civil-society/Portals/59/Documents/Allan-Jones-presentation.pdf>

through SAICM and there are possibilities to develop operational synergies between governments, consumers, suppliers and the chemical industry, which is promoting product stewardship, and reduce risks throughout supply chains.<sup>96</sup>

115. **Overall progress toward regional and global synergies has been weak to modest.** Various activities developed and planned by the BC and SC ReCs on capacity building and transfer of technology to support synergies (including workshops, training<sup>97</sup>, and networking between and among regions<sup>98</sup>) have been undertaken, but outputs and outcomes are not clear. Involvement of the ROs of UNEP and FAO in synergies activities has not been sufficiently developed. So far there has been no structured involvement of the other UN agencies, the World Bank and the private sector in the synergies process.

### 3.2.3 Cooperation and Coordination Among the Conventions at the Secretariat Level

116. This section presents the findings on cooperation and coordination among the Conventions at the Secretariat level for: management and structure; financial management and audit services; legal services; resource mobilization; public information and outreach; information technology;<sup>99</sup> and implementation of substantive activities.

#### 3.2.4 Management and Structure

117. Progress on putting in place management systems and a structure for enhancing cooperation and coordination between the three Conventions at the Secretariat level has been strong since mid-2011. At the Secretariat level, in February 2012 the three Convention Secretariats have been merged into a single Secretariat with functional service teams (ASB / COB / SSB and TAB).

118. The new structure is based on a matrix-management system<sup>100</sup> that requires cross-functional teamwork, responsibility, sharing of information and knowledge to ensure effective service delivery.<sup>101</sup> It was not possible yet to judge the organizational effectiveness of the new structure in terms of improving delivery of services to Parties due to the short time since the re-structuring was implemented.<sup>102</sup>

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<sup>96</sup> See the International Council of Chemical Associations - <http://www.icca-chem.org/en/Home/Responsible-care/>

<sup>97</sup> UNEP/CHW.10/INF/39; UNEP/FAO/RC/COP.5/INF/12; UNEP/POPS/COP.5/INF/15 and UNEP/POPS/COP.5/INF/37

<sup>98</sup> Annex III to Decision SC-5/21- Network of the SC RCs for Latin America and the Caribbean with the aim of developing a coordinated joint action to strengthen and enhance the implementation of the SC in LAC taking into account the overall process of cooperation and coordination established by the three Conventions. Pilot network involves: Companhia Ambiental do Estado de São Paulo (CETESB); CENICA – National Centre for Environmental Research and Training in Mexico; CIIMET – Centre of Research and Information of Medicines and Toxics in Panama; and LATU - Technological Laboratory of Uruguay

<sup>99</sup> Including common information sharing tools and mechanisms.

<sup>100</sup> Matrix management is a type of organizational management in which people with similar skills are pooled for work assignments.

<sup>101</sup> For example, although the convention operation branch has the functional responsibility for organizing POPRC and CRC meetings, the scientific service branch provides substantive inputs.

<sup>102</sup> Currently, the only international organization to evaluate matrix management is the World Bank. The evaluation showed that matrix system whilst having advantages did not maximize the use for the Banks analytical and advisory activities and

119. The Secretariat cadre of staff was supportive of the new structure and merging of the three Secretariats into one. Prior to the re-structuring, the three Secretariats had different ways of working and delivering work based on their particular internal rules and regulations. Since the re-structuring staff reported that internal structures and ways of working together in terms of processes, steps, roles and responsibilities were being delineated through 77<sup>103</sup> ‘standard operating procedures’ (SOPs)<sup>104</sup> in order to institutionalize a common set of Secretariat structures for activities and performance measures. The Secretariat management anticipate that once all SOPs are in place and staff ‘get fully up to speed’ consistency and enhanced service delivery will result, alongside improved accountability.

120. As of July 2012 three SOPs have been finalized for: Resource mobilization; processing of pre-session working documents for meetings of the COPs and BC Open-ended Working Group (OEWG); and processing of pre-session information documents for meetings of COPs and Basel Convention OEWG. The Secretariat internal work-plans for the SOPs indicate that most will be completed by the end of 2012.

121. On the downside, the re-structuring was widely reported to be delaying the implementation of the synergies work-program (S1 – S17) in 2012.<sup>105</sup> Many of the Secretariat staff perceived that it was unrealistic to be undertaking major organizational re-structuring and be expected to implement a full work-program simultaneously. The current situation although negative is at the same time perceived to be temporary; once staff become more accustomed to working in the new structure, delivery of the work-program will be the central focus. Lack of funding for the work-program was officially reported by the Secretariat as the reason for delays.

122. The re-structuring has also caused a considerable amount of uncertainty and stress among Secretariat staff.<sup>106</sup> Uncertainty has been focused around job (in)security, changes in roles and responsibilities, and reporting lines. In some cases this has impacted motivation, morale, and performance and there has been some attrition of staff. However, there is now a general perception amongst the staff that the most difficult aspects of the re-structuring are complete with the formation of the single Secretariat and the allocation of the staff into the functional branches. There are plans to recruit four branch chiefs (at P5 level) and also a Deputy Executive Secretary who will be responsible for the day-to-day Secretariat operations.<sup>107</sup>

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products and tended to haemorrhage knowledge. See World Bank (2012) *The Matrix System at Work. An Evaluation of the World Bank’s Organizational Effectiveness*. IEG. Washington DC.

<sup>103</sup>UNEP-FAO-CHW-RC-POPS-SYN-SOP-List

see:

<http://synergies.pops.int/Secretariat/FunctionalOrganigram/tabid/2722/language/en-US/Default.aspx>

<sup>104</sup>An SOP is a written document or instruction detailing all relevant steps and activities of a process or procedure. An SOP provides employees with a reference to common business practices, activities, or tasks. New employees use an SOP to answer questions without having to interrupt supervisors to ask how an operation is performed.

<sup>105</sup>See UNEP-POPS-COPBUR.12-Status Report-2 and interview data.

<sup>106</sup>In many respects this is natural for any organizational re-structuring and merger which often involve reallocation of resources and changes in headcount.

<sup>107</sup>Interview data. As of June / July 2012 UNEP has advertised the four branch chief positions (P5 level).

123. There is a lack of clarity with regard whether how or when the part of the RC Secretariat based at the FAO in Rome will be integrated into the new organizational structure or new ways of working together put in place. Concerns have been raised by FAO in reaction to the Executive Secretariat's proposal on the organisation of the Secretariats<sup>108</sup> claiming *inter alia* lack of involvement in the process.

### *3.2.5 Financial, Administration and Audit Services*

124. Finance, Administration and Audit (FAA)<sup>109</sup> was identified as one of the services common to all three Conventions in 2006, and therefore suitable for joint activities to improve internal and external service provision. Audit issues were added later during the discussions of the AHJWG.<sup>110</sup> Prior to the synergies decisions RC and SC already shared financial and administrative functions (including Human Resources), and staff – hence administrative cooperation and coordination were broadly embedded, although the Conventions budgets were managed separately. The BC had separate financial and administrative functions, and staff arrangements.<sup>111</sup>

125. **Moderate progress was made by the Conventions Secretariats between 2008 and 2012 to further streamline and merge FAA<sup>112</sup>**, but with the majority of progress being made after the Ex-COP omnibus decisions in 2011 – 12. Budgets have been synchronized and joint-synergies activities are financed from the Convention budgets. Synchronization of the budget-cycles has simplified internal planning and also increased predictability of funding across the Secretariat functions<sup>113</sup> in terms of: ensuring that programs of work and budgets are presented in a standard format; common reporting formats for the implementation of programs of work; development of common formats for invoices and financial reporting to donors; and revision of existing consultant rosters. The survey data also indicates that developing country and CEIT respondents perceive improvements in finance and

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<sup>108</sup> FAO's opinion from 13/01/2012 on the "Proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the secretariats of the three conventions". The same concern has been raised by some Parties:

<http://synergies.pops.int/Implementation/JointManagerialFunctions/ProposalfortheOrganizationoftheSecretariat/tabid/2619/language/en-US/Default.aspx>

Responses to comments by the Executive Secretary (13/06/2012).

<sup>109</sup> Finance and administration provides financial and administrative services to the three secretariats, including in terms of human resources, costing of the programs of work, budgets, contractual arrangements with service providers and consultants, procurement, payments and audits. In addition, it provides conference and support services to the secretariats, such as logistical arrangements, correspondence, registration of participants, travel and other related support functions. See UNEP/POPS/COP.5/32/Add.3

<sup>110</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/INF.4 (2007) – Financial Management and Audit Functions; see also UNEP/FAO/CHW/RC/POPS/JWG.2/12

<sup>111</sup> For the RC / SC this consisted of one P3 staff and two GS staff; and for the BC P4 staff with three GS staff (as of 2007 – 2008)

<sup>112</sup> Ex-COP (2010) 'omnibus decisions' affirmed the 2008 – 2009 decisions and requested the Secretariats 'to establish' joint FA, taking into account experiences gained during the interim period. It also requested that the UN Office of Internal Oversight Services (OIOS) to audit the strategic management of the multilateral environmental agreements, and requested a report be made to the COP in 2011 on the audit of the Basel, Rotterdam and Stockholm Secretariats.

<sup>113</sup> Interview data

administration from the synergies process when compared against the period prior to the synergies.

126. The most significant progress was made from February 2012 onwards with the creation of the Administrative Services Branch (ASB) as part of the establishment of the single Secretariat serving all three Conventions. The ASB is responsible for finance and budget, human resources, administration, conference and meeting services, knowledge management, public outreach and IT. In order to standardize the ASB practices and service delivery 31 SOPs have been or are in the process of being delineated.<sup>114</sup>

127. An OIOS audit was conducted in 2011, but only of the BC Secretariat, hence there was no ‘cross-cutting’ joint-audit of the Conventions. It was unclear why the RC and SC were not audited at the same time.<sup>115</sup> The overall rating was ‘partially satisfactory’ - the audit found that the performance of the BC Secretariat during the period 2008-2010 was ‘partially satisfactory’ with regard to change management; mandates and delegation of authority; and performance monitoring and was satisfactory with regard to regulatory framework.<sup>116</sup> Board of Auditors (BOA) subsequently audited the SC Secretariat in mid-2011. In 2012, the Executive Secretary made a request to the OIOS for a joint-audit of “coordination and cooperation among the Basel, Rotterdam and Stockholm Conventions”.<sup>117</sup> **Overall, the progress on implementing joint-audit has been weak and lacking coordination.**

#### *Legal Services*

128. Legal support and advice was identified as a common activity within the substantive or technical mandates of the three Secretariats in 2006<sup>118</sup> as falling under three different categories: legal advice on administrative issues<sup>119</sup>; legal issues required to be addressed or being addressed by the respective Conventions for which the Secretariats provide advice and support; and legal advice and support to Parties in the implementation of the Conventions<sup>120</sup>. The AHJWG further elaborated on the General Legal Services Arrangements which included the first two categories<sup>121</sup> and on the specific technical assistance to be provided by the Secretariats to assist Parties in implementing the Conventions, on their request which include<sup>122</sup>: providing advice and guidance on the development and implementation of national

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<sup>114</sup> The SOPs cover administration (e.g., procurement, time-sheet attendance, recruitment); knowledge management (e.g., website content, data entry and record keeping, development of tools and programs); public outreach (e.g., publication designs and layout); conference management (e.g., logistical requests, participant management at COPs and subsidiary body meetings); information technology (e.g., hardware and software installation; adding and maintaining users etc)

<sup>115</sup> Interviews were unable to reveal coherent reasons why no joint-audit had been executed as per the synergies decisions.

<sup>116</sup> UNOIOS (2012) Audit Report of the Secretariat of the Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal. New York April 2012 AA2011/220/04

<sup>117</sup> <http://synergies.pop3.int/SynergiesProcess/JointAudits/tabid/2662/language/en-US/Default.aspx>

<sup>118</sup> UNEP/POPS/COP.2/INF/12 Study on Improving Cooperation and Synergies between the Secretariats of the Basel, Rotterdam and Stockholm Conventions (2006) also UNEP/FAO/RC/COP.3/19

<sup>119</sup> Including negotiation of host Government agreements and memorandums of understanding (MOUs); ensuring consistency with UN rules and regulations

<sup>120</sup> Including guidance on ratification, implementation and enforcement issues through general information materials and workshops on the requirements of the Conventions or specific provisions.

<sup>121</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/INF/2 General legal service arrangements (2007)

<sup>122</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/INF/3 Technical assistance legal services, including development of Legislation (2007)

legislation by Parties, and developing and executing projects to that end; delivering seminars and workshops; development of training manuals and guidance documents.

129. Prior to the first synergies decision in 2008 there was little cooperation between the Conventions on legal issues. The BC Secretariat had a senior legal officer for many years and until 2009, when a legal officer was appointed instead. In the SC and RC Secretariat, a legal officer was appointed in 2009.<sup>123</sup> The joint-legal service (JLS) was established on a temporary basis in June 2009 based on the recommendations made by the AHJWG.<sup>124</sup> The functional mandate of the JLS was reaffirmed by the Ex-COP omnibus decisions in 2010, and it was anticipated that JLS would provide generic legal services and convention-specific legal services, including legal advice to the subsidiary bodies of the three conventions, legal technical assistance and legal capacity-building services to Parties and legal support to the programmes of the technical units of the secretariats.<sup>125</sup> Until February 2012, the JLS brought together two of the three legal officers in the three Secretariats. The third legal officer remained outside the JLS and focused on BC-specific issues, for instance support to the Implementation and Compliance Committee and matters pertaining to illegal traffic in hazardous and other wastes.

130. **The JLS made moderate progress with harmonizing advice and assistance to Parties;** examples include guidance documents<sup>126</sup> on how chemicals can be integrated into legislation and workshops to raise the awareness of legal practitioners and policy-makers.<sup>127</sup> One important example of this was the ‘Probo Koala Programme’<sup>128</sup> in the Ivory Coast. The BC ReC for West Africa<sup>129</sup> was the lead implementing agency for the project, with support from the three Secretariats legal and technical experts. The project undertook a rapid assessment of legislative and implementation ‘gap and needs’ for enforcement of the Conventions, international health regulations of the WHO and International Convention for the Prevention of Marine Pollution from Ships (MARPOL). On the basis of the assessment the Ivorian government developed regulations. Furthermore, training workshops were conducted to improve the coordination between and knowledge and performance of customs, port and environmental authorities on the sound management of chemicals and wastes. Additional capacity building was also undertaken through the SAICM Quick Start Programme (QSP).<sup>130</sup> The survey results indicate that developing country and CEIT

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<sup>123</sup> Interview and documentary data.

<sup>124</sup> UNEP/CHW.9/INF/42 Additional information on the costs and organizational implications for the Secretariat of the BC of establishing joint services of the Basel, Rotterdam and Stockholm Conventions as reflected in the recommendation of the AHJWG on Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions (2008)

<sup>125</sup> UNEP/FAO/CHW/RC/POPS/EXCOPS.1/4 Joint Services (2010). At the EX-COP Parties agreed to common arrangement for staffing and financing of JLS which included one Legal Officer (P-3) and one Associate Legal Officer (P-2) for a total cost of US\$289952.

<sup>126</sup> Although the BC manual for prosecutors was not developed by the JLS.

<sup>127</sup> Interview data

<sup>128</sup> In 2006, the Probo Koala a vessel chartered by the trading company Trafigura, unloaded a mixture of caustic soda and hydrogen sulfide (commonly known as ‘slops’) in the Port of Abidjan. The waste was illegally dumped in around Abidjan by the handling company (Compagnie Tommy) creating a toxic waste incident and human health disaster in which over 30,000 are reported to have suffered injuries.

<sup>129</sup> Based in Dakar, Senegal.

<sup>130</sup> Interview data; BC/RC/SC (2011) Synergies Success Stories: Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions. UNDESA, BC, RC, SC, UNEP and FAO. Geneva and Rome.

respondents perceive a slight improvement in the level of the legal services provided by the Secretariat which, prior to 2008, was reported as being poor (20%) with a total of 40% of the respondents satisfied. Since 2008 the level of the legal services is adequate or good for almost 55% of the respondents and only 9% consider it to be poor. Thirty-six per cent (36%) are still unaware against 40% prior to the synergies decision.

131. In addition, the BC legal officer has been involved in supporting the GCI<sup>131</sup> to provide capacity building and technical assistance to reduce illegal trade in chemicals, wastes and other environmentally sensitive commodities.

132. In 2011 it was reported to the COPs of the three Conventions<sup>132</sup> that the JLS had made progress in integrating the legal support provided to the three Secretariats on both generic and convention-specific legal services. Examples provided of such good cooperation are: the joint development of the legal framework for the Safe Planet Campaign (SPC).<sup>133</sup> For 2012 – 13 work programme<sup>134</sup> specific legal activities are foreseen mainly with regard to capacity-building programmes (to enhance Parties' capacity to prepare, draft and update national legal frameworks and support them in the enforcement of national legal frameworks, including national legislation and guidelines, and to identify and develop additional legal and other relevant tools); and to the production and dissemination of publications (both reprinting and development of new publications) in order to ensure that legal and technical information is provided to Parties and other stakeholders for the effective implementation of the Conventions.

133. Legal technical assistance, (i.e. in terms of developing guidelines and disseminating good practices on legislative and regulatory issues) will have an important role to play particularly with regard to harmonization and putting in place new legislation that supports life-cycle / 'cradle to grave' approaches. At present there has been little progress reported on the implementation because of delays due to the re-structuring.<sup>135</sup>

134. As of February 2012 the three legal officers were placed within the Conventions Operations Branch (COB) and organized as a legal team.<sup>136</sup> Two SOPs are being developed to structure legal work related to amendments to the Conventions and drafting / negotiating legal instruments. The organizational logic of placing legal expertise within the COB is related to COP governance and decision-making. From COB it is planned that legal experts will undertake legal activities and also be able to support substantive activities and operations in all four branches – for example on providing advice and guidance on legal and regulatory frameworks.

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<sup>131</sup><http://www.greencustoms.org>

<sup>132</sup> UNEP/CHW.10/27/Add.3 Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions – Addendum Joint Services (2011), also UNEP/FAO/RC/COP.5/25/Add.3 and UNEP/POPS/COP.5/32/Add.3 (2011)

<sup>133</sup><http://safepla.net/>

<sup>134</sup>Proposed cross-cutting and joint activities for inclusion in the programmes of work of the Basel, Rotterdam and Stockholm Conventions for 2012–2013 as contained in Annex I to Decisions BC-10/29, RC-5/12, SC-5/27

<sup>135</sup> Interview data.

<sup>136</sup> Three staff are allocated to legal activities within COB, which is the same number of staff that worked in former JLS.

### 3.2.6 Resource Mobilization<sup>137</sup>

135. In 2006 Resource Mobilisation (RM) and budgeting were identified as one of the areas regarding which the three Secretariats had similar requirements and therefore constituted an opportunity to improve synergies between them with the benefit of providing increased service to Parties.<sup>138</sup> At the 2<sup>nd</sup> AHJWG meeting consensus was reached regarding the need for a strong RM programme<sup>139</sup> in answering to the general concern raised by Parties that the increasing need for resources to deal with the broadening chemicals agenda had not been matched by an increase in available resources.<sup>140</sup>

136. Prior to the synergies decisions the Secretariats did not pursue coordinated RM. The SC funding was secured through the GEF and through the Convention's voluntary trust fund, however the BC and RC operated on the basis of voluntary trust funds and discrete project funds<sup>141</sup> with a widely held view that chemicals and wastes have been underfunded and under prioritized by governments.<sup>142</sup>

137. The synergies decision of 2008 established the Joint Resource Mobilisation Service (JRMS) on an interim basis in order to support the implementation of the three Conventions beyond that achievable through separate action. The JRMS was mandated to focus on (a) strengthening mobilization of resources through the development of a joint resource mobilization strategy for the short, medium and long term; (b) avoiding competitive and uncoordinated resource demands to donors; (c) prioritizing coordinated efforts to explore new, innovative and adequate sources of funding, including for national implementation; (d) promoting resource mobilization for a life-cycle approach to chemicals and waste management; (e) mobilizing financial resources and technical assistance for programmes delivered through regional centres; (f) developing joint strategy options on what countries can do at the national level to generate funds and better to gain access to international and bilateral financing; (g) facilitating the exchange of experiences in mobilizing resources for national implementation; (h) building on available methodologies, guidance and case studies that have been developed by other institutions.

138. Taking into account the experience gained during the interim period the JRMS was established in 2010 by the omnibus decisions,<sup>143</sup> which did not define outputs or outcomes for the JRMS against which performance could be tangibly measured.<sup>144</sup>

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<sup>137</sup> The survey data was inconsistent and the review team have not drawn on it for the discussion of resource mobilization. This issue requires more in-depth fieldwork to address in detail – this was beyond the reach of the review.

<sup>138</sup> UNEP/POPS/COP.2/INF/12 Study on Improving Cooperation and Synergies between the Secretariats of the Basel, Rotterdam and Stockholm Conventions (2006) also UNEP/FAO/RC/COP.3/19

<sup>139</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/18 Report of AHJWG on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions on the work of its second meeting (2008)

<sup>140</sup> As of 2012 the only regular dedicated funding for chemicals was through SC and the GEF for phase-out of POPs

<sup>141</sup> Interview data

<sup>142</sup> See the ongoing UNEP led discussions on financing for chemicals and wastes <http://www.unep.org/environmentalgovernance/Events/ConsultativeProcessonFinancingOptionsforChem/tabid/1635/Default.aspx>

<sup>143</sup> Section III, para 3 (e)

<sup>144</sup> The EX-COP Parties agreed to appoint a RM Officer (P4) responsible for managing the programme of work related to the JRMS of the three conventions for the total cost of US\$187 616<sup>144</sup>. To date this officer has not yet been appointed.

139. Despite the existence of the JRMS from 2008 through 2011 synergistic and standardized approaches to facilitating funding under the three Conventions proved challenging to develop. The Secretariats employed different procedures, which directly reflected the specific funding arrangements for the implementation of the Conventions. For example, in SC the procedures focused on access to financial assistance through the GEF while in BC the focus is to raise funds for activities which are not funded from the assessed contributions. There was some progress within the RC and SC to share information on RM and develop a database to track trust funds, project activities and donor reporting. The BC remained separate partly because it was also implementing projects based on dedicated trust funding, and also the approach to RM was more decentralized. No progress was made on the development of a harmonized Joint RM strategy as was required by the synergies decision (section IV B.4(a)).<sup>145</sup>

140. A task force sub-group on RM was set up in 2011 to further work on the synergies process. The task force agreed to: (i) regularly exchange information on funding opportunities; (ii) screen proposals for potential synergies projects against opportunities offered by donors; (iii) provide guidance on funding mechanisms according to donors' requirements<sup>146</sup>. The main recommendation from the sub-group to the Executive Secretary's proposal for re-structuring was the development of a harmonised RM Strategy including an indication of its scope and contents and the establishment of a RM focal point/coordinator.

141. Since the formation of the single Secretariat in February 2012, RM falls under the COB and is mandated to coordinate the RM for the voluntary and special trust funds and to leverage financial support. One staff member has been assigned to coordinate RM, this includes updating a database to track trust funds, responsibilities, expenditures and reporting requirements. Furthermore a detailed SOP for RM has been developed to standardize procedures for contact(s) with donors and potential donors, proposal formulation from identification / conception to financial reporting. The 2012 – 13 work programme (S16) requires the Secretariat to develop 'joint resource and fund-raising strategies' matching the needs of countries and regions, furthermore the potential partners are UN organizations and the private sector.<sup>147</sup>

142. Currently, poor external awareness of the Conventions (including among other stakeholders such as government policy-makers) and how they could engage meaningfully with the private sector are a barrier to securing funding.<sup>148</sup> Furthermore, the Secretariat lacks staff with expertise and deep knowledge of industrial sectors (and contacts) that could be used to attract potential funding partners (e.g., agricultural, chemical, oil and gas, mining, energy, textiles industries etc.).<sup>149</sup> However, on the positive side the opportunities are there to tap into

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<sup>145</sup> See for example SC-4/34, RC-4/11 and BC-9/10

<sup>146</sup> See pages 136 to 144 of the *Findings of the Sub-Groups set up under the Secretariat Task Force on Restructuring*

<sup>147</sup> Proposed cross-cutting and joint activities for inclusion in the programmes of work of the Basel, Rotterdam and Stockholm Conventions for 2012–2013 as contained in Annex I to Decisions BC-10/29, RC-5/12, SC-5/27

<sup>148</sup> Interview data. It was reported that most chemical industry companies do not follow UNEP and Convention processes and they are not seen as 'active players' but as 'observers'.

<sup>149</sup> This would entail due consideration of the ethical issues and management of conflict of interest (perceived or real)

the deepening interest within industry for sustainability and product stewardship.<sup>150</sup> For example, the BC was active in forging partnership with the private sector through the Mobile Phone Partnership Initiative (2002) and the Partnership for Action on Computer Equipment; furthermore, the pan-African e-waste project was successful in involving several major electronics producers and recycling companies.<sup>151</sup>

143. UNEP has led an inter-agency / governmental consultative process on financing options for chemicals and wastes since 2009 and has put forward a range of linked options to increase RM for the Conventions and related initiatives such as SAICM. These include increasing awareness among government and policy-makers of the dangers of unsound chemicals and wastes management (linked to public information and outreach discussed below); expanding the mandate of the GEF to cover ‘safe chemicals management’; developing or modifying the Multilateral-Fund (of the Montreal Protocol) to also address chemicals and wastes; public-private partnerships, green economy and life-cycle approaches<sup>152</sup> involving significant private sector involvement, but also premised on more coherent policy and legislative enabling environments and enforcement *inter alia*.<sup>153</sup> The outcomes of the financing options for the chemicals and wastes has yet to be concluded or result in any significant changes in the current RM landscape based on the narrow focus on funding for POPs through the GEF.

144. Progress on RM was weak from 2008 to 2010, cooperation and coordination improved during and immediately after the re-structuring. However, a clear strategy on RM has yet to be completed. Therefore, **overall progress is judged to be weak to moderate**.

### 3.2.7 Public Information and Outreach

145. Outreach and communication were identified as one of the services common to the three Conventions in 2006<sup>154</sup>. The AHJWG concluded that effective outreach and public awareness initiatives require implementation of activities at the national, regional and international levels<sup>155</sup> and recommended an increase in political awareness by sending coherent messages informing the general public on issues relevant to the mandate and work of the three Conventions, and the need to reach a wider audience.<sup>156</sup>

146. There has been a general perception that awareness of the Conventions has been low, and that raising awareness could catalyse further policy discussions and in the medium to

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<sup>150</sup> Following on from Rio+20 and other industry and UN joint-initiatives such as the Global Compact and Global Reporting Initiative. The opportunities to partner with companies are quite concentrated given the consolidation in chemicals industry.

<sup>151</sup> Ibid and <http://www.basel.int/Implementation/TechnicalAssistance/EWaste/EwasteAfricaProject/tabid/2546/Default.aspx>

<sup>152</sup> This includes innovative approaches such as ‘chemicals leasing’ which is common in OECD countries and has been promoted by UNIDO – UNEP through their cleaner production centres.

<sup>153</sup> UNEP (2009) Action Orientated Summary of Policy Options for Financing Chemicals and Wastes. See <http://www.unep.org/environmentalgovernance/Events/ConsultativeProcessonFinancingOptionsforChem/tabid/1635/Default.aspx>

<sup>154</sup> UNEP/POPS/COP.2/INF/12 Study on Improving Cooperation and Synergies between the Secretariats of the Basel, Rotterdam and Stockholm Conventions (2006) also UNEP/FAO/RC/COP.3/19

<sup>155</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/3 Joint outreach and public awareness (2007)

<sup>156</sup> UNEP/FAO/CHW/RC/POPS/JWG.2/18, Report of the 2<sup>nd</sup> meeting of the AHJWG

long term improve funding to address human health and environmental threats.<sup>157</sup> Prior to the synergies the individual attempts by the Conventions to build awareness and public outreach were generally uncoordinated and not based on a clear strategy.<sup>158</sup>

147. Based on the recommendations of the AHJWG, the Joint Information Service (JIS) was established on an interim basis by the synergies decisions (Section IV, para 10 I) which also requested the Secretariats to develop a common approach to awareness-raising and outreach activities among the three Conventions including a joint CHM.<sup>159</sup> Taking into account the experiences gained during the interim period the omnibus decisions mandated the JIS<sup>160</sup> (Section III, para 3 (d)) to: (i) undertake joint outreach and promote public awareness of the Conventions; (ii) deliver a common and cohesive message focusing on the life cycle approach and on the impacts of chemicals and wastes on human health and the environment; and (iii) raise the profile of chemicals and wastes at all levels.<sup>161</sup>

148. The objective of the CHM was to provide one entry point to a wide range of sources of relevant information on chemicals and wastes management to facilitate sharing of information<sup>162</sup> and implementation of the three Conventions as well as transfer of expertise and knowhow and promote a better use of available resources.<sup>163</sup> For the biennium 2012-2013 there are specific activities foreseen with regard to the CHM for information exchange (S10)<sup>164</sup>. A new joint work-plan has been approved which builds on the activities endorsed on a preliminary basis for the biennium 2010-2011 and delays the development and deployment of the CHM components and tools for December 2012 – December 2013.<sup>165</sup>

149. Parties identified information management and the CHM as important tools for gathering and sharing data on chemicals and wastes management which are available for

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<sup>157</sup> Interview data

<sup>158</sup> Ibid. Outreach was mostly limited to press releases during COPs, with little attempt to raise the profile of the Conventions to the general public.

<sup>159</sup> The interim JIS aimed at: undertaking joint outreach and promoting public awareness of the Conventions; delivering a common and cohesive message focusing on the life-cycle approach among the three Conventions and on the impacts of chemicals and wastes on human health and the environment; and raising the profile of chemicals and wastes issues at all levels.

<sup>160</sup> Section III, paragraph 4 of the Omnibus Decision and Annex II to UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/3 (2009) – Proposed allocation of posts for joint services of the three conventions. The staff composition of the JIS was also agreed at the EX-COP and included shared positions with IT for a total cost of 687 024 US\$.

<sup>161</sup> UNEP/FAO/CHW/RC/POPS/EXCOPS.1/4 Joint Services(2010)

<sup>162</sup> For example, Allowing Parties to enter data into the CHM

<sup>163</sup> UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/2 Draft joint work plan for the development of a clearing-house mechanism serving the Basel, Rotterdam and Stockholm Conventions covering the biennium 2010–2011 (2010). A joint work-plan for the development of the CHM serving the three Conventions for the biennium 2010–2011 with a total cost of US\$360,000 was endorsed on a preliminary basis by the Ex-COP (Section I, para 10 of the Omnibus Decision), which included the design of a shared CHM, the development of a web portal showcasing the functions of the shared CHM and the modification of guidance documents.

<sup>164</sup> Proposed cross-cutting and joint activities for inclusion in the programmes of work of the Basel, Rotterdam and Stockholm Conventions for 2012–2013 as contained in Annex I to Decisions BC-10/29, RC-5/12, SC-5/27

<sup>165</sup> Joint work plan for the development of a clearing-house mechanism serving the Basel, Rotterdam and Stockholm Conventions covering the biennium 2012–2013 as contained in Annex III to Decisions BC-10/29, RC-5/12, SC-5/27 respectively

consultation by policymakers and the general public at national, regional and global levels<sup>166</sup>. However, the review found that despite the good intentions to develop a joint CHM since 2009 little progress has been made. The survey data also indicates that developing country and CEIT respondents perceive slight improvements from the synergies process when compared against the period prior to 2008 regarding public information and outreach services provided by the Secretariat with an increase of those reporting their level of satisfaction as being good (6%) or very good (16%) and a decrease from 10% to none of those being unaware.

150. The delays have related to several issues: firstly SC Secretariat was further ahead than RC and BC and decisions on the design of the CHM have been under discussion with no clear agreement on the structure and content of the CHM. For example, structures along the lines of a country and chemical profile and also providing a portal for Parties to do online national reporting and enter other information have been discussed but not yet put into place. Secondly, lack of clarity on the level of involvement and needs of Parties in the development of the CHM and also the need or feasibility to have regional CHM to take account of differences in hazardous chemical and waste issues; thirdly, the development of the CHM requires customized software and IT solutions which still require further work; and finally<sup>167</sup> lack of sufficient funds to conduct the work and hire staff and / or consultant expertise.  
**Despite, several COP decisions there is no functioning CHM and therefore overall progress has been weak.**

151. The SPC<sup>168</sup> is the UNEP and FAO-led global campaign for ensuring the safety of the environment and human health from toxic chemicals and wastes. Launched in 2010<sup>169</sup> it is an innovative mechanism for public awareness and outreach with the following two main components: (i) development and implementation of SPC activities, including events; (ii) implementation of a global marketing, sales and sponsorship strategy. The main target groups of the SPC include: governments; ReC's of the BC and SC; IGOs; NGOs; educational institutions; women and youth; health sector; business and industry; workers and consumers, mass and local media<sup>170</sup>.

152. A draft programme of work of the SPC for 2012–2013 was elaborated by the Secretariat to the SC<sup>171</sup>, in close cooperation with the other Secretariats, which identifies the activities, outputs and indicators of achievement and, among others, foresees the engagement with partners on the ground<sup>172</sup> leading up to and following the Rio+20 World Summit on Sustainable Development and the 2012 London Summer Olympics. One of the innovative

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<sup>166</sup> UNEP/CHW.10/INF/39 Submissions from Parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions (2011) also UNEP/FAO/RC/COP.5/INF/12 and UNEP/POPS/COP.5/INF/15

<sup>167</sup> Interview data

<sup>168</sup> <http://safepla.net/>

<sup>169</sup> UNEP/CHW.10/INF/43 Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes (2011) also UNEP/FAO/RC/COP.5/INF/16

<sup>170</sup> A Joint global public awareness and outreach strategy for the Basel, Rotterdam and Stockholm Conventions (2011).

<sup>171</sup> UNEP/CHW.10/INF/43 Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes (2011) also UNEP/FAO/RC/COP.5/INF/16

<sup>172</sup> The main potential partners of the SPC include: local, national and regional government authorities and associations; regional centres of the BC and SC; IGOs; academic institutions; research centres, etc

approaches of the SPC has been the promotion of the ‘body burden’<sup>173</sup> campaign to measure hazardous chemical pollutants covered by the Conventions in humans<sup>174</sup> through biomonitoring. To this end the campaign recruited Olympic athletes and actors to raise the issue of chemicals (mostly POPs) in humans and the potential adverse health impacts. Fifty related events were held in 14 countries since 2010 included three body burden forums,<sup>175</sup> art and photographic exhibitions and film screenings. The SPC has also launched a Facebook page that has nearly 5,000 followers, and has regular updates featuring chemicals and wastes news.

153. National information exchange networks have been set up in several countries, including Estonia, Mexico, Norway and Uruguay. Global and regional tools have also been developed such as the Chemical Information Exchange Network (CIEN)<sup>176</sup> and the Pesticide Stock Management System (PMS)<sup>177</sup> together with reports and information provided by NGOs<sup>178</sup>. Furthermore, the SC and RC have also taken advantage of social online media to set up two social networking groups – POPs Social<sup>179</sup> and PIC Social<sup>180</sup> which provide an online platform for decentralized networking between interested groups and experts on the issues covered by the Conventions, to develop new ideas and approaches for chemicals and waste solutions. The Safe Planet Organic Banquet held during the 24th Meeting of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer (Bangkok, November 2010), and SPC Athletes’ Initiative held at the first Winter Youth Olympic Games 2012 (Innsbruck, Austria, January 2012), demonstrated cooperation on outreach with UNEP regional offices, other MEAs and private sector organizations. There are plans to start a Basel Social based on the assessment of the other Convention social networks.<sup>181</sup> The Secretariat launched in July 2012 the twitter service to keep up-to-date on all convention announcements, documents, meetings, publications and other relevant developments<sup>182</sup>.

154. Publication production was integrated into joint services of the three Secretariats. This led to increased coordination among substantive areas. An update on publications and public information material was made by the BC secretariat<sup>183</sup> for the period July 2008-June 2011, which includes reference to the additional public awareness materials and other items produced to support joint communications and outreach activities by the three Conventions, including the SPC and the publication of the Success Stories on Synergies<sup>184</sup>. The later provides case studies of successful activities undertaken to implement MEAs and other international frameworks in the hazardous wastes and chemicals cluster in a coordinated manner.

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<sup>173</sup><http://en.wikipedia.org/wiki/Biomonitoring>

<sup>174</sup>[http://www.facebook.com/note.php?note\\_id=213909878621463](http://www.facebook.com/note.php?note_id=213909878621463)

<sup>175</sup><http://safepla.net/bodyburden.html>

<sup>176</sup><http://www.estis.net/communities/cien/>

<sup>177</sup><http://psms.fao.org/psms/about.htm>

<sup>178</sup> Example: An NGO Guide to SAICM: The Strategic Approach to International Chemicals Management, IPEN (2008)

<sup>179</sup><http://networking.pops.int/POPsSocialLogin/tabid/405/language/en-US/Default.aspx?returnurl=%2fdefault.aspx>

<sup>180</sup><http://networking.pic.int/Home/tabid/285/ctl/Login/language/en-US/Default.aspx?returnurl=%2fdefault.aspx>

<sup>181</sup> Interview data.

<sup>182</sup><http://twitter.com/brsmeas>

<sup>183</sup> UNEP/CHW.10/INF/46 Update on publications and public information material (2011)

<sup>184</sup> Publication jointly prepared by the Division for Sustainable Development, United Nations Department of Economic and Social Affairs (UNDESA) and the Secretariats of the three Conventions, March 2011

155. The Report, approved at the last COPs in 2011, also refers to the production of five public service announcements and one documentary film on themes highlighting the life cycle of chemicals and wastes and solutions offered by the Conventions for their sound management which have yet to be delivered. For the 2012 – 13 work programme other activities are foreseen on joint communication outreach (S12), joint outreach and public awareness (S13) and legal and technical publications (S14).<sup>185</sup> Parties have also agreed that these activities should be co-financed through all the three Conventions<sup>186</sup>. However, it was reported that little progress has been made on the implementation because of re-structuring of the Secretariat and lack of funding (internal and external) for public information and outreach activities.

156. Without dedicated and sustained public information and outreach it is unlikely that positive results on the Conventions ability to reach out to donors and developing country Parties or CEITs to support synergies could be achieved. This may also reduce RM opportunities. On the positive side, a public information and outreach strategy<sup>187</sup> was drafted at the end of 2011. Staff also reported that they are more empowered and have opportunities to bring their expertise, and ideas to the senior management.<sup>188</sup> **Overall, the performance on other aspects of public information and outreach has been modest.**

157. As of February 2012, and in accordance with the new organizational structure, the JIS was integrated into the ASB. Six SOPs are being developed to standardize some aspects of public information and outreach across the Conventions, they cover – publication design (external and internal); dispatching publications; press releases and e-bulletins.

### *3.2.8 Information Technology*

158. Similar to the other functions already discussed above, Information Technology Services (ITS) was identified as one of the activities common to all three Conventions in 2006<sup>189</sup>, and therefore suitable for collaboration and cooperation to improve internal and external service provision. ITS was defined by the Secretariats as being basic IT<sup>190</sup> covering email, software and hardware, network maintenance etc.; and also technical or project based IT supporting public information services, CHM functions, conferences and designing web-based learning tools on substantive activities that require interface between IT and technical

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<sup>185</sup> There are plans to develop a training manual on illegal trade; controlling trans-boundary movement of hazardous wastes; rules of procedure and text of the Conventions and protocols.

<sup>186</sup> UNEP/FAO/RC/COP.5/24/Add.1 Programme of work and proposed budget for the biennium 2012-2013 (2011) also UNEP/CHW.10/23/Add.1 and UNEP/POPS/COP.5/35

<sup>187</sup> A Joint global public awareness and outreach strategy for the Basel, Rotterdam and Stockholm Conventions (draft December 2011)

<sup>188</sup> Interview data.

<sup>189</sup> UNEP/POPS/COP.2/INF/12 Study on Improving Cooperation and Synergies between the Secretariats of the Basel, Rotterdam and Stockholm Conventions (2006) also UNEP/FAO/RC/COP.3/19

<sup>190</sup> Ibid. page 23 – The basic IT services comprise management, policies and coordination of services, including licences; server and workstation monitoring and maintenance; monitoring and maintenance of printers and other peripherals; network monitoring, maintenance and administration, including security and virus issues; user support, training and troubleshooting (helpdesk); e-mail administration; backup and disaster recovery; procurement support and technological survey.

staff.<sup>191</sup> Prior to 2008 the RC and SC shared basic services as they were provided through UNEP Chemicals and other units based in Geneva. The BC had its own IT services backstopped UN Office at Geneva (UNOG), and hence had no shared services with the RC<sup>192</sup> or the SC.<sup>193</sup>

159. Based on the preceding work conducted by the Secretariats and the AHJWG, the synergies decisions of 2008 – 2009<sup>194</sup> by the three Conventions invited Secretariats to ‘establish joint-services’, of which ITS was a part, on a ‘interim basis’ pending the final decision at the ExCom (2010). The main ‘outcomes’ from the joint ITS<sup>195</sup> were expected to be: Improved efficiency<sup>196</sup> in the delivery of services; and improved levels<sup>197</sup> of the delivery of services.<sup>198</sup>

160. The Ex-COP (2010) ‘omnibus decisions’ affirmed the 2008 – 2009 decisions and requested the Secretariats ‘to establish’ joint ITS. The omnibus decisions invited Parties to make voluntary contributions towards the costs of ITS integration, which were estimated to be US\$80,000.<sup>199</sup> The Secretariats were requested to report back on joint services at the 2011 COP on implementation progress. The 2012 – 13 work programme for ITS provided a greater degree of specificity on the objectives relating to efficiency and effectiveness, indicators of achievement, and expected outputs.<sup>200</sup> ITS was linked more explicitly to support the substantive functions of the secretariat, particularly the CHM.

161. Progress on Joint ITS<sup>201</sup> was initially weak through 2008 – 2010 because of lack of funding and staff, and also internal disagreements over how IT synergies would be undertaken – for example, on whether IT should be in-house or outsourced to UNOG.

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<sup>191</sup> Ibid. page 23 – The IT services in support to projects cover a different range of activities, including management, policies and coordination; website design and maintenance; database development, administration and support; clearing-house development and support; application design and development; and IT support to conferences and meetings. These services are linked to the activities of the respective Conventions and frequent interaction with the professional staff is a prerequisite for delivering support. Accordingly, knowledge of the specific provisions of the Conventions an also of as the past and current activities undertaken by the Secretariat is essential to providing those services.

<sup>192</sup> RC Secretariat served by the FAO received IT support from the FAO.

<sup>193</sup> See UNEP/FAO/CHW/RC/POPS/JWG.2/INF.6

<sup>194</sup> Decision BC-IX/10 (June 2008); Decision RC-4/11 (October 2008); Decision SC-4/34 (May 2009).

<sup>195</sup> Alongside joint legal and joint informational services (public awareness and outreach).

<sup>196</sup> Efficiency is assumed to mean improved use of financial and human resources as well as improved timeliness of ITS

<sup>197</sup> Levels are assumed to refer to quality, responsiveness and effectiveness of ITS.

<sup>198</sup> The decisions did not define the efficiency or levels of services to be expected and those terms were left open to the interpretation of the Secretariats during the interim period between 2008 and February 2010 (omnibus decisions)

<sup>199</sup> The Secretariats received funding from the Government of Germany and Basel Trust fund to develop a single external website portal for all three Conventions: Germany contributed 50,000 Euros in 2010 – 11 and Basel Trust Fund US\$20,000.

<sup>200</sup> See Annex 1 of Decision SC-5/27 (April 2011); Decision RC-5/12 (June 2011); Decision BC-10/29 (October 2011). New information technology tools and services are available to facilitate the work of the Secretariat, Parties and other relevant convention stakeholders; More integrated information technology platform and service across the three Conventions to facilitate Parties’ implementation of the Conventions; Greater efficiency in servicing meetings of the conferences of the Parties and other meetings under the three Conventions; Stable platform and services to facilitate building the clearing-house mechanism and other information systems; Effective and efficient delivery by the Secretariats of the outputs envisaged under their programmes of work.

<sup>201</sup> UNEP/POPS/COP.5/32/Add.3; BC/RC/SC (2011a) Report of the joint meeting of the bureaus of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions Geneva, Switzerland, 26 March 2011; BC/RC/SC (2011b) Findings of the sub-groups set up under the Secretariat Task Force on Restructuring. December 2011.

<sup>202</sup> Interview data.

However, implementation progress was strong through 2011 after the appointment of the Joint-Executive Secretary and formation of a task force on IT to define the way forward.<sup>203</sup> Progress has been made in several areas: (1) With regard to website integration across the Conventions; (2) upgrading of hardware including computers and cabling; (3) upgrading of software including e-security; (4) email systems are in the process of being integrated as are contacts, internal technical databases, correspondence system and electronic archiving; (5) further development of online webinar delivery systems for workshops and training for Parties, NGOs and other stakeholders to deliver technical assistance; and (6) provisions of IT support to meetings and conferences including paperless approaches which should result in cost-savings.<sup>204</sup> The survey data indicates that developing country and CEIT respondents perceive improvements in the quality and relevance of the IT services from the synergies process when compared against the period prior to 2008 with an increase of 7% of those who consider it to be adequate, good or very good and a decrease of 10% of those who consider it to be poor or are unaware. **Overall, the performance of IT has been moderate**, because of the time that was lost through 2009 – 2011 due to internal hold-ups in decision-making, however, stronger progress was made in 2012.

162. As of February 2012, ITS was integrated into the ASB. IT is developing five SOPs to standardize service provision internally and externally for meetings and COPs these cover: hardware and software procurement; adding and removal of email access; trouble-shooting and user support and IT support to COPs and meetings.

### 3.2.9 Joint Implementation of Substantive Activities

163. Substantive activities concern the delivery of technical issues<sup>205</sup> and capacity building<sup>206</sup> to Parties from the three Secretariats. Prior to the synergies decisions in 2006, studies commissioned by the Conventions as part of the synergies process indicated that collaboration and cooperation between the Conventions in the delivery of substantive activities and also cooperation at the national and regional level was under developed. This was because RC and SC were, through the early 2000s, determining relevant opportunities for synergistic delivery, and the Secretariats were not fully staffed. Furthermore, it was recognized that the structures of the Secretariats for technical and scientific issues were not aligned. For example, the BC was split into six technical units whereas SC was divided into two, and the RC was split between policy, implementation and technical support for pesticides based at the FAO in Rome, with a matching unit focused on industrial chemicals based at UNEP in Geneva. Geographical separation and also different structures made for challenges to synergies in terms of working across institutional boundaries and managerial lines of control.<sup>207</sup>

164. Type of delivery ‘systems’ for technical and scientific knowledge and capacity building were recognized as being different for each convention. BC utilized its network of

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<sup>203</sup>BC/RC/SC (2011b) Findings of the sub-groups set up under the Secretariat Task Force on Restructuring. December 2011.

<sup>204</sup> Interview data.

<sup>205</sup> Technical issues concern: national reporting, policy and compliance issues and scientific issues

<sup>206</sup> General technical guidance tools comprise technical guidelines, toolkits, training material and manuals and also various other tools developed to assist Parties in their implementation of the Conventions.

<sup>207</sup> UNEP/POPS/COP.2/INF/12 and also interview data.

ReCs to provide knowledge and technical advice to Parties and was more involved in implementation of projects. Whereas the RC had no similar structure; the SC also used a ReCs approach similar to the BC, but often did not utilize the same ReCs as the BC. The Convention coverage by the ReCs does not reflect synergies process or the underlying logic of the decisions as RC issues are not officially covered. Furthermore, the utility of having separate ReCs for the BC and SC seems to be contrary to the synergies process.

165. Based on the work of the AHJWG<sup>208</sup>, the synergies decisions of 2008 – 2009<sup>209</sup> by the three Conventions invited Parties, regions and secretariat to strengthen synergies on substantive activities. The activities formed the basis for the interim work programme 2009 – 2010. For the Secretariats the decisions requested synchronization of submission of reports from Parties under the BC and SC; to develop joint capacity building activities; and streamline reporting formats; requested BC, RC and SC to share technical and scientific advice and knowledge among the scientific bodies serving the Conventions. The Ex-COP (2010)<sup>210</sup> ‘omnibus decisions’ broadly affirmed the 2008 – 2009 decisions and requested the Parties and Secretariats to make ‘full and coordinated use of the regional centres’ for delivery of technical assistance; and urged Parties to commit resources to support implementation of joint-activities in accordance with the programmes of work of the three Conventions.<sup>211</sup> The 2011 decisions approved the 2012 – 13 work programme which provided further specificity to substantive activities by setting out objectives; indicators of achievement; and expected outputs as well as methods of implementation.<sup>212</sup>

166. The task force discussions and analyses conducted in 2011 indicated that despite the previous decisions requesting for cooperation and coordination, **progress on integrating substantive work up to 2011 on developing working synergies on substantive issues within the Secretariats was weak:**

*“Differences in means of implementation: The SC focuses on delivering its technical assistance programme mainly using such tools as trainings and webinars. There are several projects co-executed by SC’s teams other than technical assistance. The RC organizes trainings and also implements pilot projects. The BC has the coordinating role with the involvement of BCRCs as well as encourages BCRCs to implement projects. There are fundamental differences on how the Secretariats approach needs assessments, which are directly linked to the different reporting requirements and information sharing tools in the Conventions. SC has the advantage of receiving regular and detailed information from Parties which develop and periodically update their NIPs ... Whereas*

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<sup>208</sup> See UNEP/FAO/CHW/RC/POPS/JWG.3/2

<sup>209</sup> Decision BC-IX/10 (June 2008); Decision RC-4/11 (October 2008); Decision SC-4/34 (May 2009).

<sup>210</sup> Decisions BC.Ex-1/1, RC.Ex-1/1 and SC.Ex-1/1 (February 2010)

<sup>211</sup> The decisions also invited national Parties and regional centres to report good examples of coordination through voluntary reports to the Secretariats for the COP in 2011.

<sup>212</sup> Developing tools to support countries in implementing the convention; Capacity building programmes at the regional level; Support for sound chemicals and wastes management at the national level; Develop partnerships with other multilateral environmental agreements; Working with UNEP liaison offices in Latin America and the Caribbean, Africa, Asia and Europe in collaboration with key partners; Support the work of an coordination between scientific bodies of the Conventions to identify common issues and linkages between the Conventions; Support Parties implementation of the life-cycle approach to chemicals management; update the general technical guidelines on the environmentally sound management of persistent organic pollutant wastes to include the new persistent organic pollutants; Cooperation and coordination between regional centres and FAO and UNEP regional offices: annual joint meetings and South-south cooperation *inter alia*

*there is work undertaken in BC for developing guidance documents, toolkits, etc. by other teams, capacity-building team undertakes developing guidance documents and methodologies as part of its projects. This is less frequently practiced by the technical assistance teams in the RC and SC.”<sup>213</sup>*

167. The Secretariats reported that a joint programme of support to Parties was developed for the implementation of the synergies decisions. Pilot projects were developed in Africa and Latin America and the Caribbean. A series of synergies workshops and webinars were held to foster regional and national collaboration between the three Conventions. These focused on: (i) raising awareness of the process and implications for Parties at the national level; (ii) enhancing the understanding of implementation of the Conventions at the regional level; (iii) promoting information exchange on models and good practices on coordination and collaboration; (iv) identifying areas for further coordination at the national level; and (v) raising awareness of the technical and financial opportunities for coordinated implementation of the Conventions.

168. On scientific and technical issues, the Secretariats formed an inter-secretariat thematic group to consider the issue of cooperation. The Secretariats were reported to be working together on the exchange of information on chemicals recently added to the Conventions. The Secretariats developed a list of chemicals that are common to all three Conventions to support Parties implementation of the life cycle approach to chemicals management. The Secretariats also developed contacts with the WCO to obtain harmonized commodity descriptions and coding for chemicals listed under the Conventions. Cooperation in terms of sharing information and experts has been developed between the: RC Chemical Review Committee (CRC); Open-ended working group (OEWG) of the Basel Convention; and the POPs Review Committee (POPRC).<sup>214</sup>

169. The synergies process has so far not encouraged the development or substantive discussion on the creation of a comprehensive scientific body for hazardous wastes and chemicals similar to the Inter-governmental Panel on Climate Change (IPCC) to guide decision-making on technical chemicals and wastes issues. The Conventions focused scientific and technical bodies reflect the previous separate structures and approach of the Conventions, whilst opportunities to maximize the use of scientific knowledge in a single body to meet future global waste and chemicals challenges remain to be taken.

170. As already stated above, re-structuring has delayed the implementation of many of the substantive and scientific activities under the work programme (particularly S1 through S9)<sup>215</sup>, with the general consensus being that many of the activities would be ‘rolled-over’ into the next work programme 2013 – 14.<sup>216</sup> As already discussed under regional implementation, key actors such as the UNEP and the FAO ROs have yet to be meaningfully involved in assisting to garner synergies at the national, regional or project level.

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<sup>213</sup> See pages 69 – 71 of Findings of the Sub-Groups set up under the Secretariat Task Force on Restructuring

<sup>214</sup> UNEP/POPS/COP.5/INF/14 & UNEP/CHW.10/INF/48 and interview data.

<sup>215</sup> For example it was reported to the review that implementation of S3, S6 and S7 was behind schedule.

<sup>216</sup> Interview data.

Furthermore, effective and efficient use of the network of BC and SC ReCs has also yet to be consistently exploited for synergies.

171. Many of the planned capacity building activities such as the development of guidelines, toolkits and training activities although necessary are not likely to result in 'enhanced implementation of the Conventions' without addressing political will and power at national and regional levels, and also issues surrounding legal compliance and enforcement. Many stakeholders commented that synergies activities are not suited to a short-term work programme as the process is inherently a political, complex and 'long-term project' which will take '10 to 20 years of sustained effort.'<sup>217</sup>

172. Under the new structure two branches have been created to address substantive issues – a technical assistance branch (TAB) and a scientific support branch (SSB). In addition, substantive functions are undertaken by COB, in particular with respect to legal matters and the financial mechanism. There is some overlap in mandates of the branches but it is expected with the matrix structure in place that staff will work laterally across branches when required. RC technical staff based in Rome have yet to establish enhanced cooperation with the new structure. Both the TAB (9 SOPs) and SSB (11 SOPs) are like the other branches developing SOPs to standardize their internal processes and performance. The SOPs cover issues such as internal process for national reporting; preparation of technical guidelines; POPs Global Monitoring Plan, reviewing and updating toolkits and BAT / BEP guidelines, identification of tools and manuals for capacity building and communication with ReCs *inter alia*. It is expected that the SOPs will be completed and approved by the end of 2012.<sup>218</sup>

### 3.2.10 Improvements in Protection of Human Health and the Environment

173. The review found no substantive evidence that synergies process and activities have contributed to improvements in the protection of human health and the environment, in terms of directly reducing exposure to hazardous chemicals and wastes in developing country Parties or CEITs.

174. The reasons for the lack of evidence on contribution to the goals of the Conventions synergies process broadly related to two issues. Firstly, the most common response from stakeholders was that it was too early in the process to see impact. Stakeholders stated that more time was needed to harmonize policy and legislation<sup>219</sup>, enhance institutional coordination and enforcement capacities and also develop synergistic investments and partnerships (e.g., destruction technologies<sup>220</sup>, innovative waste processing<sup>221</sup> and recycling –

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<sup>217</sup> Ibid.

<sup>218</sup> Ibid.

<sup>219</sup> Polluter pays principle shifting the responsibility of product environmental and social impact to the producer, rather than the end-user or government; product stewardship legislation and / or production and product standards that set permissible limits for concentrations of hazardous chemicals through labeling or ban them and incentivize the private sector to use safer alternatives.

<sup>220</sup> Destruction technologies such as those widely available in OECD countries: by chemical processes (e.g., de-chlorination for POPs; plasma-arc; incineration *inter alia*.

reuse opportunities, product standards and cleaner production techniques to reduce the production of hazardous waste) with the private sector and other stakeholders. In short, there is insufficient evidence of progress towards key outcomes in-line with the outcome-impact pathways model (see 3.4).

175. Secondly, developing country Parties and CEITs indicated that establishment of baselines and long-term monitoring and evaluation to measure the impact of hazardous chemicals and wastes on human health and the environment was very challenging because of lack of internal funding. Furthermore, developing country Parties indicated that financing is expected and required for effective synergies as both the BC and RC had no established financial mechanisms similar to the GEF for the SC.

176. A key barrier to making progress towards the goals of the Convention is the lack of knowledge and measurement of the effects of hazardous chemicals on human health and the environment.

*“Integrated measurement and modelling strategies are required to build a scientific platform to allow policy-makers to assess and then undertake cost-effective strategies for reducing the risk for human health and the environment in the future. While the production and use of many hazardous chemicals has been banned or restricted, ongoing commitments to future source and exposure reductions are constrained by many uncertainties.”<sup>222</sup>*

177. Developing country government policy-makers remain largely unaware of the dangers and levels of risk or threat (e.g., quantities of dangerous chemicals and wastes within national boundaries), and therefore do not view chemicals management or waste management as a key priority in development planning and budgeting cycles for relevant ministries to improve regulation and enforcement. Whilst uncertainties and data gaps remain it was also reported by many of the stakeholders that awareness of chemicals Conventions themselves is low within developing country governments and this also acts against efficient and effective action to achieve outcomes that would enable movement towards impact.

### **3.3 Efficiency**

178. The efficiency assessment responded to the key questions focused on the extent to which synergies process and activities have: (a) been cost-effective; (b) been timely; (c) reduced administrative burden in the Conventions Secretariat’s, Parties and other stakeholders and contributed to maximizing the efficient use of resources at all levels; (d) led to improved efficiency and implementation of the Conventions’ activities at national level.

#### **3.3.1 Cost-Effectiveness**

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<sup>221</sup> For example the use of hazardous waste as fuel for cement kilns, glass production and energy generation. Referred to as ‘co-processing’. See <http://en.wikipedia.org/wiki/Co-processing>

<sup>222</sup> RECATOX (2012) Identifying the Research and Infrastructure Needs for Global Assessment of Hazardous Chemicals – A message from leading scientists. Memeo provided to the review team.

179. A broad and detailed assessment of cost-effectiveness was not possible due to lack of data on costs relative to outcomes. As already asserted clear outcomes have yet to be observed. Most actions taken by the Secretariat so far have been aimed at reducing inefficiency and increasing productivity (e.g., merger and implementation of SOPs). To increase the openness, transparency and accountability of the operations the Executive Secretary has elaborated and made available reports<sup>223</sup> on the first, second and third quarter of 2012 covering the following issues: synergies, cost savings and efficiencies; work plans, budget reports on income and expenditure per trust fund; standard operating procedures; recruitments and contract extensions; staffing organogram; travel undertaken by the secretariat; consultancies; legal instruments; and, hospitality.

180. The following have been estimated by the Executive Secretary as the main cost savings in 2012<sup>224</sup>: discontinuation of two D1 positions (one from August 2012 and the other from October 2012); discontinuation of office space on the 4<sup>th</sup> floor and consolidation of the secretariat on the 3<sup>rd</sup> floor of the International Environment House in Geneva from April 2012; reduction in staff travelling; hiring freeze; reduction in leased photocopiers and printers; increased use of webinars; integration of secretariat services for resources mobilization; launching of the synergies website and introduction of social media modes (such as twitter); holding the ordinary and extraordinary meetings of 2013 COPs back-to-back in Geneva (from 28 April to 10 May). Bearing in mind that, as stated by the Executive Secretary, ‘many of these activities are difficult to quantify’, the total estimated savings identified to date by the Secretariat for the 2012-2013 biennium is between US \$ 2 281 532 and US \$ 2 552 498<sup>225</sup>.

181. The Executive Secretary has also proposed that the ordinary and extraordinary meetings of the COPs to the three Conventions be held during a two-week period (from 28 April to 10 May 2013 in Geneva) ‘to ensure effective and coherent decision-making on policy, technical and budget matters, improve synergies between the COPs, and result in a significant cost savings of between US\$ 1 196 910 and US\$ 1 467 976’<sup>226</sup>.

182. In July 2011 the Secretariat set up a sustainability task force to develop recommendations on improving its environmental and financial sustainability. The assessment covered various aspects of the environmental footprint, such as practices in procurement, energy consumption, travel, and waste management. The financial assessment

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<sup>223</sup>Management Oversight Reports:

<http://synergies.pops.int/SynergiesProcess/JointManagerialFunctions/ManagementOversightReports/tabcid/2714/language/en-US/Default.aspx>

<sup>224</sup> First, Second and Third Quarterly Report of the Executive Secretary Cost Savings, Efficiencies and Delivery Improvements Resulting from Synergies in the Basel, Rotterdam and Stockholm Secretariat (1 January to 31 March 2012; 1 April and 30 June 2012; and 1 July to 30 September). Comments and questions from Parties are welcomed by the Secretariat but as of 15<sup>th</sup> November 2012 none have been made.

<sup>225</sup> In accordance with the Third Quarterly Report of the Executive Secretary Cost Savings, Efficiencies and Delivery Improvements Resulting from Synergies in the Basel, Rotterdam and Stockholm Secretariat (1 July to 30 September).

<sup>226</sup> Executive Secretary draft proposal to hold the ordinary and extraordinary meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions back-to-back from 28 April to 10 May 2013 in Geneva, Switzerland (as amended at the meeting of the COP Presidents on 9 May 2012).

focused on reviewing spending policies in a number of areas in which possible cost savings could be made.<sup>227</sup>

183. Some Parties have however pointed out to the cost implications of creating four additional P5 posts for the four branch chiefs<sup>228</sup>. It has also been argued<sup>229</sup> that some of the organizational proposals are indeed not cost-efficient, such as holding the next cycle of COPs in Geneva, when using the facilities in Rome is free of charge<sup>230</sup> and that the effects of other options are not possible to quantify (e.g., webinars *versus* workshops).

184. The following constraints have also been identified<sup>231</sup>: high costs of implementation of the synergies work-plan (total US \$ 5 970 226 for 2012 and US \$ 6 099 830 for 2013<sup>232</sup>); that even if the amount of the savings are to be allocated to implementation this will have little impact in improving cost-effectiveness and implementation at national and regional level; and that the new organizational structure has created some inefficiencies including the lack of articulation with the part of the RC Secretariat based at the FAO in Rome and the time devoted by staff in Geneva to administrative and organisational issues.

185. In spite of all the efforts made by the review team it was not possible to quantify the level of cost savings against a baseline since this was not provided by the Secretariat. A special request to compare the costs of the existing structure with the cost of the proposed one had previously been presented by Mexico.<sup>233</sup>

186. In summary, **the extent to which actions taken to forge synergies among the Conventions have been cost-effective is yet to be demonstrated**. Evidence has been found suggesting that cost-efficiency at the Secretary level is moderate (between US \$ 2 281 532 and US \$ 2 552 498 for the biennium 2012-2013), however, without a clear baseline to compare against this finding is tentative.

#### **Timeliness**

187. The synergies process has taken very long to materialize considering that it started in the early 2000s<sup>234</sup> with some activities being undertaken at national level in the early 1990s as

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<sup>227</sup>[Report on sustainability performance of the Secretariat of the Basel, Rotterdam and Stockholm conventions](#) released internally in April 2012, and available online since July

<sup>228</sup>Comments presented by the EU to the Executive Sectoriat's Proposal for the organization of the secretariats of the three conventions and Responses to comments by the Executive Secretary (13/06/2012).

<sup>229</sup>Interview data.

<sup>230</sup>In accordance with the MoU between the Executive Director of UNEP and the Director-General of FAO concerning the arrangements to perform jointly the Secretariat Functions for the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (12/12/2005).

<sup>231</sup>Interview data.

<sup>232</sup>UNEP/FAO/RC/COP.5/24/Add.1 Programme of work and proposed budget for the biennium 2012-2013 (2011) also UNEP/CHW.10/23/Add.1 and UNEP/POPS/COP.5/35

<sup>233</sup>Comments presented by Mexico to the Executive Secretariat's Proposal for the organization of the Secretariats of the three Conventions (01/03/2012) and Responses to comments by the Executive Secretary (13/06/2012).

<sup>234</sup>Decision SS.VII/1 from February 2002 (International Environmental Governance) encouraging collaboration among MEAs (including chemicals and waste).

demonstrated above. This seems however to have been the time required to build consensus among the different Parties (see Annex F).

188. Many of the interviewees have argued that restructuring<sup>235</sup> is causing delay in delivering services and activities to Parties and that the internal participative approach on the Secretariat's restructuring has affected efficiency (usefulness of SOPs *versus* time allocated to their elaboration). It should be noted that the restructuring of the Secretariat was undertaken by February 2012 faster than the deadline set by the COPs -31 December 2012.

### 3.3.2 Reductions in Administrative Burden

189. Evidence of reduction of administrative burden was found at the Secretariat level – a single Secretariat is more efficient (e.g. having one representative attending a workshop instead of three)<sup>236</sup>. In the transitional phase however the administrative burden has increased with staff allocating a significant amount of their time to administrative issues, dismantling the old platforms and creating an integrated one, etc.

190. At national level streamlining reports has been identified as a priority to bring more efficiency into the process - currently Parties to the BC have annual reporting requirements while Parties to the SC report every four years. This will encompass the review of the reporting system, identification of possible areas of streamlining and identify ways to improve implementation of the electronic reporting system. The status of implementation of this activity is however delayed<sup>237</sup>.

191. Parties have also reported that the reduction of the administrative burden is difficult to quantify but have identified the following improvements: information is presently provided in an open and transparent way by the Executive Secretary; launching of the new synergies website that facilitates access to information on synergies; and communication with the Secretariat is facilitated as they only have to deal with one focal point. The survey data also indicates that developing country and CEIT respondents perceive slight improvements (27%) and improvements (27%) in the reduction of the administrative burden from the synergies process when compared against the period prior to the synergies process.

192. ReCs and UNEP/FAO ROs have reported that maximizing resources efficiency at regional level will require, *inter alia*, a better articulation among them and the implementing agencies, a better understanding of the financial requirements and the resources available, and the design of joint plans of actions that avoid duplication and facilitate RM<sup>238</sup>.

193. In conclusion, it is premature to determine whether the actions taken pursuant to the synergies decisions have reduced the administrative burden and contributed to maximizing the efficient use of resources at all levels bearing in mind the level of implementation. The

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<sup>235</sup> Interview data.

<sup>236</sup> Interview data.

<sup>237</sup> See UNEP-POPS-COPBUR.12-Status Report-2 and interview data.

<sup>238</sup> Interview data.

fact that the synergies decisions have been under implementation for a short period of time and precise outcomes and indicators have not been sufficiently defined by the COPs also does not provide a clear basis for judgments.

### *3.3.3 Improved Efficiency of Implementation at the National Level*

194. Taking into account the national needs to be addressed in the promotion of cooperation and coordination between the three Conventions identified at the 1<sup>st</sup> meeting of the AHJWG<sup>239</sup> the following activities taken pursuant to the synergies decisions have *inter alia* been identified during the implementation phase as having contributed to improved efficiency: training of relevant personnel in meeting obligations under the Conventions<sup>240</sup>; public education and awareness-raising through dissemination of information materials and development of environmental education programmes<sup>241</sup>; and the development of environmental information systems such as GENASIS<sup>242</sup>.

195. The review was unable to find any evidence of such support being provided to Parties resulting in improving efficiency of implementation of the Conventions at national level.

## **3.4 Sustainability**

196. This section discusses the likelihood for sustainability based on assessment of the factors that need to be present at the Secretariat, national, regional and through to global level. Factors discussed are the impact drivers and assumptions from the outcome-impact pathways which need to be in place for impacts to be achieved and for sustainability. These have been assessed based on the documentary and interview data.

### *3.4.1 Factors that Support Synergies*

197. The review identified the following factors as supporting (or being likely to support) synergies at the Secretariat; national; regional and global levels. For each factor the review sought to prove or disprove presence and judge strength (see Table 3):

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<sup>239</sup>Report of the AHJWG on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions on the work of its first meeting UNEP/FAO/CHW/RC/POPS/JWG.1/4, Annex II

<sup>240</sup>The Brazilian Institute of Environment and Natural Resources (IBAMA), for instance, has been conducting specific training sessions to their enforcement personnel with regard to the implementation of national and international legal obligations on chemical safety and organised a symposium on illegal trade of chemicals (October 2011) with the involvement of the Ministries of Environment, Foreign Affairs, Development, and Industry, national agents of Interpol, and police.

<sup>241</sup>Examples are the various initiatives undertaken during the international year of chemistry (2011) and the summer school – an initiative for building expertise on POPs which also covers the other two conventions led by RECETOX since 2005 which has trained a total of 290 students (60 each year covering 74 Parties). [http://www.recetox.muni.cz/index\\_en.php?pg=news&aid=218](http://www.recetox.muni.cz/index_en.php?pg=news&aid=218)

<sup>242</sup>See para 102.

198. At the Secretariat level several factors are supporting closer cooperation and coordination among the Conventions and are likely to sustain progress in the future:

**Table 3 Factors that Support Secretariat Synergies**

| Supporting Factors / Driver  | Assessment / Evidence   | Level of Progress   |
|--|---|---------------------|
| Leadership and senior management is actively committed to the synergies process  | <p>Merger and re-structuring of the three Secretariats into one.</p> <p>Creation of four functional branches within a matrix management system to ensure cross-functional support and service delivery.</p> <p>Development (ongoing) of SOPs to improve consistency, performance and accountability within the Secretariat.</p> | Strong              |
| Synergies re-structuring supported by the Secretariat staff  | <p>Staff reported to support the internal re-structuring and the 'one secretariat'.</p> <p>Minimal attrition and conflict – staff have remained loyal and participated actively in task forces mandated with providing inputs to the re-structuring.</p>  | Strong              |
| Accountability and incentive structures are in place to support administrative and technical synergies and service delivery to Parties | SOPs influence branch and individual performance agreements are likely to be aligned and so strengthen individual accountability and provide commensurate incentives (to be implemented over 2013).   | Likely to be strong |
| Parties are supportive of synergies  | Parties reported to be broadly in favour of the synergies and Secretariat re-structuring.   | Strong              |
| Broad-based and sufficient financing options can be developed to support chemicals and wastes management                               | <p>No tangible progress on regular financing for the BC and RC made through international donors.</p> <p>No partnerships with other stakeholders such as the private sector.</p>  | Weak                |

199. In general, the review indicates that most of the internal (secretariat) factors for sustainability are in place or are in the process of being put into place. The main weakness is on RM, which is likely to depend on clearer leadership from the COPs and also the Secretariat in terms of forming partnerships.

200. At the national, regional and global level the following supportive factors were highlighted that are likely to generate sustainability (see Table 4):<sup>243</sup>

<sup>243</sup> Ibid.

**Table 4 Factors that Support National, Regional and Global Synergies**

| Supporting Factors / Driver   | Assessment / Evidence  | Level of Progress                |
|---|--|----------------------------------|
| Governments are committed to enhancing national cooperation and coordination among Ministries responsible for the implementation of the Conventions | Most of the sampled Parties have inter-ministerial committees in place however considerable constraints have to be overcome to improve effectiveness and efficiency at the national level.   | Moderate                         |
| Governments are committed to regional cooperation and coordination for the implementation of the Conventions  | No substantive evidence<br><br>Regional support (outside the host-country) for BC / SC ReCs is reported to be weak.  | Likely to be weak                |
| Other stakeholders (BC / SC ReCs; UN agencies; private sector) are incentivized to support synergistic interventions                                | BC / SC ReCs have little funding or incentives to support synergies.<br><br>UN agencies are yet to be actively engaged in the synergies process.<br><br>Private sector partners have yet to be meaningfully engaged in most developing countries and CEITs   | Weak (and likely to remain weak) |
| Policies and legislation at the national level can be harmonized  | Many Parties have identified policy gaps and need for more coherent policy and legislation (e.g. in NIPs and national chemical profiles prepared under SAICM).<br><br>Other stakeholders including the private sector have identified fragmented legal frameworks as a barrier to sound management of chemicals.<br><br>Activities to harmonize legislation and clear good practice options are yet to be identified and disseminated. | Weak                             |
| Management capacities are sufficient to enforce national legislation and measure progress   | Capacities are still rudimentary in many developing countries and CEITs<br><br>Attention to monitoring and evaluation of intervention to reduce hazardous chemical exposure and / or exposure to waste are under-developed   | Weak                             |

201. At the national and regional level, factors for sustainability appear to be significantly weaker in terms of legislation and capacities. Also key enabling stakeholders such as the ReCs need to overcome significant funding and capacity barriers to provide assistance to Parties within their regions.

#### 3.4.2 Factors that Undermine Synergies

202. At the Secretariat level several factors undermine or threaten synergies and overall implementation of the BC, RC and SC:

- **Changes in senior management and overall leadership:** Changes in management and / or leadership could result in slowing of progress. However, the present

organizational structures (e.g., SOPs) that are being put in place are likely to negate any reversal in the present focus on synergies.

- **The Rotterdam Secretariat based at the FAO in Rome and UNEP Secretariat based in Geneva have yet to work out new ways to cooperation and coordination within the context of the new Secretariat structure.** There is uncertainty as to how the RC Secretariat based at the FAO would work with the new UNEP Secretariat for the BC, RC and SC.
- **Loss of external support from the Parties:** May occur if synergies fail to deliver intended outcomes and impacts in the medium to long-term, especially with regard to promoting implementation (and financing) of the three Conventions at national and regional level.

203. At the national, regional and global level the following factors could undermine synergies:

- **Lack of cooperation and coordination between government ministries:** The Parties and other stakeholders highlighted that there are challenges to cooperation and coordination despite the presence of inter-ministerial committees.<sup>244</sup> The likelihood of this factor threatening synergies is strong.
- **Lack of policy and legislative harmonization and coherence:** Policy and legislative harmonization is currently challenged by several factors including incomplete cooperation and coordination and a lack of prioritization. The likelihood of this factor threatening synergies is strong.
- **Lack of political awareness or will and leadership to rationalize national environmental governance:** Awareness will depend on outreach and public pressure at national and regional levels. In addition to more attention to measurement of negative impacts of 'doing nothing'. At present developing countries and CEITs face significant challenges in this area; therefore the likelihood of this factor threatening synergies is strong.
- **Other stakeholders (ReCs, UN agencies) are not sufficiently involved or incentivized to support synergies:** At present most stakeholders (ReCs and UN agencies) are aware of the synergies process but are not sufficiently involved, in part because there is a perception that synergies mainly concerns the Secretariat and lack awareness of the synergies work-programme. However, this threat can be overcome as the Secretariat develops its approach and starts to implement the work-programme and actively involves other stakeholders. The likelihood of the factor threatening synergies is moderate to strong.
- **National management capacities are insufficient to enable synergies:** Most developing countries and CEITs face a situation of lack of human and financial capacity to manage chemicals and wastes. The likelihood of the factor threatening synergies is strong.
- **Financing for synergies is unclear:** Presently there is no clear consensus on financing for the three Conventions. Only the SC has a financial mechanism whilst

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<sup>244</sup> It was noted that donor agencies contribute to the problem by favouring one ministry over others, even where cooperation and coordination would result in more sustainable results.

the BC and RC have small and irregular funding sources. The likelihood of this factor threatening synergies is strong.

- **No measurement of progress towards improved protection of human health and the environment:** Monitoring and evaluation of human health and environment is often insufficient and challenged by insufficient capacities and incentives. The likelihood of the factor threatening synergies is strong.

#### **4. Conclusions and Recommendations**

204. This chapter presents the conclusions and recommendations from the UNEP – FAO independent review of the synergies process. The review found that progress has been made at the Secretariat level to synergize structure and core functions. Notably, the three UNEP managed Secretariats have been successfully merged based on a matrix management structure. The structure is now being underpinned with SOPs, which will standardize procedures and performance. However, it is too early to judge the effectiveness / cost-effectiveness of the new Secretariat in terms of service delivery to Parties or as a repository and disseminator of good practices and knowledge that could further strengthen the implementation of the Conventions.

205. At the national [party] level moderate progress has been made on establishing inter-ministerial committees to ensure cooperation and coordination. Some of the sampled countries such as Brazil and Uruguay indicated that such efforts started several years prior to the synergies process and decisions. Therefore there is an emerging body of experience, which can be drawn on, and serve as inspiration to other Parties. The review found little evidence of legal harmonization and development of life cycle approaches. This result may be a false negative due to lack of documentation by Parties and involvement of the private sector, as many larger chemical companies are (or have) put in place commitments to life-cycle and / or product stewardship.

206. At the regional level the ReCs and the UNEP and the FAO ROs have yet to become significantly involved in the process in terms of assisting Parties. ReCs have been involved in delivering workshops and some training and although some relevant regional experiences have been identified no tangible outcomes could yet be found from such approaches. Other UN agencies and the World Bank are yet to become actively involved in supporting the synergies process, with the common perception that it has yet to progress beyond the Secretariat level. Furthermore, the absence of broad-based funding for the three Conventions serves to restrict the extent to which the agencies can assist Parties, and vice-versa Parties requesting such assistance.

207. At the Global level the Secretariats involvement with the GCI promises to be a good approach to reduce illegal trade in hazardous and banned chemicals, and wastes, but tangible outcomes have yet to be identified through monitoring and evaluation.

208. The conclusions and recommendations below reflect the evidence presented in the main text and are organised in accordance with the key review criteria of:

- Relevance
- Effectiveness and Impact
- Efficiency
- Sustainability

209. The relevance conclusions and recommendations are presented in Table 5.

**Table 5: Relevance**

| Conclusion   | Relevance   | Recommendation  |
|--|---|---|
| The synergies decisions and resultant processes have been relevant to the Secretariat and to some extent to the Parties, but have failed to effectively involve other partners (namely ReCs, UNEP and FAO ROs and other international agencies, private sector and civil society) and the part of the RC Secretariat based at the FAO in Rome. | The Secretariat should continue to promote active participation of Parties and other stakeholders and increase their ownership of the process. To this end, the Secretariat and the Parties should ensure the involvement of stakeholders in the design of the programme of work for the next biennium (2014-2015). | The extensive FAO and UNEP experience in the field and its knowledge of chemicals should be acknowledged and enhanced through a more active involvement in future synergies work-programme design and implementation. |
| Contributing Conclusion  | Supporting Recommendation   |   |
| The synergies process and decisions have been responsive to developing countries and CEITs however tangible results of improvements at national/regional level have not been identified and various barriers have been reported.   | The Secretariat should be a facilitator of the synergies process, play a more active role in assisting Parties, as a repository and disseminator of good practices/ data and knowledge, and improve its communication with Parties and other stakeholders.  |   |
|  | More support should be provided to the ReCs into assisting developing countries and CEITs in implementing the Conventions (capacity building, technology transfer).   |   |

210. Table 6 presents the conclusions and recommendations for effectiveness and impact.

**Table 6: Effectiveness and Impact**

| Conclusion   | Effectiveness and Impact  | Recommendations   |
|--|---|---|
| The creation of a single Secretariat has put in place the organizational conditions for improved policy coherence between the Conventions. | COPs should continue to support the Secretariat implementation of the organizational reforms and synergies. | Parties should continue to further develop and streamline |
| At the national-level some Parties have put in   |   |   |

|  |  |
|--|--|
| <p>place mechanisms for cooperation and coordination, however this has yet to lead to observable improvements in the implementation of the Conventions.</p>  | <p>their cooperation and coordination mechanisms to improve management of chemicals and wastes, and to share information between relevant Ministries.</p>  |
| <p><b>Contributing Conclusion</b></p>  | <p><b>Supporting Recommendations</b></p>   |
| <p>The review found no evidence that synergies have led to observable improvements in human health and the environment. Many Parties face serious data and monitoring constraints, which prevent coherent tracking of human health and environmental outcomes.</p> | <p>The Parties need to place greater emphasis on gathering information, establishing baselines and monitoring systems for measuring exposure to and impacts of hazardous chemicals on human health and environment. The Secretariat needs to play a more proactive role as a repository and disseminator of global data on hazardous waste (such as risks, ‘hotspots’ and good practices).</p> |
| <p>ReCs and UNEP – FAO ROs have the potential to support synergies, through technical assistance and knowledge of good practices, but have yet to be proactively involved in the synergies work programme.</p>   | <p>In order for the synergies process to be operationally effective ReCs and UNEP – FAO ROs need to be actively involved in work programming with the Secretariat from design through to implementation, which takes account of the opportunities and addresses the constraints faced by these partners.</p>   |
| <p>The Regional Centres capacity and financial constraints severely limit the extent to which they can proactively assist Parties.</p>   | <p>Regional Centres should be merged with a revised mandate to focus on hazardous chemicals and waste addressing all three Conventions, which clearly reflect the synergies process, and growing need for holistic approaches to global chemicals and waste risks.</p>   |
| <p>Little progress has been made within the Secretariat(s) since 2008 on two critical issues for synergies: (a) creating a hub for good practices and knowledge through the Clearing House Mechanism and (b) resource mobilization for the Conventions.</p>        | <p>The Secretariat needs to prioritize the implementation of the Clearing House Mechanism to ensure that Parties have access to good practices and can exchange experiences and knowledge.</p>   |
|  | <p>The Secretariat, COP(s) and UN agencies including the GEF need to move towards a sustainable solution for financing for the Conventions. The current situation where there is financial mechanism for the Stockholm Convention but there is no equivalent for the Basel or Rotterdam Conventions is not conducive for operational synergies.</p>  |

211. Table 7 presents the conclusions and recommendations for efficiency.

**Table 7: Efficiency**

| Conclusion  | Efficiency<br>Recommendation  |
|---|---|
| <p>The Secretariat has increased the level of transparency and accountability however the restructuring and, as officially reported by the Secretariat, the lack of funding has delayed the implementation of the synergies decisions.</p> <p>The Secretariat has estimated cost savings of the synergies process between \$2,281,532 and \$2,552,498 for the biennium 2012-2013. It was however not possible to quantify the level of the estimated cost savings against a baseline.</p> | <p>Priority should be given to the implementation of the synergies work programme (S1-S17 activities) bearing in mind that resources saved from the restructuring shall be moved towards improvement of efficiency and implementation of the Conventions at the national-level.</p> |
| Contributing Conclusion   | Supporting Recommendation   |
| <p>The review found evidence of reduction of the administrative burden at the Secretariat level however reductions in national reporting burdens and maximisation of resources at national/ regional level are yet to materialise.</p>  | <p>A roadmap of synergies should be elaborated based on needs assessment at national and regional level – special emphasis should be given to avoid duplications and streamline data collection and submission by Parties and ReCs.</p>   |

212. Table 8 presents the conclusions, recommendations and lessons for sustainability

**Table 8: Sustainability**

| Conclusion   | Sustainability<br>Recommendation   |
|--|--|
| <p>At the Secretariat level supporting factors are in place to move towards sustainability, however cooperation between new modalities for cooperation (or integration) of the UNEP and FAO managed Secretariats have yet to be defined.</p> <p>Parties seem to be committed to improving their national coordination and cooperation, but legislative, awareness and financial barriers <i>inter alia</i> are preventing movement towards sustainability.</p> | <p>The COP(s) should support the new structure and take an appropriate decision to ensure cooperation between the UNEP and FAO managed Secretariats.</p> <p>Removal of capacity, financing and knowledge barriers at the national level need solutions from the Parties and should be based on partnership with the private sector and civil society, with appropriate international support through broad-based catalytic financing for the Conventions (e.g., expansion of the mandate of the GEF or through other means).</p> |

***Recommendations on the review process***

213. The relevance of the review has been challenged due to the immaturity of the synergies process. The first synergies work programme has not been completed and has been much delayed by the Secretariat re-structuring process and, as officially reported by the

Secretariat, by lack of funding hence it is not yet possible to measure the outcomes or impacts. For this reason **it is recommended that another independent evaluation of the synergies process be conducted in four years' time after two work-programme cycles (2012 – 2013 / 2014 – 2015) have been completed.**

214. Lastly, any future review of the synergies must have an appropriate time scale and resourcing to conduct field-level inquiries with a broad range of Parties and stakeholders. The experience of this review demonstrates the limitation of relying on telephone and Skype interviews and a questionnaire – neither approach provided satisfactory coverage of a large number of developing countries and CEITs Parties.

## Annex A Synergies Timeline

| Time           | Action   | Type of Action | Organization / Stakeholder |
|----------------|--|----------------|----------------------------|
| May 1992       | <b>Basel Convention Entry into Force</b>   | -              | BC Parties                 |
| Feb 2002       | <b>Decision SS.VII/1 (International Environmental Governance)</b> encouraging collaboration among multilateral agreements (including chemicals and waste)  | Decision       | UNEP Governing Council     |
| February 2004  | <b>Rotterdam Convention Entry into Force</b>   | -              | RC Parties                 |
| May 2004       | <b>Stockholm Convention Entry into Force</b>   | -              | SC Parties                 |
| September 2004 | <b>Decision RC-1/17 on financing and budget for the biennium 2005–2006</b> – inviting Parties to consider a joint-head of the RC and SC Sec  | Decision       | RC Parties                 |
| February 2005  | <b>Possible arrangement for a joint-head of the Secretariats of the Rotterdam and Stockholm Conventions</b>  | Paper          | UNEP                       |
| February 2005  | <b>Decision 23/9 on chemicals management:</b> requested the UNEP Executive Director to promote full cooperation and synergies between the Secretariats of the BC/RC/SC and UNEP Chemicals  | Decision       | UNEP Governing Council     |
| May 2005       | <b>Decision SC1/4 – Financing and Budget 2006 -2007</b> affirmed RC1-17 on a joint-head of the RC and SC Sec<br><br><b>Decision SC1/18 – Enhancing Synergies in the Chemicals Waste Cluster</b> decided that additional synergies should be explored and requested a study | Decision       | SC Parties                 |
| September 2005 | <b>Decision RC2/6 Enhancing Synergies between the secretariats of the chemicals and wastes Conventions affirmed SC1/18 and requested a study to be presented at COP3.</b>  | Decision       | RC Parties                 |
| March 2006     | <b>Study on improving cooperation and synergies between the secretariats of the Basel, Rotterdam and Stockholm Conventions</b>   | Study          | UNEP                       |
| May 2006       | <b>Decision SC2/15 “Synergies”</b> Established the ad-hoc working group to further develop options for synergies; also requested the UNEP Executive Director to create the position of joint-head of the RC/SC   | Decision       | SC Parties                 |
| October 2006   | <b>Decision RC3/8 Cooperation and coordination between Rotterdam, Basel and Stockholm Conventions affirmed decision SC2/15</b>   | Decision       | RC Parties                 |

|                      |  |                      |  |
|----------------------|--|----------------------|--|
| November 2006        | <b>Decision VIII/8 cooperation and coordination between the Basel, Rotterdam and Stockholm Conventions affirms SC2/15 and RC3/8</b>  | Decision             | BC Parties   |
| March 2007           | <b>Ad-hoc Working Group 1st meeting: reviewed existing cooperation and set out scope of work for the group</b>   | Meeting              | BC-RC-SC Secretariats + representatives of Parties |
| December 2007        | <b>Ad-hoc Working Group 2nd Meeting: Focused on organizational and technical issues at national / regional level; and internal (admin) issues for the Secretariats</b>   | Meeting              | BC-RC-SC Secretariats + representatives of Parties |
| February 2008        | <b>Ad-hoc Working Group 3rd (final) Meeting: Delivered recommendation to COPs</b>  | Meeting / Report     | BC-RC-SC Secretariats + representatives of Parties |
| June 2008            | <b>Decision IX/10 cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions decides that a final decision on cooperation and collaboration will be made an extraordinary joint meeting of the Conventions</b>  | Decision             | BC Parties   |
| October 2008         | <b>Decision RC4/11 enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions affirms BC IX/10</b>  | Decision             | RC Parties   |
| May 2009             | <b>Decision SC4/34 enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions – affirming BCIX/10 and RC4/11</b>  | Decision             | SC Parties   |
| November 2009 – 2011 | <b>Workshops and Meetings held at Regional Level by the Secretariats with National partners to promote and explain coordination / cooperation</b>  | Meetings / Workshops | BC/RC/SC Secretariats                              |
| November 2009        | <b>Joint-Activities Note prepared by Secretariats</b>  | Paper                | BC/RC/SC Secretariats                              |
| February 2010        | <b>Decision BC/RC/SC Ex-1/1: “The Omnibus Decision” Outlines and establishes arrangements for Joint activities (national / regional / technical inter alia); joint managerial functions; joint services; audit and budgets.</b>  | Decision             | BC/RC/SC Parties                                   |
| March 2011           | <b>Synergies Success Stories report published by BC/RC/SC</b>  | Report               | BC/RC/SC Secretariats                              |
| March 2011           | <b>Joint-meeting of the BC/RC/SC Secretariats</b>  | Meeting              | BC/RC/SC Secretariats                              |
| April 2011           | <b>Decision SC5/27 Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Convention: requests draft proposals from the Secretariat (executive secretary) on implementation of the synergies decisions (omnibus decision) and sets up review (internal and external (UNEP-FAO EO)</b> | Decision             | SC Parties   |

|               |  |                  |                                 |
|---------------|--|------------------|---------------------------------|
|               | <b>COP also decided to set up a contact group – chaired by Alvarez-Perez</b>   |                  |                                 |
| June 2011     | <b>Decision RC5/12 Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions: affirms SC5/27</b>           | Decision         | RC Parties                      |
| October 2011  | <b>Decision 10/29 Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions: affirms SC5/27 and RC5/12</b> | Decision         | BC Parties                      |
| December 2011 | <b>Joint-Managerial Functions Proposal</b>   | Paper – Proposal | Executive Secretary of BC/RC/SC |

## Annex B      Synergies Obligations

The tables below summarize the obligations of the Secretariat, Parties and other stakeholders on enhancing cooperation and coordination among the three Conventions<sup>245</sup>.

### Internal - Secretariat

| Synergies Decisions: BC-IX/10 (2008); RC 4/11 (2008); SC 4/34 (2009) |  |
|--|--|
| I.A 4  | To collaborate, in cooperation with intergovernmental bodies and regional centres, on the dissemination of good practices and, if necessary, the elaboration of guidance and training in the following areas: (a) protection of human health and the environment from harmful effect impacts or adverse effects of hazardous chemicals and wastes; (b) prevention of accidents and emergence response in case of accidents; (c) combating illegal trade; (d) information generation and access; (f) technology transfer and transfer of know-how; (g) preparation of national positions for COPs; development cooperation. |
| I.B 10   | To initiate joint collaboration to promote the effective implementation of the decisions of the COPs to the three Conventions and their work programmes in the area of technology transfer and capacity-building, in the context of the Bali Strategic Plan for Technology Support and Capacity-building, and taking into account the SAICM.   |
| I.B 13   | To promote programmatic cooperation on cross-cutting issues, including in the area of technology transfer and capacity-building, in the development of their respective work programmes and to report thereon to the COPs to the three Conventions.  |
| I.C 17   | To initiate pilot projects on the coordinated use of regional centres, such projects to be undertaken by the regional centres and build on lessons learned.  |
| I.C 18   | To exchange information about the capacities and work programmes of the regional centres.  |
| II.A 1   | To prepare, for consideration by their respective COPs, proposals to: (a) synchronize the submission of Parties reports; (b) develop joint capacity building activities; (c) streamline the reporting formats and processes.   |
| II.C 4   | To facilitate the exchange of relevant information between the technical and scientific bodies of the three Conventions through the sharing of information with one another, with the secretariat of the SAICM and with other relevant intergovernmental bodies concerning the procedures developed and the chemicals being discussed under the three Conventions.   |
| II.C 5   | To maintain or establish cooperation on technical issues that relate to more than one of the three Conventions, involving other bodies and institutions beyond the three Conventions as appropriate.   |
| III.A 1  | To develop a common approach to awareness-raising and outreach activities among the three Conventions.   |
| III.A 2  | To make full use of and build on existing information and outreach mechanisms and tools.   |
| III.B 4  | To develop systems of information exchange on health and environmental impacts, including a CHM, with the aim of these systems serving all three Conventions.  |
| III.C 5  | To act jointly in participating in other related processes and in providing information to other related bodies, organizations, institutions and processes, whenever feasible.   |
| V.A 1  | To hold the COPs in a coordinated manner and to schedule such meetings in a way that facilitates such coordination.  |
| V.A 2  | To schedule joint meetings of the bureaux of the COPs, as appropriate <sup>246</sup> .   |

<sup>245</sup> The tables do not include: compliance issues as they are out of the scope of the present review (para 6 of the ToR) neither requests already accomplished (such as organisation of the Ex-COP; establishment of joint services, reporting to COPs).

<sup>246</sup> Paragraph 52 Report of the joint meeting of the bureaux of the three Conventions (26/03/2011) – the joint bureau members “requested the Secretariat to organize a joint bureau meeting in a year in which COPs of the three Conventions are to be held” and to convene such meetings eight weeks prior to the first COP of the three Conventions.

|  |   |  |
|--|---|--|
|  |   | <b>Omnibus Decision: BC Ex-1/1; RC Ex-1/1; SC Ex-1/1</b> |
| I.8  | To continue their efforts to implement joint activities.  |  |
| II.6   | ES and DG to develop a proposal for the modification of the organization of the BC and SC and the United Nations Environment Programme part of the Rotterdam Convention Secretariat, including the possible continuation of the joint head function, that is cost-neutral in respect of the adopted operating budgets of the three Conventions.   |  |
| <b>Decisions BC-10/29, SC-5/27 and RC-5/12</b> |   |  |
| I.5  | To pursue further cooperation and coordination in respect of activities that are not listed in annex I but are included in the approved programme of work and budget for 2012–2013 and can be undertaken in a cost-neutral manner.  |  |
| II.14  | ES to determine the staffing levels, numbers and structure of the secretariat in a flexible manner, provided that he remain within the ceiling established by decisions on financing and budget for the biennium 2012–2013.   |  |
| II.15  | ES, in consultation with the Parties to the three Conventions through the bureaux, to prepare by 31 December 2011a proposal for the organization of the secretariats of the three Conventions, including staffing levels, numbers and structure, to be implemented by 31 December 2012.   |  |
| II.16  | ED, in consultation with the DG and ES and taking into account the reports on the review to develop, for consideration by the COP to the three Conventions in 2013, a full proposal for the organization of the secretariats of the BC and SC and the UNEP part of the RC, including the possible continuation of the ES, that is cost-neutral in respect of the adopted operating budgets of the three Conventions.  |  |
| II.17  | That the meetings of the COPs to the three Conventions should be held in a coordinated manner and the ES to schedule them in a way that facilitates their coordination.   |  |
| II.18  | Subject to the submission of the reports on the review and taking into account comments made by Parties on the matter, to convene, back-to-back with and at the same venue as the last ordinary meeting of the COP to the BC, RC and SC to take place in 2013, simultaneous EX-COP, the agendas for which shall include matters related to cooperation and coordination between the Conventions, with the main focus on:<br>(a) Draft decisions on the review of arrangements adopted pursuant to the synergies decisions; (b) The proposal for the organization of the secretariats referred to in paragraph 15 of the present decision; (c) Draft proposals for joint activities for 2014–2015; (d) Budget for joint activities and possible necessary amendments to the budget of the three Conventions for the biennium 2014–2015; (e) Outcome of the United Nations Environment Programme Executive Director's consultative process on financing options for chemicals and wastes. |  |
| II.19  | ES, in consultation with the Parties through the bureaux, to prepare a proposal on the timing and organization of the meetings of the COP to the BC, RC and SC for consideration by the three COPs in 2013, taking into account the results of the review.  |  |
| III. 24  | The ED in consultation with the DG and through the ES, to continue efforts to implement joint services for the three Conventions.   |  |
| III.27   | ED to report to the COPs of the three Conventions at their meetings in 2013 on the outcome of the audit insofar as it relates to the three Conventions.   |  |

#### **External - Parties**

|       |   |
|-------|---|
|       | <b>Synergies Decisions: BC-IX/10 (2008); RC 4/11 (2008); SC 4/34 (2009)</b>   |
| I.A 1 | To establish or strengthen, as necessary, national processes or mechanisms for coordinating: (a) activities to implement the three Conventions (in particular focal points and designated national authorities); (b) preparation for convention meetings.   |
| I.A 2 | To provide, through the joint information service, models of such coordination mechanisms, as well as examples of good coordination practices from countries.   |
| I.A 3 | To ensure close cooperation and coordination among relevant sectors, ministries or programmes at the national level with respect to, among other things: (a) protection of human health and the environment from harmful effect impacts or adverse effects of hazardous chemicals and wastes; (b) prevention of accidents and emergence response in case of accidents; (c) combating illegal trade; (d) information generation and access; (f) technology transfer and transfer of know-how; (g) preparation of national positions for COPs; development cooperation. |

|   |  |
|---|--|
| I.B 6   | To promote cooperative activities at the national and regional levels as far as possible.  |
| I.B 9   | To incorporate in their national development plans and strategies measures to implement the three Conventions in order to ensure coherence in their national priority setting and to facilitate the provision of aid by donors in response to country and regional demand.   |
| I.B 11  | To strengthen capacity-building and technical support to developing countries and countries with economies in transition for coordinated national implementation.  |
| I.B 12  | To promote coordination between bilateral and multilateral donors to ensure consistent and non-duplicative assistance to Parties in their implementation of the three Conventions.   |
| I.C 15  | To promote the full and coordinated use of regional centres to strengthen the regional delivery of technical assistance under all three Conventions and to promote coherent chemicals and waste management bearing in mind the existing and on-going work of other MEAs and institutions.  |
| III.B 3   | To consider establishing common websites and documentation centres at the national and, where appropriate, regional levels, containing available information on human health and environmental impacts relevant to the three Conventions.  |
| Omnibus Decision: BC Ex-1/1; RC Ex-1/1; SC Ex-1/1 |  |
| I.2   | To undertake cooperative and coordinated activities to implement the synergies decisions, including by strengthening national processes or mechanisms, as appropriate, that involve the focal points and designated national authorities for the three Conventions.  |
| I.3   | To provide resources to support implementation of joint activities in the field and to support the joint activities of the three secretariats in accordance with the synergies decisions and programmes of work of the three Conventions for 2010–2011.  |
| I.4   | To promote the full and coordinated use of the regional centres of the BC and SC to strengthen the regional delivery of assistance for the implementation of the three Conventions and to consider the further aim of selecting regional focal centres in accordance with paragraph 16 of section I of the synergies decisions, bearing in mind the existing work of other relevant MEAs and the SAICM.  |
| I.13  | To contribute to the development of the clearing-house mechanism through voluntary means.  |
| II.5  | To provide on a voluntary basis additional resources to support the post of joint head until a decision is taken on the future of the post or by the end of 2013, whichever is earlier.  |
| II. 7   | To consider the proposal of the ES and DG on the modification of the organization of the secretariats for possible adoption by the conferences of the Parties as soon as possible, but no later than 2013, taking into account the effectiveness of the joint head in:(a)Ensuring full respect for the legal autonomy of the three Conventions; (b) Contributing to the overarching goal of the three Conventions to protect human health and the environment for the promotion of sustainable development;(c)Providing equal commitment to the implementation of all three Conventions, including in advocacy for the mobilization of substantially increased funding from all sources for national implementation; (d)Demonstrating increased efficiency and effectiveness in the cooperation and coordination of the three secretariats;(e)Reducing administrative burdens and maximizing the effective and efficient use of resources. |
| Decisions BC-10/29, SC-5/27 and RC-5/12           |  |
| I.9   | To continue to support joint activities of the three Conventions through voluntary contributions.  |

#### Other Stakeholders

|  |   |
|--|---|
| Synergies Decisions: BC-IX/10 (2008); RC 4/11 (2008); SC 4/34 (2009) |   |
| I.A 5  | United Nations Environment Programme-United Nations Industrial Development Organization cleaner production centres to contribute to the national implementation of the three Conventions.   |
| I.B 7  | UNEP and FAO, working together with other bodies of the United Nations, in particular UNDP, MEAs, and other international bodies, to develop programmatic cooperation in the field that would support implementation of the three Conventions in areas of common concern such as sustainable development, trade, customs (for example through the Green Customs Initiative), transport, public health, labour, environment, agriculture and industry- |
| I.B 8  | UNEP, UNDP and FAO to include such cooperation in their biennial work programmes.   |
| I.C 15   | To promote the full and coordinated use of regional centres to strengthen the regional delivery of technical assistance under all three Conventions and to promote coherent chemicals and waste management bearing in mind the existing and on-going work of other MEAs and institutions.   |

|   |  |
|---|--|
| I.C 16  | Selection of a limited number of regional focal centres, from among the existing ones of the BC and SC, with the responsibility to facilitate coordinated activities in the regions covering both chemicals and waste management. These focal centres will be designated following regional agreement and in accordance with the relevant procedural provisions of the respective Conventions and should: (a) Ensure that the regional centres deliver their work in accordance with defined priorities and serve as an entry point for countries needing assistance or guidance on which centre in a region could provide assistance for a specific purpose; (b) Strengthen regional centres to enable them to exercise a more synergistic approach as delivery mechanisms under the three Conventions; (c) Play a special role in providing an overview of their activities and results to the COPS of the three Conventions as examples of lessons learned on enhanced practical implementation of the Conventions. |
| I.C 19  | Global Environment Facility, within its mandate, other relevant international financial institutions and instruments, the regional centre host countries and others from the donor community to provide financial support necessary for the regional centres to carry out projects aimed at cooperation and coordination in support of implementation of the three Conventions.  |
| Omnibus Decision: BC Ex-1/1; RC Ex-1/1; SC Ex-1/1 |  |
| I.2   | To undertake cooperative and coordinated activities to implement the synergies decisions, including by strengthening national processes or mechanisms, as appropriate, that involve the focal points and designated national authorities for the three Conventions.  |
| I.3   | To provide resources to support implementation of joint activities in the field and to support the joint activities of the three secretariats in accordance with the synergies decisions and programmes of work of the three Conventions for 2010–2011.  |
| I.4   | To promote the full and coordinated use of the regional centres of the BC and SC to strengthen the regional delivery of assistance for the implementation of the three Conventions and to consider the further aim of selecting regional focal centres in accordance with paragraph 16 of section I of the synergies decisions, bearing in mind the existing work of other relevant MEAs and the SAICM.  |
| I.13  | To contribute to the development of the clearing-house mechanism through voluntary means.  |
| II.5  | To provide on a voluntary basis additional resources to support the post of joint head until a decision is taken on the future of the post or by the end of 2013, whichever is earlier.  |
| Decisions BC-10/29, SC-5/27 and RC-5/12           |  |
| I.9   | To continue to support joint activities of the three Conventions through voluntary contributions.  |

## Annex C      Review Matrix

| EVALUATION MATRIX         |  | OBJECTIVE  |   |   |
|---------------------------|--|--|---|---|
| Key Issues                | Questions  | Indicators / Basic Data  | Sources of information  | Methodology components  |
| <b>RELEVANCE</b>          |  |  |   |   |
| <b>External Relevance</b> | <p>To what extent are the synergies decisions and actions congruent with the broader global, political, institutional and environmental management contexts?</p> <ul style="list-style-type: none"> <li>• Trends towards synergies in other convention processes</li> <li>• Trends in chemicals and hazardous waste management in other organizations</li> <li>• Trends in approaches to environmental management</li> </ul> | <p>Synergies (cooperative and coordination agreements) in other Conventions</p> <p>Strategies of funding agencies (e.g., the GEF; UN agencies)</p> <p>Projects addressing joint-convention issues</p> <p>Programming in funding agencies</p> | <p>Convention documents / websites</p> <p>Strategy documents</p> <p>Project documents</p> <p>Annual reports</p> | <p>Desk review</p> <p>Interviews with UN / GEF and World Bank staff</p> <p>Desk Review</p> <p>Desk Review</p> |

|                  |  |   |   |   |
|------------------|--|---|---|---|
| <b>Relevance</b> | To what extent do the synergies decisions and actions respond to the needs of the Convention Parties? <ul style="list-style-type: none"> <li>• Developing countries</li> <li>• CEITs</li> </ul>  | # of decisions directed at developing countries and CEITs   | COP decisions   | Desk review<br>Interviews with Secretariat                                      |
|                  | To what extent the actions taken by the secretariat and Parties were consistent with the COP synergies decisions adopted by Parties  | Alignment with Convention COP decisions<br><br>Action taken in developing countries and CEITs to align with decision<br><br>Consistency and compliance with decisions | Interview data<br><br>National / regional reports<br><br>Secretariat reports to COP<br><br>Parties reports to COP | Desk review<br>Survey of Parties<br><br>Interviews with Secretariat             |
|                  | To what extent the synergies decisions and actions taken have been relevant to reducing administrative burden and maximizing use of resources <ul style="list-style-type: none"> <li>• Are there alternatives to synergies that would also deliver the same efficiency gains?</li> </ul> | US\$ reduction in Secretariat costs since synergies decisions   | Interview data<br><br>Secretariat financial reports / budgets<br><br>Survey data                                  | Desk review<br>Interviews with Secretariat and Parties<br><br>Survey of Parties |
|                  |  |   |   |   |

| Key Issues                      | Questions | Indicators / Basic Data | Sources of information | Methodology components |
|---------------------------------|-----------|-------------------------|------------------------|------------------------|
| <b>EFFECTIVENESS AND IMPACT</b> |           |                         |                        |                        |

|                                 |  |   |  |   |
|---------------------------------|--|---|--|---|
| <b>Effectiveness and Impact</b> | How and to what extent have the actions taken (pursuant to the decisions) strengthened the implementation of the three Conventions at national, regional, and global level   | National activities / programs and projects on joint-work between RC / BC and SC<br><br>National legal frameworks and policies jointly addressing RC / BC and SC<br><br>National coordination mechanisms and / or institutional arrangements<br><br>Regional activities / programs and projects on joint-work between RC / BC and SC      | Views and perspectives from Parties / R-centres (info docs)<br><br>Survey data   | Desk review / Interviews<br><br>Survey of Parties / RC<br><br>Desk review<br><br>Survey of Parties / RC |
|                                 | To what extent the mechanism established pursuant to the <i>omnibus decisions</i> have directly or indirectly assisted in promoting and enhancing cooperation and coordination among the Conventions                         | Regional policy frameworks jointly addressing RC / BC and SC (e.g., ECOWAS, SADC, MERCOSUR, ASEAN environmental policies)<br><br>Joint activities (substantive technical works / capacity building etc.)<br>Joint managerial functions<br>Joint services<br>Synchronization of budget cycles<br>Joint audits<br>Joint review arrangements | Secretariat information documents / working documents<br><br>Non-public meeting / workshop minutes<br><br>Interview data | Desk review<br><br>Interviews with Secretariat staff  |
| <b>Effectiveness and Impact</b> | How have synergies <i>outcomes</i> contributed (or will contribute) to the achievement of the objective of the Conventions: the protection of human health and the environment for the promotion of sustainable development/ | Changes in national policies promoting control in trade, transportation, phase-out of hazardous chemicals<br><br>Tonnages phased-out<br><br>Transport and trade safety  | Views and perspectives from Parties / R-centres (info docs)<br><br>Available project evaluations                         | Desk review<br><br>Survey of Parties / RC<br><br>Interviews with secretariat staff                      |

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|  |  | guidelines in place<br><br>Customs and excise regulations enforced | Interview data<br><br>Survey data |  |
|--|--|--|-----------------------------------|--|

| Key Questions & Issues | Sub-questions  | Indicators / Basic Data   | Sources of information  | Methodology components   |
|------------------------|--|---|---|--|
| <b>EFFICIENCY</b>      |  |   |   |  |
| <i>Efficiency</i>      | To what extent efforts and actions taken to forge synergies among the Conventions were cost-effective?<br><br>To what extent efforts and actions taken to forge synergies among the Conventions were undertaken in a timely manner?<br><br>To what extent synergies decisions reduced administrative burden in the Convention Secretariats, Parties and other stakeholders and contributed to maximizing the efficient use of resources at all levels?<br><br>To what extent have the synergies decisions led to improved efficiency and implementation of Convention activities | Costs of increased cooperation and coordination (or decreases / c-neu)<br><br>Reduction in costs of Secretariat services etc. (e.g., meeting costs / COPs)<br><br>Reduction in headcount<br><br>Budget and admin costs since 2007 to 2012<br><br>Time taken to implement synergies decisions<br><br>Reduced level of effort across services / activities (omnibus areas)<br><br>Re-distribution and / or reduction of costs of services<br><br>Joint-programs at national level<br>Joint focal points inter alia<br>Programs and policies | Budget and admin reports<br><br>Interview data<br><br>Head count data since 2007<br><br>Timelines for implementation of synergies decisions (omnibus decisions)<br><br># Joint meetings / COPs<br><br>Views and perspectives from Parties / R-centres (info docs) | Desk review<br><br>Interviews with secretariat<br><br>Desk review<br><br>Desk review<br><br>Interviews with secretariat / other stakeholders<br><br>Survey of Parties / RC |

|  |                       |  |             |  |
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|  | at the national-level |  | Survey data |  |
|--|-----------------------|--|-------------|--|

| Key Questions & Issues | Sub-questions  | Indicators / Basic Data  | Sources of information   | Methodology components  |
|------------------------|--|--|--|---|
| <b>SUSTAINABILITY</b>  |  |  |  |   |
| <i>Sustainability</i>  | <p>What are the factors that will determine the long-term benefits arising from synergies between the Conventions?</p> <ul style="list-style-type: none"> <li>• Enhanced efficiency and effectiveness</li> <li>• Improved coherence</li> <li>• Informed decision-making</li> </ul> <p>What are the barriers / constraints to synergies among the Conventions at national level and at the level of the convention Secretariats</p> | <p>Individual &amp; Institutional capacities</p> <p>Leadership</p> <p>Accountability and incentives for cooperation and coordination (and action)</p> <p>Financial and human resources</p> <p>Managerial / personnel barriers and resistance</p> <p>Conflict</p> | <p>Desk review</p> <p>Skills of existing staff</p> <p>Job descriptions</p> <p>Headcount</p> <p>Interview data</p> <p>Survey data</p> <p>Interview data</p> | <p>Desk review</p> <p>Interviews</p> <p>Survey of Parties</p> <p>Interviews</p> |

## Annex D      Documents Reviewed

Listed below are all the relevant information documents and working documents produced at the COPs of the three Conventions organised by convention in chronological order.

The list also comprises the documents produced at the three meetings of the AHJWG and at the Ex-COP together with relevant bibliography consulted.

| <b>BASEL CONVENTION</b><br><b>Entry into Force: 5 May 1992</b> |  |
|--|--|
| <b>CoP 8</b>   |  |
| 27 November–1 December 2006 (Nairobi)                          |  |
| UNEP/CHW.8/3/Rev.1   | International cooperation and synergies  |
| UNEP/CHW.8/INF/10  | Cooperation and synergies: Decision SC-2/15 adopted by the second meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants  |
| UNEP/CHW.8/INF/11  | Cooperation and synergies: Decision RC-3/8 adopted by the Conference of the Parties to the Rotterdam Convention at its third   |
| UNEP/CHW.8/16  | Report of the Open-ended Working Group of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal on the work of its eighth meeting  |
| Decision VIII/8  | Cooperation and coordination between the Basel, Rotterdam and Stockholm conventions  |
| <b>CoP9</b>  |  |
| 23–27 June 2008 (Bali)   |  |
| UNEP/CHW.9/7   | Review of the operation of the Basel Convention regional and coordinating centres  |
| UNEP/CHW.9/14  | Cooperation and coordination between the Basel, Rotterdam and Stockholm Conventions: recommendation of the Ad hoc Joint Working Group  |
| UNEP/CHW.9/INF/19  | Summary of the co-chairs of the ad hoc joint working group on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/CHW.9/INF/20  | Information on the costs and organizational implications of establishing joint services of the Basel, Rotterdam and Stockholm Conventions as reflected in the recommendation of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/CHW.9/INF/21  | Cooperation and coordination between the Basel, Rotterdam and Stockholm Conventions: activities developed by the three Secretariats  |
| UNEP/CHW.9/INF/42*   | Additional information on the costs and organizational implications for the Secretariat of the Basel Convention of establishing joint services of the Basel, Rotterdam and Stockholm Conventions as reflected in the recommendation of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions |
| UNEP/CHW.9/39  | Report of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal on its ninth meeting  |
| Decision BC-IX/10  | Cooperation and coordination between the Basel, Rotterdam and Stockholm conventions  |
| <b>CoP10</b>   |  |
| 17–21 October 2011(Cartagena)                                  |  |
| UNEP/CHW.10/4  | Review and strengthening of the operation of the Basel Convention regional and coordinating centres  |
| UNEP/CHW.10/23/Add.1   | Programme budget for the biennium 2012-2013  |

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|----------------------|---|
| UNEP/CHW.10/27       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/CHW.10/27/Add.1 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint activities   |
| UNEP/CHW.10/27/Add.2 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint managerial functions   |
| UNEP/CHW.10/27/Add.3 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint services   |
| UNEP/CHW.10/27/Add.4 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions - synchronization of budget cycles  |
| UNEP/CHW.10/27/Add.5 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint audits   |
| UNEP/CHW.10/27/Add.6 | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions – review arrangements   |
| UNEP/CHW.10/INF/2    | Documents on the review and strengthening of the operation of the Basel Convention regional and coordinating centres  |
| UNEP/CHW.10/INF/3    | Compilation of comments on the review and strengthening of the operation of the Basel Convention regional and coordinating centres  |
| UNEP/CHW.10/INF/37   | Decisions SC-5/27 of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants and RC-5/12 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 on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions |
| UNEP/CHW.10/INF/38   | Report on joint activities carried out by the Secretariats of the Basel, Rotterdam and Stockholm Conventions during 2009 and 2010   |
| UNEP/CHW.10/INF/39   | Submissions from Parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions  |
| UNEP/CHW.10/INF/40   | Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions  |
| UNEP/CHW.10/INF/41   | Information submitted by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations on progress on programmatic cooperation in the field to support the implementation of the three Conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes  |
| UNEP/CHW.10/INF/42   | Report on clearing-house mechanisms and similar mechanisms in the area of chemicals and wastes  |
| UNEP/CHW.10/INF/43   | Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes   |
| UNEP/CHW.10/INF/46   | Update on publications and public information material  |
| UNEP/CHW.10/INF/48   | Compilation of comments received from Parties and stakeholders on the Indonesian-Swiss country-led initiative to improve the effectiveness of the Basel Convention  |
| UNEP/CHW.10/28       | Report of the Conference of the Parties to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal on its tenth meeting   |
| Decision BC-10/29    | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm conventions   |

| <b>ROTTERDAM CONVENTION</b><br>Entry into force: 24 February 2004 |  |
|---|--|
| <b>CoP 2</b><br><b>27-30 September 2005 (Rome)</b>                |  |
| UNEP/FAO/RC/COP.2/INF/7   | Decisions taken by the Conference of the Parties to the Stockholm Convention at its first meeting relevant to the operation of the Rotterdam Convention Secretariat  |
| UNEP/FAO/RC/COP.2/19  | Report 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 on the work of its second meeting  |
| Decision RC – 2/6   | Enhancing cooperation and coordination between the Basel, Rotterdam and Stockholm conventions  |
| <b>CoP 3</b><br><b>9-13 October 2006 (Geneva)</b>                 |  |
| UNEP/FAO/RC/COP.3/INF/10  | Recommendations on improving cooperation and synergies provided by the Secretariat of the Basel Convention   |
| UNEP/FAO/RC/COP.3/ 19   | Enhancing synergies between the Secretariats of the chemicals and waste Conventions  |
| UNEP/FAO/RC/COP.3/20  | Enhancing synergies between the Secretariats of the chemicals and waste Conventions  |
| UNEP/FAO/RC/COP.3/25  | Enhancing synergies between the Secretariats of the chemicals and waste Conventions: an overview of events and documents   |
| UNEP/FAO/RC/COP.3/25/Cor r.1                                      | Enhancing synergies between the Secretariats of the chemicals and waste Conventions: an overview of events and documents   |
| UNEP/FAO/RC/COP.3/26  | Report 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 on the work of its third meeting   |
| Decision RC-3/8   | Cooperation and coordination between the Rotterdam, Basel and Stockholm Conventions  |
| <b>CoP 4</b><br><b>27-31 October 2008 (Rome)</b>                  |  |
| UNEP/FAO/RC/COP.4/INF/9   | Information on the costs and organizational implications of establishing joint services of the Basel, Rotterdam and Stockholm Conventions as reflected in the recommendation of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination among the 3 Conventions |
| UNEP/FAO/RC/COP.4/INF/10  | Proposal on financing coordinated extraordinary meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/FAO/RC/COP.4/20  | Progress made towards the implementation of decision RC-3/8 on cooperation and coordination between the Rotterdam, Basel and Stockholm Conventions   |
| UNEP/FAO/RC/COP.4/20/Ad d.1                                       | Progress made towards the implementation of decision RC-3/8 on cooperation and coordination between the Rotterdam, Basel and Stockholm Conventions   |
| UNEP/FAO/RC/COP.4/24  | Report 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 on the work of its fourth meeting  |
| Decision RC4/11   | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| <b>CoP 5</b><br><b>20-24 June 2011 (Geneva)</b>                   |  |
| UNEP/FAO/RC/COP.5/INF/11  | Report on joint activities carried out by the Secretariats of the Basel, Rotterdam and Stockholm Conventions during 2009 and 2010  |
| UNEP/FAO/RC/COP.5/INF/12  | Submissions from Parties, regional centres and other stakeholders on activities carried out to implement the synergies decisions   |

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|---------------------------------|--|
| UNEP/FAO/RC/COP.5/INF/13 /Rev.1 | Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions   |
| UNEP/FAO/RC/COP.5/INF/14        | Information submitted by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations on progress on programmatic cooperation in the field to support the implementation of the three Conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes |
| UNEP/FAO/RC/COP.5/INF/15        | Report on clearing house mechanisms and similar mechanisms in the area of chemicals and wastes   |
| UNEP/FAO/RC/COP.5/INF/16        | Additional information on Safe Planet: the United Nations Campaign for Responsibility on Hazardous Chemicals and Wastes  |
| UNEP/FAO/RC/COP.5/INF/17        | Decision SC-5/27 of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/FAO/RC/COP.5/20            | Draft strategic plan for establishing procedures for the operation of the Rotterdam Convention component of the joint clearing-house mechanism   |
| UNEP/FAO/RC/COP.5/24/Ad d.1     | Programme of work and proposed budget for the biennium 2012-2013   |
| UNEP/FAO/RC/COP.5/25            | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/FAO/RC/COP.5/25/Ad d.1     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint activities  |
| UNEP/FAO/RC/COP.5/25/Ad d.2     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint managerial functions  |
| UNEP/FAO/RC/COP.5/25/Ad d.3     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint services  |
| UNEP/FAO/RC/COP.5/25/Ad d.4     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions - synchronization of budget cycles   |
| UNEP/FAO/RC/COP.5/25/Ad d.5     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint audits  |
| UNEP/FAO/RC/COP.5/25/Ad d.6     | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions – review arrangements  |
| UNEP/FAO/RC/COP.5/26            | Report 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 on the work of its fifth meeting   |
| Decision RC 5/12                | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |

| <b>STOCKHOLM CONVENTION</b><br><b>Entry into force: 17 May 2004</b> |   |
|---|---|
| <b>CoP 1</b><br><b>2-6 May 2005 (Punta del Este)</b>                |   |
| UNEP/POPS/COP.1/INF/2   | Possible arrangements for a joint head of the Secretariats of the Rotterdam and Stockholm Conventions   |
| UNEP/POPS/COP.1/31  | Report of the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants on the work of its first meeting   |
| Decision SC-1/18  | Enhancing synergies within the chemicals and waste cluster  |
| <b>CoP2</b><br><b>1-5 May 2006 (Geneva)</b>                         |   |
| UNEP/POPS/COP.2/INF/12  | Study on improving cooperation and synergies between the Secretariats of the Basel, Rotterdam and Stockholm   |
| UNEP/POPS/COP.2/INF/18  | Supplementary analysis of the financial and administrative arrangements that would be needed to implement any changes proposed to enhance synergies and cooperation between the Secretariats of the chemicals and waste Conventions   |
| UNEP/POPS/COP.2/INF/19  | Recommendations on improving cooperation and synergies provided by the Secretariat of the Basel Convention  |
| UNEP/POPS/COP.2/25  | Enhancing synergies within the chemicals and waste cluster  |
| UNEP/POPS/COP.2/30  | Report of the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants on the work of its second meeting  |
| Decision SC-2/15  | Synergies   |
| <b>CoP3</b><br><b>30 April – 4 May 2007(Dakar)</b>                  |   |
| UNEP/POPS/COP.3/INF/13  | Supplementary report on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/POPS/COP.3/INF/19  | Comments on the supplementary report on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/POPS/COP.3/INF/19/ Add.1                                       | Comments on the supplementary report on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/POPS/COP.3/28  | Enhancing synergies within the chemicals and waste cluster  |
| UNEP/POPS/COP.3/30  | Report of the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants on the work of its third meeting   |
| Decision SC 3/21  | Synergies   |
| <b>CoP4</b><br><b>4-8 May 2009 (Geneva)</b>                         |   |
| UNEP/POPS/COP.4/INF/21  | Information on the costs and organizational implications of establishing joint services of the Basel, Rotterdam and Stockholm Conventions as reflected in the recommendation of the Ad Hoc Joint Working Group on Enhancing Cooperation and Coordination among the Basel, Rotterdam and Stockholm Conventions |
| UNEP/POPS/COP.4/INF/22  | Proposal on financing coordinated extraordinary meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/POPS/COP.4/32  | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/POPS/COP.4/38  | Report of the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants on the work of its fourth meeting  |
| Decision SC 4/34  | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions (synergies decision)  |
| <b>CoP5</b><br><b>Geneva, 25-29 April 2011</b>                      |   |
| UNEP/POPS/COP.5/INF/14  | Report on joint activities carried out by the Secretariats of the Basel, Rotterdam and Stockholm Conventions during 2009 and 2010   |
| UNEP/POPS/COP.5/INF/15  | Submissions from Parties, regional centres and other stakeholders on  |

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|                                | activities carried out to implement the synergies decisions  |
| UNEP/POPS/COP.5/INF/16         | Information submitted by the United Nations Environment Programme and the Food and Agriculture Organization of the United Nations on progress on programmatic cooperation in the field to support the implementation of the three Conventions in areas of common concern and the inclusion of such cooperation in their biennial work programmes- Support provided by UNEP/FAO |
| UNEP/POPS/COP.5/INF/17         | Report on clearing house mechanisms and similar mechanisms in the area of chemicals and wastes   |
| UNEP/POPS/COP.5/INF/37         | Activity reports provided by the regional and subregional centres for capacity-building and the transfer of technology and the nominated Stockholm Convention centres  |
| UNEP/FAO/RC/COP.5/INF/49/Rev.1 | Information submitted by the Inter-Organization Programme for the Sound Management of Chemicals on efforts to promote programmatic cooperation and coordination and on activities to implement the synergies decisions   |
| UNEP/POPS/COP.5/21             | Report on activities of the regional and subregional centres for capacity-building and transfer of environmentally sound technologies and considerations regarding the selection of new centres  |
| UNEP/POPS/COP.5/32             | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/POPS/COP.5/32/Add.1       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint activities  |
| UNEP/POPS/COP.5/32/Add.2       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint managerial functions  |
| UNEP/POPS/COP.5/32/Add.3       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint services  |
| UNEP/POPS/COP.5/32/Add.4       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions - synchronization of budget cycles   |
| UNEP/POPS/COP.5/32/Add.5       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions- joint audits  |
| UNEP/POPS/COP.5/32/Add.6       | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions – review arrangements  |
| UNEP/POPS/COP.5/35             | Programme of work and proposed budget for the biennium 2012-2013   |
| UNEP/POPS/COP.5/36             | Report of the Conference of the Parties of the Stockholm Convention on Persistent Organic Pollutants on the work of its fifth meeting  |
| Decision SC 5/27               | Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |

| <b>1<sup>st</sup> Meeting of the AHJWG</b><br><b>26-28 March 2007 Helsinki (Finland)</b>  |  |
|---|--|
| BC-RC-SC /AHJWG.1/1   | Provisional agenda   |
| BC-RC-SC /AHJWG.1/2   | Supplementary report prepared by the President of Stockholm Convention pursuant to decision SC-2/15 of the second meeting of the Conference of the Parties of the Stockholm Convention |
| BC-RC-SC /AHJWG.1/3   | Comments received on the supplementary report on cooperation and coordination between these three Conventions  |
| BC-RC-SC /AHJWG.1/3/Add.1   | Comments received on the supplementary report on cooperation and coordination between these three Conventions  |
| UNEP/FAO/CHW/RC/POPS/JWG.1/4  | Report of the ad hoc joint working group on enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions on the work of its first meeting               |
| BC-RC-SC /AHJWG.1/INF/1   | List of the national contacts for the Basel, Rotterdam and Stockholm Conventions (as at 5 February 2007)   |
| BC-RC-SC /AHJWG.1/INF/2   | List of Parties to the Basel, Rotterdam and Stockholm Conventions (as at 16 February 2007)   |
| BC-RC-SC /AHJWG.1/INF/3   | Note verbale concerning venue of meetings and participation of observers in the meetings of the ad hoc joint working group: submission by GRULAC                                       |
| BC-RC-SC /AHJWG.1/INF/4   | Chronology of the consideration by Parties to the Basel, Stockholm and Rotterdam Conventions on cooperation and coordination between the three Conventions                             |
| BC-RC-SC /AHJWG.1/INF/5/Rev.1   | List of participants   |
| <b>2<sup>nd</sup> Meeting of the AHJWG</b><br><b>10-13 December 2007 Vienna (Austria)</b> |  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/1  | Provisional agenda   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/1/Add.1  | Annotated provisional agenda   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/2  | Coordination for the national level  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/2/Add.1  | Coordination for the national level: Belgian national coordination: cooperation structures as an instrument for coherence between a multitude of institutional actors                  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/3  | Joint outreach and public awareness  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/4  | Coordinated use of regional offices, centres   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/5  | Programmatic cooperation in the field  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/6  | Reporting obligations under the Basel, Rotterdam and Stockholm Convention  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/7  | The potential for cooperation on compliance  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/8  | The potential for enhancing compliance through cooperation in capacity-building  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/9  | Experiences of the Basel Convention in the development of a compliance mechanism   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/10   | Information sharing among technical and scientific panels  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/11   | Pooling information on health and environmental impacts/clearing house mechanisms  |
| UNEP/FAO/CHW/RC/POPS  | Financial management and audit functions   |

|   |   |
|---|---|
| /JWG.2/12   |   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/13   | Back-to-back meetings   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/14   | Resource mobilization   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/15   | Joint input into other processes  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/16   | General legal service arrangements – explore different level of coordination including the unification of legal services  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/17   | The potential for cooperation on compliance   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/18   | Report of the meeting   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/2  | General legal service arrangements  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/3  | Technical assistance legal services, including development of legislation   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/4  | Financial management and audit functions  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/5  | Resource mobilization   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/6  | Information technology  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/7  | Scenario note for the second meeting of the ad hoc joint working group  |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/8  | Submission by Switzerland and Nigeria on joint managerial functions including joint head of secretariat   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/9  | Resource mobilization   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/10   | Areas for further cooperation and development   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/11   | List of documents   |
| UNEP/FAO/CHW/RC/POPS/JWG.2/INF/12   | List of Participants  |
| <b>3<sup>rd</sup> Meeting of the AHJWG<br/>25-28 March2008 Rome (Italy)</b> |   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/1  | Provisional agenda  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/1/Add.1  | Annotated provisional agenda  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/2  | Draft recommendations to the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions prepared by the Co-chairs of the ad hoc joint working group   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/3  | Report of the Ad hoc Joint Working Group on Enhancing Cooperation and Coordination Among the Basel, Rotterdam and Stockholm Conventions on the work of its third meeting  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/1  | Scenario note for the third meeting of the ad hoc joint working group   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/2  | Compilation of comments received on Annex I of the report of the second meeting of the ad hoc joint working group on enhancement of coordination and cooperation among the Basel, Rotterdam and Stockholm Conventions |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/3  | Information provided by the secretariat of the Montreal Protocol on its experience with its compliance regime   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/4  | Information provided by the secretariat of the Convention on Biological Diversity on its experience in organizing back-to-back  |

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|  | meetings  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/5   | Financial management and audit functions  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/6   | Information on the costs of national ozone units established and funded by the Multilateral Fund for the implementation of the Montreal Protocol  |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/7   | Resource mobilization   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/8   | Swiss paper on how coordinated administrative arrangements might liberate financial resources for the implementation of the three Conventions   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/9   | Compilation of comments received on the draft recommendations to the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions prepared by the Co-chairs of the ad hoc joint working group |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/10  | List of documents   |
| UNEP/FAO/CHW/RC/POPS/JWG.3/INF/11  | List of members   |
| <b>Simultaneous Extraordinary Meeting of the Parties<br/>22-24 February Bali (Indonesia)</b> |   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/1  | Provisional agenda  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/1/Add.1  | Annotations to the provisional agenda   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/2  | Joint activities  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/3  | Joint managerial functions  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/4  | Joint services  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/5  | Synchronization of budget cycles  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/6  | Joint audits of the accounts of the Secretariats of the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/7  | Reviewing the arrangements adopted pursuant to the decision on cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/8  | Report of the simultaneous extraordinary meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/1/Rev.1  | Scenario note for the simultaneous extraordinary meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/2  | Workplan for the development of a clearing-house mechanism serving the Basel, Rotterdam and Stockholm Conventions covering the biennium   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/3  | Information on costs and organizational implications of establishing joint services among the Secretariats of the Basel, Rotterdam and Stockholm Conventions  |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/4  | Parties to the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/5/Rev.1  | Organizational structures of the Secretariats of the Basel, Rotterdam and Stockholm Conventions   |
| UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/6  | Joint activities in the area of technology transfer and capacity building   |

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| UNEP/FAO/CHW/RC/POPS/<br>EXCOPS.1/INF/7   | List of pre-session documents |
| UNEP/FAO/CHW/RC/POPS/<br>EXCOPS.1/INF/8   | List of participants          |
| <b>Other relevant documents</b>   |                               |
| The Matrix System at Work – An Evaluation of the World Bank’s Organizational Effectiveness (April, 2012)  |                               |
| <a href="#"><u>Report on sustainability performance of the Secretariat of the Basel, Rotterdam and Stockholm conventions</u></a> (April, 2012)  |                               |
| Quarterly reports (first, second and third quarter of 2012)   |                               |
| UNOIOS Audit Report of the Secretariat of the Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (April 2012)  |                               |
| Proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the Secretariats of the three Conventions – Briefing for Missions (24/01/2012)      |                               |
| Comments from Parties and one Observer (January and February 2012)  |                               |
| Joint Managerial Functions – Proposal from the Executive Secretary of the Basel, Rotterdam and Stockholm Conventions for the organization of the Secretariats of the three Conventions (21/12/2011) |                               |
| Findings of the subgroups set up under the secretariat Task Force on Restructuring (December, 2011)   |                               |
| Article on Synergies (Environmental and Policy Law, 41/6 2011)  |                               |
| Report of the joint meeting of the bureaus of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Conventions (Geneva, Switzerland, 26 March 2011)                                 |                               |
| Brief Joint Bureau Meeting (March, 2011)  |                               |
| Success Stories on Synergies (March, 2011)  |                               |
| Compilation of decisions related to enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions (2005-2011)   |                               |
| Enhancing cooperation and coordination within the chemicals and wastes cluster - UNEP Governing Council 26 <sup>th</sup> Session (December 2010)  |                               |
| An NGO View on Synergies and the EXCOPS – IPEN (February, 2010)   |                               |
| UNEP Desk Study on Financing Options for Chemicals and wastes (October, 2009)   |                               |
| UNEP Medium-Term Strategy 2010–2013   |                               |

## Annex E List of Stakeholders Interviewed

| <b>Secretariat Staff</b>   |  |
|--|--|
| Jim Willis   | Executive Secretary  |
| Donald Cooper  | Executive Secretary Office   |
| Katharina Kummer-Peiry   | Executive Secretary Office   |
| Laura Meszaros   | Executive Secretary Office   |
| Nalini Basavaraj   | Administrative Support Branch  |
| Susanne Bengtsson  | Administrative Support Branch  |
| Julien Hortoneda   | Administrative Support Branch  |
| Marzena Jankowska  | Administrative Support Branch  |
| Innocent Kalumba   | Administrative Support Branch  |
| Osmany Pereira   | Administrative Support Branch  |
| Michael Stanley-Jones  | Administrative Support Branch  |
| Marylene Beau  | Convention Operations Branch   |
| Yvonne Ewang   | Convention Operations Branch   |
| Mathias Kern   | Convention Operations Branch   |
| Juliette Kohler  | Convention Operations Branch   |
| Frank Moser  | Convention Operations Branch   |
| David Ogden  | Convention Operations Branch   |
| Hamoudi Shubber  | Convention Operations Branch   |
| Amelie Taoufiq   | Convention Operations Branch   |
| Andrea Warmuth   | Convention Operations Branch   |
| Jacqueline Alvarez   | Technical Assistance Branch  |
| Maria-Christina Cardenas-Fisher                                    | Technical Assistance Branch  |
| Mathias Kern   | Technical Assistance Branch  |
| Alexander Mangwiyo   | Technical Assistance Branch  |
| Nelson Sabogal   | Technical Assistance Branch  |
| Tatiana Terekhova  | Technical Assistance Branch  |
| Melissa Lim  | Scientific Services Branch   |
| Ibrahim Shafil   | Scientific Services Branch   |
| Suman Sharma   | Scientific Services Branch   |
| Dadan Wardhana   | Scientific Services Branch   |
| Paul Whylie  | Scientific Services Branch   |
| Christine Fuell  | RC Secretariat Rome  |
| Stacie Johnston  | RC Secretariat Rome  |
| Mohamed El Hady Sidatt   | RC Secretariat Rome  |
| Elisabetta Tagliati  | RC Secretariat Rome  |
| Gerold Wyrwal  | RC Secretariat Rome  |
| Yun Zhou   | RC Secretariat Rome  |
| <b>Party representatives involved in Synergies Process (AHJWG)</b> |  |
| Magdalena Balicka  | Poland   |
| Karel Blaha  | Czech Republic   |
| Barry Reville  | Australia  |
| Osvaldo Álvarez-Pérez  | Chile  |
| Kerstin Stendahl   | Finland  |
| <b>Party Representatives</b>                                       |  |
| Sergia de Souza Oliveira   | Director of Environmental Quality, Ministry of Environment, Brazil   |
| Zilda Veloso   | Manager of Hazardous Waste, Ministry of Environment, Brazil  |
| Leticia Carvalho   | Manager of Chemical Safety, Ministry of Environment, Brazil  |
| Gilberto Filho   | Division of Environmental Quality, IBAMA, Brazil   |
| Diogo Ramos-Coelho   | Third Secretary, Division of Climate Change, Ozone and Chemical Safety, Ministry of External Relations, Brazil |

|   |   |
|---|---|
| Karel Blaha                             | Director of Dept of Environmental Risks and Ecological Damage, Ministry of Environment, Czech Republic                        |
| Klara Wajdova                           | Dep Director of Dept of International Organizations and MEAs, Ministry of Environment, Czech Republic                         |
| Milada Vomastkova                       | Focal Point RC Dept of Environmental Risk and Ecological Damage, Ministry of Environment, Czech Republic                      |
| Irene Sedlackova                        | Focal Point BC Waste Management Dept, Ministry of Environment, Czech Republic   |
| Viktor Havlice                          | Dept of Ecology, Ministry of Industry and Trade, Czech Republic   |
| Hana Rychlikova                         | Dept of Environmental Risks and Ecological Damage, Ministry of Environment, Czech Republic                                    |
| Jieqing Zhang                           | Ministry of Environmental Protection, China   |
| Marindany Kirui                         | Deputy Coordinator National Ozone Unit, National Environmental Management Agency, Kenya                                       |
| Oludayo O. Dada                         | Consultant, Federal Ministry of Environment, Nigeria  |
| Blaise Minto                            | Chief, Director de la Protection Vegetaux, Ministry de l'Agriculture, Togo  |
| Silvia Aguinaga                         | Direccion Nacional de Medio Ambiente, Ministerio de Vivenda, Ordenamiento Territorial y Medio Ambiente, Uruguay               |
| Judith Torres                           | Direccion Nacional de Medio Ambiente, Ministerio de Vivenda, Ordenamiento Territorial y Medio Ambiente, Uruguay               |
| Hugo Ferrazzini                         | Direccion General de Service Agricolas, Ministerio de Ganaderia, Agricultura y Pescas, Uruguay                                |
| Carmen Ciganda                          | Directora, Departamento Ambiento y Occupacional, Ministerio de Salud Publica, Uruguay   |
| <b>BC &amp; SC Regional Centres</b>     |   |
| Katerina Sebkova                        | (SC) Director of the National and Regional Centres for POPs RECETOX   |
| Jana Klanova                            | (SC) Dep Director of the Research Centre for Toxic Compounds in the Environment (RECETOX)                                     |
| Petra Pribylova                         | (SC) Project Manager RECETOX, Czech Republic  |
| Taelo Letsela                           | (BC) Director Africa Institute for Environmentally Sound Management of Hazardous and Other Wastes, South Africa               |
| Richard Mukabana                        | (SC) Director ICIPE, Kenya  |
| Lady Virginia                           | (SC) Coordinator, Companhia Ambiental do Estado de Sao Paolo, Brazil  |
| Fátima Carrara                          | (SC) Manager International Department, Companhia Ambiental do Estado de Sao Paolo, Brazil                                     |
| Claudio Alonso                          | (SC) Manager International Department, Companhia Ambiental do Estado de Sao Paolo, Brazil                                     |
| Maria Inês Sato                         | (SC) Manager, Companhia Ambiental do Estado de Sao Paolo, Brazil  |
| Sérgio de Almeida                       | (SC) Assistant, Companhia Ambiental do Estado de Sao Paolo, Brazil  |
| Michel Seck                             | (SC/BC) Director Centre Regional des Conventions de Bale et Stockholm, Dakar  |
| Gabriela Medina                         | (SC/BC) Director Basel Coordination Centre for Training and Technology for Latin America and the Caribbean Region, Uruguay    |
| Alejandra Torre                         | (SC/BC) Co-Director Basel Coordination Centre for Training and Technology for Latin America and the Caribbean Region, Uruguay |
| Nana Zhou                               | (SC/BC) Basel – Stockholm Coordinating Centre for Asia and the Pacific, Tsinghua University, China.                           |
| <b>UNEP</b>                             |   |
| Jan Betlem                              | UNEP Chemicals (Nairobi)  |
| Bradley Chambers                        | UNEP DELC (Nairobi)   |
| Jacob Duer                              | UNEP Chemicals (Geneva)   |
| Bakary Kante                            | UNEP DELC (Nairobi)   |
| Maasa Nagai                             | UNEP DEL (Nairobi)  |
| <b>Regional Offices of FAO and UNEP</b> |   |

|                           |   |
|---------------------------|---|
| Adbouraman Bary           | UNEP Africa Regional Office                             |
| Denise Hamu               | UNEP Brazil Office                                      |
| Maria Bortoletti          | UNEP Brazil Office                                      |
| Allan Hruska              | FAO Sub-Regional Office for Central America             |
| Shoki Al-Dobai            | FAO Regional Office for Near East                       |
| Avetik Nersisyan          | FAO Regional Office for Central Asia and Eastern Europe |
| Tania Santivanez          | FAO Regional Office for Latin America and Caribbean     |
| <b>Other Agencies</b>     |   |
| Laurent Granier           | World Bank  |
| Mark Davis                | FAO   |
| Klaus Tyrkko              | UNDP  |
| Heinz Leuenberger         | UNIDO   |
| Ibrahima Sow              | GEF Secretariat   |
| <b>Other Stakeholders</b> |   |
| Elisabeth Ruffinengo      | Rotterdam Convention Alliance                           |
| Olga Speranskaya          | International POPs Elimination Network                  |
| Allan Jones               | World Chlorine Association                              |

## Annex F                    Protocols for Interviews (example)

### Secretariat Staff

#### General Common Questions:

##### Introduction

- Brief introduction of the review team and its mandate (*ToR adopted pursuant do Annex V of Decisions SC 5/27, RC 5/12, BC 10/29), under the independent mandates of the UNEP and FAO Evaluation Offices.*)
- Scope of the review: From the Synergies Decisions (2008 – 2009) to August 2012 (period of nearly 4 years).
- Brief introduction of the interviewee
- Any questions before starting the interview
- Rules on confidentiality and privacy
- Please provide any relevant available written information (non-public documents)

#### SECTION A

##### Role and Relevance: Involvement in the synergies process / joint activities and services

1. For how long has been involved in the process?
2. What have synergies decisions have you been responsible for implementing
  - a. your involvement / contribution?
3. What role are you playing now? Has it changed from before if so why?
  - a. Internal role within the secretariats?
  - b. Or External interaction with Parties; regional centres; other stakeholders
4. To what extent has the synergies process / decisions responded to the needs of Parties?
  - a. Which Parties in your view have been most supportive of synergies and why?
  - b. Which Parties have been least supportive of synergies and why?
  - c. What are the key challenges for developing country Parties in your opinion?
5. One of the main areas synergies are meant to address (and be relevant for) is reducing costs and administrative burden – is that the most relevant aspect of the synergies process or are there other issues which you think matter?

**Effectiveness / Results / Impact**

6. Technical / substantive issues they have worked on (e.g., toolkits, delivering training on synergies or jointly with other conventions)
  - a. Audience / who
  - b. Is there evidence of results (e.g., use of training and or toolkits)
7. What actions have you taken since the decisions in 2008 to promote synergies?
  - a. What factors have enabled your work on synergies
  - b. What constraints have you faced?
    - i. Internally within the secretariat etc.
    - ii. Externally with Parties, other stakeholders
8. What are the key results of the implementation of the synergies decisions?
  - a. For the secretariats (internally)?
  - b. For Parties?
  - c. For regional centres?
  - d. If no results as yet, what results do you expect to see?
9. What are the negative impacts or possible negative impacts of synergies between the three conventions?
10. Have you observed any unintended benefits of the synergies process? (e.g., chance to work with new colleagues – develop new approaches etc.etc.)

**Efficiency**

11. The synergies process is premised to some extent on improving efficiency in terms of the reducing costs or being cost neutral: Has it done that so far? If so, how? And if not, how can it?
  - a. Are costs the most important aspect of the synergies process, if yes, what is your opinion – why do you think that is the case?
  - b. What cost reductions have you observed so far?
    - i. E.g., joint delivery capacity building / toolkits
    - ii. Reduction in numbers of meetings
    - iii. Reduction in staff / no-replacement of retired staff or those who have left – what impact is this having on service delivery?

- c. What are your perceptions of the level of service
  - i. Internal (improved / got worse / too early to judge)?
  - ii. External (for Parties)
- d. Are there alternatives to synergies process / actions that could also deliver similar results? If so what are these in your opinion?

12. To what extent do you think the synergies process has been timely? Why?

- a. What were the main factors facilitating delivery of synergies?
- b. What are the main causes of delays?

**General Comments**

- 13. What have been the main challenges?
- 14. What are the expectations regarding the review being undertaken by the Secretariats and UNEP/FAO?
- 15. What are your views regarding the new organisational structure?
- 16. Have there been any missed opportunities during the synergies process so far?
  - a. Anything that could have been done differently?
- 17. Lessons learned/recommendations that you would like to see in the Review?

**SECTION B**

**Specific Questions / Issues / Requests for information on activities and services:**

Joint activities (substantive technical and scientific):

Synergies Decisions 2008 – 2009

- 1. Staff allocated, roles and responsibilities
  - a. Changes in roles and responsibilities – please highlight
- 2. Support for Parties to implement the synergies (SD 2008 – 2009)
  - a. Technology transfer – please give examples
  - b. Capacity building – what has been provided, examples
    - i. Number of trained
    - ii. Satisfaction of participants
    - iii. Evidence of use of training / knowledge acquired?
  - c. Number of requests to the secretariat for training / knowledge products (demands from Parties)
  - v. Toolkits or other tools (e.g., guidelines) developed
- c. Work programmes (2008 – 2010) details?

3. Pilot project initiated with the regional centres? Please provide details of implementation results / progress / lessons learned (SD 2008 – 2009)
  - a. Which Regional centres were designated 'focal centres' for synergies?
  - b. Please provide the work programmes for the focal centres
4. Synchronization of national reporting – have arrangements been put in place for the BC and SC? (SD 2008 – 2009)
5. Have capacity building activities been undertaken to assist Parties in streamlining data management / collection for joint national reporting? (SD 2008 – 2009)
6. What measures have been put in place to facilitate exchange of information between technical and scientific bodies of secretariat
  - a. Give examples of cooperation since 2008 – 2009
  - b. Challenges?

Ex-COP Omnibus Decisions

7. Please detail collaboration / cooperation with other organizations (e.g., UN agencies, WCO, WHO, WTO *inter alia*) to implement synergies decisions / support joint implementation of the three conventions?
8. 2011 Synergies Decisions: Enhancing cooperation and coordination among the Basel, Rotterdam and Stockholm Conventions + Annexes
9. Update of the work developed: Annex 1 of the decisions – S1 thru S9
  - a. What activities have begun implementation?
  - b. Any early emerging results / challenges?
  - c. How are you monitoring implementation progress?
10. Agrees with the proposed future list of activities to be undertaken by the "Technical and / or Scientific Branches"?
11. Agrees with the n°/level of staff allocated? Is it enough?

Joint Finance and Administration + Audit

1. Staff allocated, roles and responsibilities
2. Update of progress made to merge finance and administrative services (e.g., HR functions; procurement; conference services etc.)
  - a. Results of joint finance and admin services: e.g., improved efficiency; reduced costs / reduced conference costs
3. Joint-audit BC-RC-SC – why has this not been completed?
4. Updates from task-force subgroup on finance and administrative matters – 2012-2013?

5. Agrees with the proposed future list of activities to be undertaken by the “Administrative Services Branch”?
6. Agrees with the n°/level of staff allocated?

Joint Information Technology Service

1. Staff allocated, roles and responsibilities
2. Update of progress made to merge ITS?
  - a. Results of ITS so far?
    - i. Website?
    - ii. Support to IS / CHM functions?
    - iii. Internal IT?
      1. Software / hardware
      2. Other basic IT services
  3. Updates from task-force subgroup on IT matters – 2012-2013?
  4. Updates on progress made towards implementation of the 2011 COP decision annex 1 S.11 (information technology service)
    - a. Emerging results
    - b. Challenges?
  5. Agrees with the proposed future list of activities to be undertaken by the “Administrative Services Branch” and IT’s position within it?
  6. Agrees with the n°/level of staff allocated to IT?

Joint Information Service

1. Staff allocated, roles and responsibilities
2. Updated list of outreach and public awareness campaigns
3. Update of the work developed: activities S10, S11, S12 (biennium 2012–2013)
4. Workplan for development of the CHM – comparative analysis between the one adopted in 2010 (*Annex to UNEP/FAO/CHW/RC/POPS/EXCOPS.1/INF/2*) with the present workplan (*Annex II to Decisions SC 5/27, RC 5/12, BC 10/29*)
5. Update of Safe Planet campaigns (*UNEP/CHW.10/INF/43*) including progress of engagement on Rio+20 World Summit on Sustainable Development and the 2012 London Summer Olympics?
6. What is the impact of the activities undertaken:
7. Number of website hits?
8. Number of publications distributed?
  - a. Number of requests for information received by the Secretariat?

- b. Quantified and qualified overall client satisfaction through feedback to the Secretariat about its information products
- c. Continually increasing interest and understanding by Parties, media, non-governmental organizations and the public of the aims and programmes of the Convention?
- d. Other indicators?

9. Updates from task-force subgroup on Information management and public awareness matters – 2012-2013?

10. Agrees with the proposed future list of activities to be undertaken by the “Administrative Services Branch” on knowledge/information management and public awareness?

11. Agrees with the n°/level of staff allocated?

Joint Legal Service

- 1. Staff allocated, roles and responsibilities – update of the categories and list of functions provided by *UNEP/FAO/CHW/RC/POPS/JWG.2/INF/2*
- 2. From Programme Budget for the biennium 2012-2013 is it possible to identify the amount allocated to the legal services? (similar to the information on costs provided under *UNEP/CHW.10/INF/42*)
- 3. Update of the work developed: biennium 2012–2013
- 4. Update of the technical assistance provided to Parties in implementing the Conventions: as contained in *UNEP/FAO/CHW/RC/POPS/JWG.2/INF/3*
- 5. What is the impact of the activities undertaken:
  - a. Training: n° of participants; n° of Parties involved; level of participants satisfaction;
  - b. N° of legal publications;
  - c. N° of meetings attended by the Secretariat;
  - d. Others
- 6. Updates from the task force sub-group on legal matters – 2012-2013?
- 7. Agrees with the new scope of activities to be undertaken by the “Conventions Operations Branch” on legal -Convention-related legal operations and corporate legal services?
- 8. Examples of the functions being performed under the new scope of the legal functions. Specifically what is the advice/guidance provided to Parties?
- 9. Agrees with the n°/level of staff allocated?
- 10. Views about the joint and harmonised legal programme of work (for consideration the COPs in 2013) and its status.

Joint Resource Mobilization Service and Synchronisation of Budget Cycles

- 1. Dedicated staff member/Joint Resources Mobilisation Officer (P4) as required by *UNEP/FAO/CHW/RC/POPS/EXCOPS.1/4* and argued by *UNEP/CHW.10/27/Add.3*

2. Update of activities being undertaken to comply with the objectives of the synergies decision (paragraph 4 of section IV)
3. Update of the work developed: activity S16 (biennium 2012–2013)
4. Status of the development and implementation of the Joint Resources Mobilisation Strategy
5. Other Fundraising strategies?
6. Updates on the list of references to relevant RM material  
*UNEP/FAO/CHW/RC/POPS/JWG.3/INF/7*
7. Updates from the task force sub-group on resource mobilisation – 2012-2013?
8. Agrees with the proposed future list of activities to be undertaken by the “Conventions Operations Branch” on Resource Mobilisation?
9. Agrees with the n°/level of staff allocated?

**Annex G                      Survey Questionnaire**

**Review of synergies arrangements on cooperation and coordination among  
the Basel, Rotterdam and Stockholm conventions**  
**SURVEY QUESTIONNAIRE**

**Submitting Party:**

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**Name:**

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**Telephone Number:**

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**Email Address:**

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**Entities involved in completing this questionnaire (tick box)**

BC Competent Authority  RC Designated Focal Point  SC National Focal Point  Other

**JOINT ACTIVITIES**

**Implementation of Substantive Activities**

1. Please tick the box that best represents your opinion of the frequency of joint activities (e.g. capacity building, technical guidance, research) implemented at the NATIONAL LEVEL.

|   | Never | Infrequent | Frequent | Very Frequent | Don't Know |
|---|-------|------------|----------|---------------|------------|
| Prior to the adoption of the “Synergie Decision” BCIX/10, RC-4/11, SC 4/34 (2008-09) and “Omnibus Decisions” (2010) |       |            |          |               |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”  |       |            |          |               |            |

2. Please tick the box that best represents your opinion of the frequency of joint activities (e.g., projects, capacity building, technical guidance, research) undertaken by REGIONAL CENTRES.

|  | Never | Infrequent | Frequent | Very Frequent | Don't Know |
|--|-------|------------|----------|---------------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |       |            |          |               |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |       |            |          |               |            |

3. Please tick the box that best represents your level of satisfaction with the implementation of joint activities at National level.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

4. Please tick the box that best represents your level of **satisfaction with the implementation of joint activities at Regional level**.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

5. Please tick the box that best represents your level of **satisfaction with the implementation of joint activities at Global level**.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

6. Please tick the box that best represents the **quality of guidance received and capacity building to enable streamlining of national reporting**.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

7. Please tick the box that best represents the level of progress towards **coordination and / or streamlining (e.g., coordination and simultaneous information collection mechanisms for BC and SC) of national reporting for the conventions**.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

8. How would you qualify the contribution of joint activities towards **strengthening the implementation of the three conventions at the national level?**

| Diminished | No change | Slightly Improved | Improved | Don't Know |
|------------|-----------|-------------------|----------|------------|
|            |           |                   |          |            |

9. How would you qualify the contribution of joint activities towards **reducing administrative burden of the three conventions at the national level?**

| Diminished | No change | Slightly Improved | Improved | Don't Know |
|------------|-----------|-------------------|----------|------------|
|            |           |                   |          |            |

10. How would you qualify the contribution of joint activities towards **promoting coherent policy guidance for the three conventions** at the national level?

| Diminished | No change | Slightly Improved | Improved | Don't Know |
|------------|-----------|-------------------|----------|------------|
|            |           |                   |          |            |

|  |  |  |  |  |
|--|--|--|--|--|
|  |  |  |  |  |
|--|--|--|--|--|

11. How would you qualify the contribution of joint activities towards maximizing the effective and efficient use of resources for the three conventions?

| Diminished | No change | Slightly Improved | Improved | Don't Know |
|------------|-----------|-------------------|----------|------------|
|            |           |                   |          |            |

#### Cooperation and Coordination on Technical Issues

12. To what extent has south-south cooperation and coordination been improved by joint implementation of the conventions? (e.g., sharing knowledge and good practice, regional guidelines etc.)

| Reduced | No change | Slightly Improved | Improved | Don't Know |
|---------|-----------|-------------------|----------|------------|
|         |           |                   |          |            |

13. To what extent has cooperation and coordination between Regional Centres been improved by joint implementation of the conventions (e.g., guidance, regional projects, BAT / BEP)?

| Reduced | No change | Slightly Improved | Improved | Don't Know |
|---------|-----------|-------------------|----------|------------|
|         |           |                   |          |            |

## JOINT SERVICES

#### Financial & Administrative Support Services

14. Please tick the box that best represents your level of satisfaction with financial and administrative support arrangements provided by the Secretariat(s) to the Conventions (e.g., for COP meetings)

| Financial and Admin Support  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

#### Legal Services

15. Please tick the box that best represents your level of satisfaction with legal services provided by the Secretariat(s) to the Conventions (e.g., legal advice, guidance, model legislation to implement)

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

#### Information Technology Service / Clearing House Mechanism (CHM)

16. Please tick the box that best represents your opinion of the quality and relevance of Information Technology Services and CHM to facilitate and increase information sharing with and between Parties

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |  |  |  |  |  |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”                |  |  |  |  |  |

### Public Information Products and Services

17. Please tick the box that best represents your level of satisfaction with **public information products (e.g., websites) and outreach services (e.g., press / news releases and publications)** provided by the Secretariat(s) to the Conventions.

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

### Resource Mobilisation

18. Please tick the box that best represents your opinion of the **effectiveness of resource mobilisation efforts** at the **NATIONAL** level?

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

19. Please tick the box that best represents your opinion of the **effectiveness of resource mobilisation efforts** at the **REGIONAL** level?

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

20. Please tick the box that best represents your opinion of the effectiveness of resource mobilisation efforts at the **GLOBAL level**?

|  | Poor | Adequate | Good | Very Good | Don't Know |
|--|------|----------|------|-----------|------------|
| Prior to the implementation of the “Synergies Decision” BCIX/10, RC 4/11, SC-4/34 (2008-09) and “Omnibus Decisions” (2010) |      |          |      |           |            |
| Under implementation of the “Synergies Decision” and “Omnibus Decisions”   |      |          |      |           |            |

21. Do you have any additional information or comments on the challenges or obstacles experienced, particularly in developing countries and / or countries with economies in transition, in strengthening coordination and cooperation between the conventions?

22. Do you have any specific or general lessons learned on strengthening coordination and cooperation between the conventions, particularly in developing countries and / or countries with economies in transition?

23. Do you have any specific or general recommendations for the UNEP – FAO Review of the “Synergies Decisions”?