

BASEL, ROTTERDAM AND STOCKHOLM CONVENTIONS

Secretariats of the Basel, Rotterdam and Stockholm Conventions

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Date: 15 July 2022

Submission by the Secretariat of the Basel, Rotterdam and Stockholm Conventions in preparation for the first session of the intergovernmental negotiating committee (INC) to develop an international legally binding instrument on plastic pollution, including in the marine environment

1. Sequencing and organization of INC

We take note of the proposed timetable for INC meetings set out in the letter dated 24 June 2022 (UNE-2022-00869-a). Please see our comments on sequencing and organization of INC.

Meeting	Nominal timeline	Comments on organization
INC-1	Week of 28 November 2022	The BRS Secretariat will provide information on the outcomes of the BRS 2022 COPs (6-17 June 2022) of relevance to the INC process The BRS Secretariat is preparing to hold the third meeting of the Plastic Waste Partnership under the Basel Convention from 23 to 25 November 2022 in Uruguay, back-to-back with INC-1.
INC-2	End of April 2023	The BRS Secretariat will provide information on the outcomes of the thirteenth meeting of the Open-ended Working Group of the Basel Convention (21-23 February 2023) of relevance to the INC process. Please note that the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions agreed to hold their 2023 meetings from 8 to 19 May 2023 in the Bahamas. We appreciate it if the meeting of INC-2 will not overlap with the 2023 BRS COPs.
INC-3	End of November 2023	The BRS Secretariat will provide information on the outcomes of the BRS 2023 COPs (8-19 May 2023) of relevance to the INC process
INC-4	Early May 2024	We take note of the nominal timeline when scheduling the fourteenth meeting of the Open-ended Working Group of the Basel Convention to take place in 2024
INC-5	Early December 2024	

2. Substantive issues which would contribute to preparation of documentation for INC-1

Summary

The Basel, Rotterdam and Stockholm conventions have the objective to protect human health and the environment from hazardous chemicals and waste and have provisions related to, among others, objectives, definitions, national action plans, national reports, effectiveness evaluation, global monitoring plan, technical assistance, financial mechanism, mechanism to assess scientific and socio-economic information, awareness-raising, education and information exchange, international cooperation and coordination, stakeholder engagement, research and development, compliance, Conference of the Parties and Secretariat that the committee may wish to take into its consideration. The Basel Convention is currently the only legally-binding global instrument that specifically addresses plastic waste since the Plastic Waste Amendments adopted in 2019 clarified the scope of plastic waste covered by the Basel Convention.

The Basel Convention provides measures to reduce hazardous waste generation and promote their environmentally sound management, to restrict transboundary movements of hazardous wastes except where it is perceived to be in accordance with the principles of environmentally sound management; and sets up a regulatory system applying to cases where transboundary movements are permissible. There are a number of guidance documents under the Basel Convention that support upstream efforts to promote sustainable production and consumption of plastics, including product design, and that guide Parties to ensure the environmentally sound waste management of plastic wastes, including through resource efficiency and circular economy approaches.¹ The Rotterdam Convention promotes shared responsibility and cooperative efforts among Parties in the international trade of certain hazardous chemicals contributes to the environmentally sound use of those hazardous chemicals. The Stockholm Convention provides measures to reduce releases of persistent organic pollutants, including plastic additives and by-products, from intentional production and use, unintentional production, and stockpiles and wastes.

The face-to-face segment of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions held from 6 to 17 June 2022² considered a number of items that are of relevance to the committee. In particular, the Conference of the Parties to the Basel Convention made progress in updating the technical guidelines on the environmentally sound management of plastic waste, which set the guidance on how plastic waste should be managed in an environmentally sound manner.³ The 4 project groups of the Plastic Waste Partnership⁴ as well as the expert working group on the review of Annexes⁵ of the Basel Convention, among others, have ongoing activities relevant to the consideration by the committee. With regard to plastic additives, the Conference of the Parties to the Rotterdam Convention listed decabromodiphenyl ether and PFOA, its salts and PFOA-related compounds in Annex III to the Rotterdam Convention and the Conference of the Parties to the Stockholm Convention listed PFHxS, its salts and PFHxS-related compounds in Annex A to the Stockholm Convention.

Under the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and Stockholm Convention on Persistent Organic pollutants, following work/activities might be of relevance to the committee:⁶

Basel Convention:

- (a) **Technical guidelines on the environmentally sound management and other guidance:** At its fifteenth meeting, the Conference of the Parties made progress in updating the technical guidelines on the environmentally sound management of plastic waste (UNEP/CHW.15/6/Add.7). In decision BC-15/10,

¹ <http://www.basel.int/tabid/8333>.

² <http://www.brsmeas.org/tabid/8395>.

³ <http://www.basel.int/tabid/7992>.

⁴ <http://www.basel.int/tabid/8096>.

⁵ <http://www.basel.int/tabid/2868>.

⁶ The documents for consideration at the face-to-face segment of the 2021/2022 meetings of the conferences of the Parties to the Basel, Rotterdam and Stockholm conventions to take place from 6 to 17 June 2022 in Geneva are available at: <http://www.brsmeas.org/tabid/8395>.

the Conference of the Parties requested the Secretariat to transmit the decision, and to report on the progress regarding the draft updated technical guidelines, to the Executive Director of the UNEP and to the intergovernmental negotiating committee established pursuant to UNEA resolution 5/14. In addition, in decision BC-15/15, the Conference of the Parties decided to update the technical guidelines on the environmentally sound management of used and waste pneumatic tyres (UNEP/CHW.10/6/Add.1/Rev.1) and decided to consider whether technical guidelines on the environmentally sound management of rubber wastes (entry B3040) and waste parings and scrap of rubber (entry B3080) should be developed.

Furthermore, in decision BC-15/5, the Conference of the Parties adopted the practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.15/5/Add.1/Rev.1). Other guidance documents relevant to plastic waste are available at the Basel Convention website.⁷

As the new global treaty is to promote, among others, environmentally sound waste management,⁸ the development of the technical guidelines under the Basel Convention as well as other relevant guidance documents may be of relevance to the committee.

- (b) **Plastic Waste Partnership:** Established in 2019 by the Conference of the Parties to the Basel Convention, the Partnership is delivering its activities through 4 project groups: plastic waste prevention and minimization; plastic waste collection, recycling and other recovery including financing and related markets; transboundary movements of plastic waste; outreach, education and awareness-raising. 23 pilot projects are being implemented.

As the new global treaty is to promote sustainable production and consumption of plastics, including, among others, product design, and environmentally sound waste management, including through resource efficiency and circular economy approaches;⁹ to encourage action by all stakeholders, including the private sector, and to promote cooperation at the global, regional, national and local levels;¹⁰ to initiate a multi-stakeholder action agenda;¹¹ and to promote research and development of sustainable, affordable, innovative and cost-efficient approaches the work undertaken by the Plastic Waste Partnership may be of relevance to the committee.¹²

- (c) **National reporting and plastic waste inventory guidance:** Article 13 of the Basel Convention provides that each Party is to transmit, before the end of each calendar year, a report on the previous calendar year, containing relevant information (e.g. on generation of waste, imports and exports, availability of disposal facilities).¹³ In decision BC-15/13, the Conference of the Parties took note of the practical guidance on the development of inventories of plastic waste (UNEP/CHW.15/INF/19/Rev.1).

The Basel Convention national reports include reporting on plastic waste as it falls under the Convention. As the new global treaty is to specify national reporting,¹⁴ the experience of the Basel Convention and the information to be available under the national reporting may be of relevance to the committee.

- (d) **Committee Administering the Mechanism for Promoting Implementation and Compliance:** Established in 2002, the Committee has the mandate to review both specific submissions regarding individual Parties' implementation and compliance, and general issues of implementation and compliance under the Convention. Over the years the Committee has helped 18 Parties resolve their compliance difficulties and monitored progress achieved by all Parties with their implementation of the Convention in relation to country contacts, reporting, legislation, illegal traffic and control measures.

⁷ <http://www.basel.int/tabid/8333>.

⁸ Paragraph 3 (b) of UNEA resolution 5/14.

⁹ Paragraph 3 (b) of UNEA resolution 5/14.

¹⁰ Paragraph 3 (l) of UNEA resolution 5/14.

¹¹ Paragraph 3 (m) of UNEA resolution 5/14.

¹² Paragraph 3 (o) of UNEA resolution 5/14.

¹³ <http://www.basel.int/tabid/2314>; <http://www.basel.int/tabid/8989>.

¹⁴ Paragraph 3 (f) of UNEA resolution 5/14.

As the new global treaty is to periodically assess the progress of implementation of the instrument¹⁵ and to address compliance,¹⁶ the experience of the Committee Administering the Mechanism for Promoting Implementation and Compliance may be of relevance to the committee.

- (e) **Providing further legal clarity:** In decision BC-15/19, the Conference of the Parties took note of the progress made in the work of the expert working group on the review of Annexes that was mandated, among others, to consider whether any additional constituents or hazardous characteristic in relation to plastic wastes should be added to Annex I or III, respectively, to the Convention (UNEP/CHW.15/INF/21).

As the new global treaty is to promote among others, environmentally sound waste management,¹⁷ the findings of the expert working group may be of relevance to the committee.

- (f) **Glossary of terms:** Article 2 of the Basel Convention provides definitions of certain terms that might be of relevance. In addition, the Basel COP-13 has adopted glossary of terms (UNEP/CHW.13/4/Add.2). The technical guidelines on the environmentally sound management of plastic waste (UNEP/CHW.15/6/Add.7) also provide explanation on the scope of plastic waste covered. The Stockholm Convention and the Minamata Convention have definition of best available techniques and best environmental practices.
- (g) **Plastic Waste Amendments:** Adopted in 2019, the amendments to the entries in Annexes II, VIII and IX to the Basel Convention became effective 1 January 2021.¹⁸ The amendments refer to changes to the scope of the plastic waste covered by the following provisions of the Basel Convention:
- a. Control procedure for transboundary movements (Prior informed Consent (PIC); procedure) and the conditions under which this procedure applies or not;
 - b. Provisions pertaining to waste minimization;
 - c. Provisions pertaining to the environmentally sound management of wastes.
- (h) **E-waste Amendments:** In decision BC-15/18, the Conference of the Parties adopted amendments to the entries in Annexes II, VIII and IX to the Basel Convention, making all e-waste subject to the PIC procedure. The amendments will become effective on 1 January 2025. E-waste is the fastest growing waste and plastics constitute 20% of e-waste.
- (i) **Further consideration of plastic waste:** In decision BC-15/15, the Conference of the Parties requested the Secretariat to suggest possible further activities that could be conducted under the Convention in response to developments in scientific knowledge and environmental information and health impacts related to plastic waste as a source of land pollution, marine plastic litter and microplastics, taking into consideration the comments received from Parties and others on document UNEP/CHW.15/INF/10 and the work undertaken in follow-up to UNEA resolution 5/14, as appropriate.

Possible further areas of work include:

- a. **Information collection, monitoring and reporting:** (1) transmission of information on generation and management of plastic waste and the transboundary movement of plastic waste not subject to the prior informed consent procedure, including statistical information collected through national plastic waste inventory; status of implementation of the plastic waste amendments including through national legislation, action plans and other measures; (2) development of database for sharing information relating to plastic waste; (3) support for Parties to quantify or estimate the quantities of plastic waste managed or leaked into the environment; (4) establishment of a global monitoring programme taking into account the global monitoring plan for POPs; (5) establish links for data with SDG indicators in particular SDG 14 and 12;
- b. **Implementation of the Basel Convention provisions relevant to plastics:** (1) establish an expert group to develop practical guidance for the implementation of the Basel Convention provisions

¹⁵ Paragraph 3 (g) of UNEA resolution 5/14.

¹⁶ Paragraph 3 (p) of UNEA resolution 5/14.

¹⁷ Paragraph 3 (b) of UNEA resolution 5/14.

¹⁸ <http://www.basel.int/tabid/8426>.

relevant to plastics and microplastics, for example: on waste prevention and minimization; on the environmentally sound management of specific waste streams where plastic is relevant; on the various types of recycling technologies; on measures on health and safety; on the development of suitable policy instruments and actions at the national level to address plastic pollution; on targets, indicators, monitoring and assessment on plastics waste and on microplastics on land and in the marine environment; on environment and trade in plastics, including information on legal and illegal trade; on prevention and minimization of hazardous constituents of plastic waste, including plastic additives; (2) support for Parties to address plastic pollution; (3) activities to address waste containing microplastics and nanomaterials; (4) Basel and Stockholm conventions regional centres to continue their activities relevant to addressing plastic pollution.

As the global treaty is to promote cooperation and coordination with relevant regional and international conventions, instruments and organizations, while recognizing their respective mandates, avoiding duplication, and promoting complementarity of action,¹⁹ the consideration of further activities that could be conducted under the Basel Convention may be of relevance to the committee.

- (j) **Strategic framework:** The strategic framework for the implementation of the Basel Convention for 2012–2021 was adopted at the tenth meeting of the Conference of the Parties through decision BC-10/2. It is intended to evaluate the implementation of the Convention, rather than the Convention itself. The strategic framework includes goals, objectives and indicators, such as the number of Parties with national strategies or plans in place to reduce the generation and ensure the environmentally sound management of hazardous and other wastes. In decision BC-15/3, the Conference of the Parties welcomed the report on the final evaluation of the strategic framework for the implementation of the Basel Convention (UNEP/CHW.15/INF/5), and decided, among others, to improve, as appropriate, the strategic framework for 2012–2021, taking into account the main findings, conclusions and recommendations of the report on the final evaluation of the strategic framework.

As the new global treaty is to periodically assess the progress of implementation of the instrument²⁰ and to periodically assess the effectiveness of the instrument in achieving its objectives,²¹ the experience of the Basel Convention may be of relevance to the committee.

- (k) **Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System:** In response to decision BC-14/13, the Secretariat is cooperating with the World Customs Organization on amendments to the Harmonized System with respect to plastic waste, taking into consideration the amendments to annexes to the Basel Convention adopted by decision BC-14/12.

As the global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution,²² the cooperation with WCO and HS codes relating to plastic waste may be of relevance to the committee.

- (l) **Other framework, guidance and tools available under the Basel Convention:**²³
- a. Framework for the ESM of hazardous wastes and other wastes (decision BC-11/1, UNEP/CHW.11/3/Add.1/Rev.1);
 - b. Set of practical manuals for the promotion of the environmentally sound management of wastes (UNEP/CHW.13/4/Add.1/Rev.1);
 - c. Guidance to assist Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal (UNEP/CHW.13/INF/11/Rev.1);
 - d. Guidance manual on how to improve the sea-land interface (UNEP/CHW.13/INF/37/Rev.1);

¹⁹ Paragraph 3 (k) of UNEA resolution 5/14.

²⁰ Paragraph 3 (g) of UNEA resolution 5/14.

²¹ Paragraph 3 (h) of UNEA resolution 5/14.

²² Paragraph 3 (c) of UNEA resolution 5/14.

²³ <http://www.basel.int/tabid/8810>.

- e. Practical manuals on extended producer responsibility and financing systems for environmentally sound management (UNEP/CHW.14/5/Add.1);
- f. Practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.14/INF/6);
- g. Guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of hazardous and other wastes (UNEP/CHW.14/INF/7);
- h. Guidance on how to address the environmentally sound management of wastes in the informal sector (UNEP/CHW.14/INF/8);
- i. Overall guidance document on the environmentally sound management of household waste (UNEP/CHW.14/INF/32);
- j. Environmentally sound management (ESM) toolkit.²⁴

Rotterdam Convention:

- (a) **Compliance:** In 2019, more than 20 years after the adoption of the Rotterdam Convention, the ninth meeting of the Conference of the Parties gave effect to the legal basis set out in Article 17 for it to develop and approve, as soon as practicable, procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance. The Committee has the mandate to review both specific submissions regarding individual Parties' implementation and compliance, and systemic issues of implementation and compliance under the Convention. At its tenth meeting, the Conference of the Parties adopted the work programme for 2022-2023 of the Committee (decision RC-10/11). The Committee will convene its first meeting in 2022. As the global treaty is to include provisions to address compliance,²⁵ the experience under the Rotterdam Convention may be of relevance to the committee.
- (b) **Chemicals listed under the Rotterdam Convention that are plastic additives:** At its tenth meeting, the Conference of the Parties listed decabromodiphenyl ether and perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds in Annex III to the Convention. Of the 54 chemicals listed in Annex III to the Convention, 16 chemicals are plastic additives and are subject to prior informed consent procedure. As the new global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution,²⁶ the plastic additives subject to prior informed consent procedure under the Rotterdam Convention may be of relevance to the committee.

Stockholm Convention:

- (a) **Chemicals listed under the Stockholm Convention that are plastic additives:** At its tenth meeting, the Conference of the Parties listed perfluorohexane sulfonic acid (PFHxS), its salts and PFHxS-related compounds in Annex A to the Convention. Of the 31 POPs listed under the Stockholm Convention, 16 are either plastic additives or by-products, such as brominated flame retardants. Furthermore, of the 6 chemicals proposed for listing, 4 are plastic additives. The POPs Review Committee is a subsidiary body established to review new chemicals proposed for listing under the Stockholm Convention. As the new global treaty is to promote, among others, sustainable production and consumption of plastics²⁷ and to provide scientific and socio-economic assessments related to plastic pollution,²⁸ and to consider the possibility of a mechanism to provide policy relevant scientific and socio-economic information and assessment related to plastic pollution,²⁹ the experience and the ongoing consideration under the POPs Review Committee may be of relevance to the committee. The Basel Convention also has expert groups considering such aspects.

²⁴ <http://www.basel.int/tabid/5839>.

²⁵ Paragraph 3 (p) of UNEA resolution 5/14.

²⁶ Paragraph 3 (c) of UNEA resolution 5/14.

²⁷ Paragraph 3 (c) of UNEA resolution 5/14.

²⁸ Paragraph 3 (i) of UNEA resolution 5/14.

²⁹ Paragraph 4 (f) of UNEA resolution 5/14

- (b) **Document on long-range environmental transport:** The POPs Review Committee, a subsidiary body to the Stockholm Convention, is currently developing a document on long-range environment transport, including consideration on chemicals transported via plastics in the environment and biota (UNEP/POPS/POPRC.17/INF/15). As the global treaty is to provide scientific and socio-economic assessments related to plastic pollution,³⁰ the consideration under the POPs Review Committee may be of relevance to the committee.
- (c) **National implementation plans:** Article 7 of the Stockholm Convention requires each Party to transmit national implementation plans (NIPs) within 2 years from the date of entry into force and to review and update the plans. As the new global treaty is to include the development, implementation and updating of national action plans³¹ and promotion thereof,³² the experience of the Stockholm Convention in relation to its NIPs may be of relevance to the committee.
- (d) **National reporting:** Article 15 of the Stockholm Convention provides each Party to report on the implementation of the Convention every four years.³³ As the new global treaty is to specify national reporting,³⁴ the experience of the Stockholm Convention may be of relevance to the committee.
- (e) **Compliance:** At its next meeting in 2023, the Conference of the Parties will continue to consider giving effect to the legal basis set out in Article 17 for it to develop and approve, as soon as practicable, procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for treatment of Parties found to be in non-compliance. As the global treaty is to include provisions to address compliance,³⁵ the experience under the Stockholm Convention may be of relevance to the committee.
- (f) **Effectiveness evaluation:** Article 16 of the Stockholm Convention provides that commencing four years after the date of entry into force of the Convention, and periodically thereafter at intervals decided by the Conference of the Parties, the Conference shall evaluate the effectiveness of the Convention.³⁶ The next effectiveness evaluation will take place at the eleventh meeting of the Conference of the Parties in 2023. The effectiveness evaluation committee established under the Convention is currently preparing the report. In order to facilitate such evaluation, the Conference of the Parties established arrangements to provide itself with comparable monitoring data on the presence of the chemicals listed in Annexes A, B and C as well as their regional and global environmental transport (Global Monitoring Plan (GMP)).³⁷ As the new global treaty is to periodically assess the progress of implementation of the instrument;³⁸ to periodically assess the effectiveness of the instrument in achieving its objectives,³⁹ and to provide scientific and socio-economic assessments related to plastic pollution;⁴⁰ the experience of the Stockholm Convention may be of relevance to the committee.
- (g) **Research, development and monitoring:** Article 11 of the Stockholm Convention provides requirements related to research, development and monitoring. As the new global treaty is to promote research and development of sustainable, affordable, innovative and cost-efficient approaches, the experience of the Stockholm Convention may be of relevance to the committee.

Cross-cutting:

- (a) **Technical assistance and financial mechanism:** Article 10 of the Basel Convention provides for Parties to cooperate with one another to improve and achieve environmentally sound management of hazardous wastes and other wastes. Article 16 of the Rotterdam Convention and Article 12 of the Stockholm Convention provides obligations related to technical assistance. On plastics, more than 50

³⁰ Paragraph 3 (i) of UNEA resolution 5/14.

³¹ Paragraph 3 (d) of UNEA resolution 5/14.

³² Paragraph 3 (e) of UNEA resolution 5/14.

³³ <http://chm.pops.int/tabid/3668>.

³⁴ Paragraph 3 (f) of UNEA resolution 5/14.

³⁵ Paragraph 3 (p) of UNEA resolution 5/14.

³⁶ <http://chm.pops.int//tabid/369>.

³⁷ <http://chm.pops.int/tabid/83>.

³⁸ Paragraph 3 (g) of UNEA resolution 5/14

³⁹ Paragraph 3 (h) of UNEA resolution 5/14.

⁴⁰ Paragraph 3 (i) of UNEA resolution 5/14.

countries are currently receiving technical assistance to strengthen the country's capacity for addressing plastic pollution.⁴¹

Article 13 of the Stockholm Convention states that each Party undertakes to provide, within its capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objective of this Convention in accordance with its national plans, priorities and programmes.⁴² Article 14 of the Stockholm Convention establishes the interim financial arrangements.⁴³ The institutional structure of the Global Environment Facility (GEF)⁴⁴ is entrusted with the operations of the financial mechanism referred to in Article 13.

The Basel and Stockholm Conventions have established a number of regional and subregional centres under both conventions to provide technical assistance, capacity building and to promote the transfer of technology to Parties that are developing countries or countries with economies in transition in order to enable them to implement their obligations under these conventions. There are a total of 23 regional centres.⁴⁵

As the new global treaty is to specify arrangements for capacity-building and technical assistance, technology transfer on mutually agreed terms, and financial assistance, recognizing that the effective implementation of some legal obligations under the instrument is dependent on the availability of capacity building and technical and adequate financial assistance;⁴⁶ and to consider the need for a financial mechanism to support the implementation of the instrument, including the option of a dedicated multilateral fund,⁴⁷ the experience of technical assistance, financial mechanism under the BRS conventions may be of relevance to the committee.

- (b) **International cooperation:** The Rotterdam Convention and the Stockholm Convention provide an express legal basis for their Conference of the Parties to cooperate with international organizations and intergovernmental and non-governmental bodies.⁴⁸ Under the Basel Convention, international cooperation falls under the scope of the general functions of the Conference of the Parties.⁴⁹ Each convention also provides for the Secretariat to cooperate with international bodies.⁵⁰ At each meeting, the conferences of the Parties adopt substantively similar decisions guiding the various international cooperative activities to be undertaken by the Secretariat with a range of other organizations and stakeholders with a view to enhance consistency and coherence between the requirements and processes of the conventions and those of others, and promote their mutual supportiveness; share experiences, approaches and policies with respect to the implementation of the conventions; and increase efficiency, resources and expertise for the implementation of the mandates and programmes of work of the conventions. Document UNEP/CHW.15/INF/41-UNEP/FAO/RC/COP.10/INF/24-UNEP/POPS/COP.10/INF/45 provides an overview of the broad scope of international cooperative activities undertaken by the Secretariat.

In addition, the bodies of the three conventions work closely together on areas of common interest through enhanced coordination and cooperation.

As the new global treaty is to promote national and international cooperative measures to reduce plastic pollution in the marine environment, including existing plastic pollution;⁵¹ to promote cooperation and coordination with relevant regional and international conventions, instruments and organizations, while recognizing their respective mandates, avoiding duplication, and promoting

⁴¹ <http://www.basel.int/tabid/8772>.

⁴² <http://chm.pops.int/tabid/677>.

⁴³ <http://chm.pops.int/tabid/681>.

⁴⁴ <https://www.thegef.org/>.

⁴⁵ <http://www.brsmeas.org/tabid/2636>.

⁴⁶ Paragraph 3 (n) of UNEA resolution 5/14.

⁴⁷ Paragraph 4 (b) of UNEA resolution 5/14

⁴⁸ Rotterdam Convention, Article 18.5 (b); Stockholm Convention, Article 19.5 (b).

⁴⁹ Basel Convention, Article 15.5 (c).

⁵⁰ Basel Convention, Article 16.1 (d); Rotterdam Convention, Article 19.2 (c); and Stockholm Convention, Article 20.2 (c).

⁵¹ Paragraph 3 (c) of UNEA resolution 5/14.

complementarity of action⁵², the experience on cooperation and coordination under the BRS conventions may be of relevance to the committee.

- (c) **Information exchange and clearing-house mechanism:** Article 9 of the Stockholm Convention and Article 14 of the Rotterdam Convention provide requirements relating to information exchange. The joint clearing-house mechanism under the Basel, Rotterdam and Stockholm conventions is a multi-stakeholder global system that facilitate the exchange of information and expertise relevant for the conventions.⁵³ As the global treaty is to increase knowledge through awareness-raising, education and information exchange,⁵⁴ the experience of the Basel, Rotterdam and Stockholm conventions may be of relevance to the committee.
- (d) **From Science to Action:** The Basel, Rotterdam and Stockholm conventions are science-based, legally binding global treaties aimed at the protection of human health and the environment from hazardous chemicals and wastes. Policy decisions taken by their governing bodies, the Conferences of the Parties, are underpinned by various scientific assessments. Since 2015, the conventions have a Programme of Work to enhance science-based decision making through enhanced science-policy interactions.⁵⁵ As the new global treaty is to provide scientific and socio-economic assessments related to plastic pollution;⁵⁶ and to promote research and development of sustainable, affordable, innovative and cost-efficient approaches and to provide scientific and socio-economic assessments related to plastic pollution,⁵⁷ the experience of the Basel, Rotterdam and Stockholm conventions may be of relevance to the committee.

⁵² Paragraph 3 (k) of UNEA resolution 5/14.

⁵³ <http://www.brsmeas.org/tabid/5382>.

⁵⁴ Paragraph 3 (j) of UNEA resolution 5/14.

⁵⁵ <http://www.brsmeas.org/tabid/4749>.

⁵⁶ Paragraph 3 (i) of UNEA resolution 5/14.

⁵⁷ Paragraph 3 (o) of UNEA resolution 5/14.

The table below summarizes documents, reports, guidance and decisions of the Basel, Rotterdam and Stockholm conventions with brief information on the content and relevance to paragraphs 3 and 4 of UNEA resolution 5/14.

Table. List of documents, reports, guidance and decisions with indication of relevance to paragraphs 3 and 4 of UNEA resolution 5/14

Document name	Release date	Link to document	Summary of content	Relevance to para 3&4 of resolution 5/14
Text of the Basel Convention	2 March 1989	http://www.basel.int/tabid/1275	Article 1 and 4 of the Convention provides scope and general obligations of the Convention, respectively. Article 10 provide international cooperation. Article 11 addresses consideration of bilateral, multilateral and regional agreements. Article 13 provides transmission of information including national reporting. Article 14 provides financial aspects. Articles 15 and 16 are on the Conference of the Parties and the Secretariat, respectively.	3 (a), (b), (c), (f), (g), (h), (i), (j), (k), (l), (m), (n), (o), (p) 4 (a), (b), (c), (d), (e), (f), (g)
Text of the Rotterdam Convention	10 Sep 1998	http://www.pic.int/tabid/1048	Article 1 of the Convention provides objective of the Convention. Annex III to the Convention lists chemicals subject to the prior informed consent procedure, including those plastic additives and by-products. Article 14 provides information exchange. Article 16 provides technical assistance. Article 17 is on compliance. Articles 18 and 19 are on the Conference of the Parties and the Secretariat, respectively.	3 (a), (c), (d), (e), (j), (k), (n), (p) 4 (a), (g)
Text of the Stockholm Convention	22 May 2001	http://chm.pops.int/tabid/2232	Article 1 of the Convention provides objective of the Convention. Annex A, B and C to the Convention lists POPs including plastic additives and by-products. Article 3 of the Convention provides measures to reduce or eliminate releases from intentional production and use of POPs and Article 4 provides specific exemptions. Other exemptions are also available in relevant parts of Annexes A and B. Article 6 of the Convention provides measures to reduce or	3 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k), (l), (m), (n), (o), (p) 4 (a), (b), (c), (d), (e), (f), (g)

Document name	Release date	Link to document	Summary of content	Relevance to para 3&4 of resolution 5/14
			<p>eliminate releases from stockpiles and wastes. Article 7 of the Convention requires Parties to develop and implement a plan for the implementation of the Convention (national implementation plans). Article 8 provides a process for listing new chemicals in Annexes A, B and C to the Convention. Article 9 provides information exchange. Article 10 provides public information, awareness and education. Article 11 provides research, development and monitoring. Article 12 provides technical assistance. Articles 13 and 14 are provisions relating to financial resources. Article 15 provides national reporting. Article 16 provides effectiveness evaluation. Article 17 is on compliance. Articles 19 and 20 are on the Conference of the Parties and the Secretariat, respectively.</p>	
Basel Convention				
Decision BC-14/12:	2019	http://www.basel.int/tabid/8426	<p>The Conference of the Parties adopted amendments to Annexes II, VIII and IX to the Convention with the objectives of enhancing the control of the transboundary movements of plastic waste and clarifying the scope of the Convention as it applies to such waste.</p> <p>The amendment to Annex VIII, with the insertion of a new entry A3210, clarifies the scope of plastic wastes presumed to be hazardous and therefore subject to the PIC procedure.</p> <p>The amendment to Annex IX, with a new entry B3011 replacing existing entry B3010, clarifies the types of plastic wastes that are presumed to not be hazardous and, as such, not subject to the PIC procedure. The wastes listed in entry B3011 include: a group of cured resins, non-halogenated and fluorinated polymers, provided the waste is destined</p>	

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			<p>for recycling in an environmentally sound manner and almost free from contamination and other types of wastes; mixtures of plastic wastes consisting of polyethylene (PE), polypropylene (PP) or polyethylene terephthalate (PET) provided they are destined for separate recycling of each material and in an environmentally sound manner, and almost free from contamination and other types of wastes.</p> <p>The third amendment is the insertion of a new entry Y48 in Annex II which covers plastic waste, including mixtures of such wastes unless these are hazardous (as they would fall under A3210) or presumed to not be hazardous (as they would fall under B3011).</p> <p>The new entries became effective as of 1 January 2021.</p>	
Decision BC-15/18: Amendments to Annexes II, VIII and IX to the Basel Convention	2022	http://www.basel.int/tabid/8392	<p>The Conference of the Parties adopted amendments to the entries in Annexes II, VIII and IX to the Basel Convention, making all e-waste subject to the PIC procedure. E-waste is the fastest growing waste and plastics constitute 20% of e-waste.</p> <p>The amendments will become effective on 1 January 2025.</p>	
Decision BC-15/10: Technical guidelines on the environmentally sound management of plastic wastes Draft updated technical guidelines on the identification and environmentally sound management of plastic wastes and for their disposal (UNEP/CHW.15/6/Add.7)	2021/2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/7992	<p>The technical guidelines provide guidance on the environmentally sound management of plastic wastes. Plastic wastes, in the context of the guidelines, covers plastic wastes classified by entries Y48 in Annex II, A3210 in Annex VIII and B3011 in Annex IX to the Basel Convention. Furthermore, the guidelines cover plastic wastes extracted and/or separated from other waste streams that have plastic components or consist partially or fully of plastic (e.g., waste electrical and electronic equipment (WEEE), waste vehicles, waste cables, waste lead-acid batteries and waste textiles</p>	3 (b)

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			<p>for which there are separate related entries in Annexes VIII and IX).</p> <p>In decision BC-15/10, the Conference of the Parties requested the Secretariat to transmit the decision, and to report on the progress regarding the draft updated technical guidelines on the environmentally sound management of plastic wastes, to the Executive Director of the UNEP and to the intergovernmental negotiating committee established pursuant to UNEA resolution 5/14.</p>	
<p>Decision BC-15/5: Developing guidelines for environmentally sound management</p> <p>Practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.15/5/Add.1/Rev.1)</p>	2021/2022	<p>http://www.basel.int/tabid/8392</p> <p>http://www.basel.int/tabid/3615</p>	<p>In accordance with the Basel Convention, a Prior Informed Consent procedure must be followed for transboundary movements (TBM) of hazardous wastes and other wastes. This means that planned TBMs must be notified in advance by the exporter to all competent authorities of the States involved and can only be undertaken if all competent authorities have given their consent to the movement. In addition, it must be ensured that the wastes will be managed in an environmentally sound manner. This practical manual serves as a reference for decision-making related to the consent of a TBM of hazardous wastes and other wastes. The manual identifies elements of information useful in determining whether the wastes subject to a TBM will be managed in an environmentally sound manner.</p>	3 (b)
<p>Decision BC-15/22: Basel Convention Partnership Programme</p> <p>Basel Convention Partnership Programme (UNEP/CHW.15/18/Rev.1)</p>	2022	<p>http://www.basel.int/tabid/8392</p> <p>http://www.basel.int/tabid/8096</p>	<p>The working group agreed to establish four project groups, on prevention and minimization; plastic waste collection, recycling and other recovery, including financing and related markets; transboundary movements of plastic waste; and outreach, education and awareness-raising. Following the meeting, each project group worked to develop its respective workplan. The report</p>	3 (b), (l), (m), (o)

Document name	Release date	Link to document	Summary of content	Relevance to para 3&4 of resolution 5/14
Report on the activities of the Plastic Waste Partnership working group, which includes progress made by the respective project groups (UNEP/COP.15/INF/36)			contains information on activities of the project groups. The third meeting of the working group of the Plastic Waste Partnership is scheduled to take place from 23 to 25 November 2022 in Uruguay, back-to-back with INC-1.	
Decision BC-15/13: National reporting National reporting (UNEP/CHW.15/8) Practical guidance on the development of inventories of plastic waste (UNEP/CHW.15/INF/19/Rev.1)	2021/2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/2314	The main objective of developing a plastic waste inventory is to obtain information on the amount of plastic waste generated at a country level, as well as its disposal and transboundary movement. This guidance aims to provide practical instructions to assist Parties and others in developing inventories of plastic waste.	3 (f)
Decision BC-15/17: Committee Administering the Mechanism for Promoting Implementation and Compliance Committee Administering the Mechanism for Promoting Implementation and Compliance (UNEP/CHW.15/12/Rev.2; UNEP/CHW.15/12/Add.1/Rev.1; UNEP/CHW.15/12/Add.2/Rev.1; INF/14, INF/15, INF/16, INF/17)	2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/2308	The document provides information on the Committee Administering the Mechanism for Promoting Implementation and Compliance under the Basel Convention.	3 (g), (p)
Decision BC-15/19: Providing further legal clarity Providing further legal clarity (UNEP/CHW.15/13; UNEP/CHW.15/INF/21)	2021	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/3261	The document provides information on the work under the Basel Convention to provide further legal clarity. INF/21 sets out information on the work of the expert working group in relation to the review of	3 (b)

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			Annexes I and III, including with respect to constituents and characteristics of plastic wastes.	
BC-15/15: Further consideration of plastic waste Further consideration of plastic waste (UNEP/CHW.15/10; INF/10; INF/11)	2021/2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/8575	The Basel Convention Open-ended Working Group was tasked to consider whether, how and when the Conference of the Parties should assess the effectiveness of the measures taken under the Convention to address the plastic waste contributing to marine plastic litter and microplastics; and which further activities could possibly be conducted under the Convention. INF/10 contains recommendations for consideration by the Conference of the Parties. INF/11 is the report by UNEP on implementation of UNEA resolutions on marine litter and microplastics.	3 (g), (h), (k)
Decision BC-15/31: Strategic framework Report on the final evaluation of the strategic framework for the implementation of the Basel Convention for 2012–2021 (UNEP/CHW.15/3; UNEP/CHW.15/3/Add.1; INF/5)	2021/2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/3807	The documents contain the report on the final evaluation of the strategic framework for the implementation of the Basel Convention for 2012–2021 adopted in decision BC-10/2.	3 (g), (h)
Decision BC-15/12: Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System Cooperation with the World Customs Organization on the Harmonized Commodity Description and Coding System (UNEP/CHW.15/7; INF/8)	2021/2022	http://www.basel.int/tabid/8392 http://www.basel.int/tabid/4325	Information on the cooperation with the World Customs Organization can be found in document UNEP/CHW.15/7. Annex II to document UNEP/CHW.15/INF/8 contains draft proposal on amendments to the Harmonized Commodity Description and Coding System with respect to plastic waste.	3 (c)

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Framework for the environmentally sound management of hazardous wastes and other wastes (UNEP/CHW.11/3/Add.1/Rev.1)	2013	http://www.basel.int/tabid/8333	The framework for the environmentally sound management of hazardous wastes and other wastes was developed to identify what countries should do at the national level and collectively as parties to the Convention to address the challenges of implementing the environmentally sound management of wastes in a systematic and comprehensive manner.	3 (b)
Glossary of terms (UNEP/CHW.13/4/Add.2)	2013	http://www.basel.int/tabid/3622	The general purpose of the glossary of terms is the clarification of certain terms in order to improve the implementation of the Convention and the application of technical guidelines and guidance documents developed under the Convention. It provides definitions of terms such as wastes, non-wastes, hazardous wastes, hazardous characteristics, disposal, final disposal, recovery, recycling, repair, refurbishment, reuse and direct reuse.	3 (b)
Set of practical manuals for the promotion of the environmentally sound management of wastes (UNEP/CHW.13/4/Add.1/Rev.1)	2013	http://www.basel.int/tabid/8333	The document provides practical manuals for the promotion of the environmentally sound management of wastes.	3 (b)
Guidance to assist Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal (UNEP/CHW.13/INF/11/Rev.1)	2017	http://www.basel.int/tabid/8333	The guidance assists Parties in developing efficient strategies for achieving the prevention and minimization of the generation of hazardous and other wastes and their disposal.	3 (b)
Guidance manual on how to improve the sea-land interface (UNEP/CHW.13/INF/37/Rev.1)	2017	http://www.basel.int/tabid/8333	The objective of the manual is to provide guidance through an overview of tools, practices, procedures and measures in order to ensure that wastes and residues falling within the scope of the MARPOL	3 (b), (c), (k)

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			Convention, once offloaded from a ship, are managed in an environmentally sound manner.	
Revised draft practical manuals on extended producer responsibility and financing systems for environmentally sound management (UNEP/CHW.14/5/Add.1)	2019	http://www.basel.int/tabid/8333	The manual provides stakeholders with general guidance on extended producer responsibility and financing systems for environmentally sound management.	3 (b)
Revised draft practical manual for stakeholders to ensure that notifications of transboundary movements meet environmentally sound management requirements (UNEP/CHW.14/INF/6)	2019	http://www.basel.int/tabid/8333	The manual serves as a reference for decision-making related to the consent of a transboundary movements of hazardous wastes and other wastes. The manual identifies elements of information useful in determining whether the wastes subject to a transboundary movements will be managed in an environmentally sound manner.	3 (b)
Revised draft guidance to assist Parties in developing efficient strategies for achieving recycling and recovery of hazardous and other wastes (UNEP/CHW.14/INF/7)	2019	http://www.basel.int/tabid/8333	The guidance is to assist Parties in developing strategies and instruments, both mandatory and voluntary, to promote the recycling and other recovery of hazardous wastes and other wastes where it has not been possible to prevent their generation.	3 (b)
Revised draft guidance on how to address the environmentally sound management of wastes in the informal sector (UNEP/CHW.14/INF/8)	2019	http://www.basel.int/tabid/8333	The guidance provides information on how to address the environmentally sound management of wastes in the informal sector.	3 (b) 4 (e)
Revised draft overall guidance document on the environmentally sound management of household waste (UNEP/CHW.14/INF/32)	2019	http://www.basel.int/tabid/8333	The objective of the guidance is to promote and share existing practical and concrete solutions in order to assist stakeholders on the environmentally sound management of household waste.	3 (b)
Environmentally sound management (ESM) toolkit	2019	http://www.basel.int/tabid/5839	The ESM toolkit is a collection of practical tools to assist Parties and other stakeholders in ensuring	3 (b)

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			environmentally sound management of hazardous and other wastes.	4 (e)
Rotterdam Convention				
Decision RC-10/11: Programme of work for the Rotterdam Convention Compliance Committee for the biennium 2022-2023	2022	http://www.pic.int/tabid/8398 http://www.pic.int/tabid/8446	<p>The Compliance Committee is a subsidiary body of the Conference of the Parties to the Rotterdam Convention that was established in 2019 under Article 17 of the Convention. The Committee's mandates are:</p> <p>To deal with submissions relating to the compliance of an individual Party: The Committee may assist individual Parties in resolving compliance difficulties on receipt of a valid submission;</p> <p>To review systemic issues of general compliance: The Committee's work can be initiated on request from the Conference of the Parties, or if the Committee decides based on information from Parties obtained by the Secretariat in carrying out its functions and submitted to the Committee that there is a need to examine the issue and report on it to the Conference of the Parties.</p>	3 (g), (p)
Stockholm Convention				
Handbook for effective participation in the work of the POPs Review Committee	2009	http://chm.pops.int/tabid/345	The POPs Review Committee is a subsidiary body established to review new chemicals proposed for listing under the Stockholm Convention. The document explains how the process works.	3 (i) 4 (f)
Draft guidance on long-range environmental transport (UNEP/POPS/PORK/INF/15)	2022	http://chm.pops.int/tabid/8900	The guidance is to aid the POPs Review Committee in their future evaluations in relation to long-range environmental transport in the context of Annexes D and E to the Stockholm Convention.	3 (i)
Decision SC-10/11: Implementation plans	2021/2022	http://chm.pops.int/tabid/8397	The documents provide, among others, information on the status of the transmission of implementation	3 (d), (e)

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Implementation plans (UNEP/POPS/COP.10/10; UNEP/POPS/COP.10/INF/21)			plans, including revised and updated plans pursuant to Article 7 of the Stockholm Convention.	
SC-10/17: Reporting pursuant to Article 15 of the Stockholm Convention Reporting pursuant to Article 15 of the Stockholm Convention (UNEP/POPS/COP.10/16)	2021/2022	http://chm.pops.int/tabid/8397 http://chm.pops.int/tabid/3668	The document provides information on reporting pursuant to Article 15 of the Stockholm Convention. The deadline for the fifth national reporting is 31 August 2022.	3 (f)
Decision SC-10/18: Effectiveness evaluation of the Stockholm Convention Effectiveness evaluation (UNEP/POPS/COP.10/17)	2021/2022	http://chm.pops.int/tabid/8397 http://chm.pops.int/tabid/369	The document provides information on the effectiveness evaluation pursuant to Article 16 of the Stockholm Convention. The next evaluation will take place at the COP-11 in 2023.	3 (g), (h)
Decision SC-10/19: Global monitoring plan for effectiveness evaluation Global monitoring plan for effectiveness evaluation (UNEP/POPS/COP.10/18; UNEP/POPS/COP.10/INF/41)	2021/2022	http://chm.pops.int/tabid/8397 http://chm.pops.int/tabid/83	The document provides information on the Global Monitoring Plan that supports the effectiveness evaluation of the Stockholm Convention and the third regional reports of the POPs monitoring.	3 (i)
BRS cross cutting				
Decisions BC-15/21, RC-10/12, SC-10/ 15: Technical assistance Technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions (UNEP/CHW.15/16– UNEP/FAO/RC/COP.10/15– UNEP/POPS/COP.10/13)	2021	http://www.brsmeas.org/tabid/8810	The document provides information on technical assistance and capacity-building for the implementation of the Basel, Rotterdam and Stockholm conventions.	3 (c), (n)

Document name	Release date	Link to document	Summary of content	Relevance to para 3&4 of resolution 5/14
Decision SC-10/15: Technical assistance Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology (UNEP/POPS/COP.10/14)	2021	http://chm.pops.int/tabid/8397	The documents provide information on regional centres under the Stockholm Convention.	3 (c), (n)
Decision BC-15/21: Technical assistance Basel Convention regional and coordinating centres (UNEP/CHW.15/17; UNEP/CHW.15/INF/32)	2021	http://www.basel.int/tabid/8392	The documents provide information on regional centres under the Basel Convention.	3 (c), (n)
Decision SC-10/16: Financial mechanism Financial mechanism (UNEP/POPS/COP.10/15/Rev.1)	2022	http://chm.pops.int/tabid/8397	The document provides information on financial mechanism under the Stockholm Convention.	3 (c), (n) 4 (b)
Decisions BC-15/25, RC-10/14, SC-10/21: International cooperation and coordination with other organizations International cooperation and coordination with other organizations (UNEP/CHW.15/21/Rev.1– UNEP/FAO/RC/COP.10/17/Rev.1 –UNEP/POPS/COP.10/21/Rev.1)	2022	http://www.brsmeas.org/tabid/8810	The document provides information on international cooperation and coordination with other organizations.	3 (c), (k)
Decisions BC-15/26, RC-10/15, SC-10/22: Clearing-house mechanism for information exchange	2021	http://www.brsmeas.org/tabid/8810	The document provides information on clearing-house mechanism for information exchange under the Basel, Rotterdam and Stockholm conventions.	3 (j) 4 (d)

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Clearing-house mechanism for information exchange (UNEP/CHW.15/22– UNEP/FAO/RC/COP.10/18– UNEP/POPS/COP.10/22)				
Decisions BC-15/28, RC/10-17, SC-10/24: From science to action From science to action (UNEP/CHW.15/25– UNEP/FAO/RC/COP.10/21– UNEP/POPS/COP.10/25; UNEP/CHW.15/INF/49/Rev.1– UNEP/FAO/RC/COP.10/INF/36/R ev.1– UNEP/POPS/COP.10/INF/54/Rev .1)	2021/2022	http://www.brsmeas.org/tabid/8810 http://www.brsmeas.org/tabid/4749	The documents provide information on activities related to enhancing science-policy interaction and strengthening science-based decision making.	3 (i), (o) 4 (d)

3. Content and considerations for the preparation of the forum

The BRS Secretariat is preparing to hold the third meeting of the Plastic Waste Partnership under the Basel Convention from 23 to 25 November 2022 in Uruguay, back-to-back with INC-1. The participants of the PWP-3 meeting include Parties and observers to the Basel Convention including non-Party states, IGOs, NGOs, industry and academia. The back-to-back organization would be beneficial for the participants of the two meetings both substantially and logistically. We would like to particularly thank the INC secretariat for the cooperation in this regard.
