Annex

Draft Report

Independent Evaluation of the Strategic Approach from 2006 - 2015

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Strategic Approach stakeholders are invited to please send comments and feedback on this draft report by 16 April 2018 to: saicmevaluation@gmail.com .

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ACRONYMS

AFR	Africa
AP	Asia Pacific
BASF	Baden Aniline and Soda Factory
BRS Secretariat	Basel, Rotterdam and Stockholm (BRS) Secretariat
CBI	confidential business information
CEE	Central & Eastern Europe
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CiP	Chemicals in Products
COP	Conference of the Parties
DAC	Development Assistance Committee
DDT	Dichlorodiphenyltrichloroethane
DTIE	Division of Technology, Industry and Economics
EB	Quick Start Program Executive Board
EDC	Endocrine Disrupting Chemicals
EF	Environment Fund
e-learning	Electronic learning
EPI	Emerging Policy Issues
EU	European Union
EU/JUSSCANNZ	European Union/Japan, the USA, Switzerland, Canada, Australia, Norway and New Zealand
e-waste	Electronic waste
FAO	Food and Agriculture Organization
FDI	Foreign Direct Investment
FTE	Full-time equivalent
GEF	Global Environment Facility
GHS	Globally Harmonized System of Classification and Labelling of Chemicals
GPAs	Global Plan of Action
HPP	Highly Hazardous Pesticides
HSLEEP	Hazardous Substances within the Life Cycle of Electrical and Electronic Products
IC	Quick Start Program Implementation Committee
ICCA	International Council of Chemical Associations

ICCM	International Conference on Chemicals Management
IFCS	The Intergovernmental Forum on Chemical Safety
IGO	Inter-Governmental Organisations
ILO	International Labour Organization
IOMC	The Inter-Organization Programme for the Sound Management of Chemicals
IPCS	International Programme for Chemical Safety
IPEN	International POPs Elimination Network
ISDE	International Society of Doctors for the Environment
LAC	Latin America and the Caribbean
MDG	Millennium Development Goal
NFP	National Focal Point
NGO	Non-Governmental Organization
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
OEWG	Open-ended Working Group
OOG	Overall Orientation and Guidance
OPS	Overarching Policy Strategy
OSCE	Organisation for Security Cooperation in Europe
PFC	Perfluorinated chemicals
POPS	Persistent Organic Pollutants
PRTRs	Pollutant Release and Transfer Register
QSP	Quick Start Programme
REACH	Registration, Evaluation, Authorisation and Restriction of Chemical Substances European Union
SAICM	The Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goal
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
WHO	World Health Organization
XBF	Extra-budgetary funds

II. INTRODUCTION[1]

1. The Strategic Approach to International Chemicals Management (SAICM) is a voluntary policy framework to foster the sound management of chemicals throughout their lifecycle, and particularly to achieve the 2002 Johannesburg goal that "by 2020, chemicals are produced and used in ways that minimize significant adverse impacts on human health and the environment". This voluntary process for international cooperation bridges international and national policy, as chemicals have significant local impacts. It also bridges the responsibilities and opportunities of all relevant stakeholders, including governments, industry and civil society.

2. SAICM seeks to be broad in its remit and approach through its focus on the entire scope of chemicals management. That is, it addresses the majority of chemicals (as opposed to the focused lists of chemicals from, for example, the Stockholm and Rotterdam Conventions) including all agricultural and industrial chemicals; and all aspects of the chemical lifecycle, from generation to use and disposal. The involvement of many sectors and stakeholders are interconnected in SAICM.

3. SAICM aims to coordinate, catalyse and facilitate action to improve management of chemicals at all levels. It is a multi-stakeholder and multi-sectoral forum that is governed by a series of 'SAICM Documents' composed of:

- Dubai Declaration;
- Overarching Policy Strategy; and
- Resolutions adopted by the ICCM, including the ICCM4 resolution welcoming the Overall Orientation and Guidance for achieving the 2020 goal of sound management of chemicals.

4. In addition, the Global Plan of Action, while not a consensus document helps inform the activities of SAICM stakeholders.

5. These "documents" all relate to the target date of 2020 as provided for by the Johannesburg World Summit on Sustainable Development. It is evident that, in the face of rapidly growing and expanding production and use of chemicals, including the anticipated transfer of significant chemical production to developing countries over the coming decades, the challenges of sound chemicals management are constantly evolving and remain a priority for action in getting to and beyond 2020.

III. OBJECTIVE

6. The objective of the evaluation is to provide an analysis to support the intersessional process of the ICCM to develop recommendations and to enable ICCM5 to take an informed decision on future arrangements for the Strategic Approach and the sound management of chemicals and waste beyond 2020.

[1] See SAICM overview. Accessed at: http://saicm.org/About/SAICMOverview/tabid/5522/language/en-US/Default.aspx

7. The evaluation, where appropriate, will draw out lessons learned with respect to the implementation of the Strategic Approach, including:

- Impact of the Strategic Approach;
- Strengths, weaknesses and gaps in implementing the Strategic Approach, taking into account the eleven basic elements identified in the Overall Orientation and Guidance;
- Institutional arrangements within the voluntary multi-sectoral and multi-stakeholder approach of the Strategic Approach.

IV. BRIEF HISTORY

8. The emergence of the sound management of chemicals on the international agenda can be traced back to the publication, in 1962, of Rachel Carson's groundbreaking book – Silent Spring. In her book Carson highlighted the significant detrimental impact that the indiscriminate spraying of DDT was having on the environment. She also highlighted the disinformation on pesticides safety circulated by the pesticide-producing industry as well as the uncritical acceptance of industry's claims by public officials.[2] Carson's book is widely attributed to the birth of the modern environmental movement and the subsequent banning of the use of DDT in the USA in 1972.[3] Carson's work, in part, prompted many countries to establish environment ministries and environmental protection agencies.[4]

9. Over the course of the 1970s and 1980s, a number of events took place that further highlighted the need for effective national and global regulation of the chemicals sector. Three notable examples that had a significance influence in raising the profile of (un)sound chemicals management and emphasising its importance for the global community, regional groups and nation states were:

- Seveso (Italy, 1976): release of dioxin gas from a chemical manufacturing plant affected residents from neighbouring communities. Studies have revealed incidences of skin lesions, higher incidences of cardiovascular and respiratory diseases, and diabetes within the effected communities. Exposure of pregnant women to the dioxin release has been found to be linked to lower sperm counts in their male children. This disaster promoted the European Commission to adopt legislation – the Seveso Directive – on the prevention and control of such accidents.[5]
- Love canal (New York, 1978): leeching of chemical waste from a landfill into elementary school grounds built on the landfill was linked to birth defects and heightened risk of leukemia among local residents.[6] This incident shaped grassroots environmental activism highlighting the links between marginalised/ disempowered communities and exposure to chemicals.[7] At the Federal level this incident prompted Congress to pass the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) – or Superfund Act. As well as levying a tax on the chemical and petroleum industries and granting Federal

[2] Carson, R; Darling, L; Darling, L (1962) Silent Spring, Riverside Press, Cambridge, Mass
[3] OECD (2011) 40 Years of Chemical Safety at the OECD: Quality and Efficiency. Organisation for Economic Cooperation and Development, Paris, p.6.
[4] IPEN (2014) An NGo Guide to SAICM.
[5] European Commission (2018) Major accident hazards: The Seveso Directive - Technological Disaster Risk Reduction. Accessed at: http://ec.europa.eu/environment/seveso/
[6] Beck, EC (1979) The Love Canal Tragedy. EPA Journal., January. Environmental Protection Agency. Accessed at: https://archive.epa.gov/epa/aboutepa/love-canal-tragedy.html
[7] Mah, A (2013) Lessons from Love Canal: toxic expertise and environmental justice. openDemocracy. Accessed at: https://www.opendemocracy.net/alice-mah/lessons-from-love-canal-toxic-expertise-and-environmental-justice

authority for dealing with hazardous waste sites, the Act established a national priorities list of chemical waste sites for decontamination.[8]

- Bhopal (India, 1984): leaking of poison gas from a pesticides plant killed at least 3,800 people immediately, morbidity and premature death for thousands of others. The disaster Bhopal prompted the Government of India to create the Ministry of Environment and Forests in 1985. This Ministry was delegated responsibility for administering and enforcing environmental laws in India.[9] The chemical producing industry responded to the Bhopal catastrophe with the Canadian Chemicals Association supporting the establishment of the first Responsible Care Program.

10. The international community's efforts to address the sound management of chemicals has been reflected in a number of UN initiatives:

1972: First major UN international Conference on Environment in Stockholm, Sweden and the establishment of UNEP.

1980: International Programme for Chemical Safety (IPCS) – a cooperative programme of the WHO, UNEP and ILO – established following the UN Conference on the Human Environment (1972). Hosted by the WHO, this programme aims to establish the scientific basis for the sound management of chemicals, and to strengthen national capabilities and capacities for chemical safety.[10] UNEP withdrew from this Programme and today, it remains an initiative of WHO and ILO.

1989: Basel Convention on Transboundary Movement of Hazardous Wastes and their Disposal – was adopted in response to a public outcry following the discovery, in the 1980s, in Africa and other parts of the developing world of deposits of toxic wastes imported from abroad. Its aim is to protect human health and the environment against the adverse effects of hazardous wastes.[11]

1992: Agenda 21 Chapter 19 – laid out the plan of action to ensure the environmentally sound management of toxic chemicals, including prevention of illegal international traffic in toxic and dangerous products, agreed at the UN Conference on Environment and Development (UNCED) – the Earth Summit.[12] (The six programme areas of work defined by the plan of action are reflected in SAICM.)

1993: International Labour Organization (ILO) Chemicals Convention, (No. 170) convention concerning Safety in the use of Chemicals at Work enters into force – setting out responsibility of employers, duties of workers, rights of workers and their representatives and responsibility of exporting states.

1994: The Intergovernmental Forum on Chemical Safety (IFCS) was established. Its first meeting was in April 1994 at the International Conference on Chemical Safety, convened by the Executive Heads of UNEP, ILO and WHO, at the invitation of the government of Sweden. The IFCS had a non-institutional arrangement whereby representatives of governments met, together with intergovernmental and non-governmental organisations, to consider all aspects of the assessment and management of chemicals. The aim was to integrate and consolidate national and international efforts to promote the objectives of Chapter 19 of Agenda 21. The IFCS was

[8] EPA (2018) Superfund: CIRCLA overview
[9] Broughton, E (2005) The Bhopal disaster and its aftermath: a review. Environmental Health: A Global Access Science Source 4(6).
[10] WHO (2018) International Programme on Chemical Safety, Accessed at: http://www.who.int/ipcs/en/
[11] Basel Convention (2018) Overview. Accessed at: http://www.basel.int/TheConvention/Overview/tabid/1271/Default.aspx
[12] UNCED (1992) Agenda 21 – Chapter 19: Environmentally sound management of toxic chemicals, including prevention of illegal international traffic in toxic and dangerous products. Accessed at: http://www.un-documents.net/a21-19.htm

established to provide policy guidance, identify priorities, develop strategies and, where appropriate, make recommendations to governments, international organisations, intergovernmental bodies and non-governmental organisations involved in chemical risk assessment and environmentally sound management of chemicals. Meetings of the IFCS layed much of the foundation to develop the Strategic Approach.

1995: The Inter-Organization Programme for the Sound Management of Chemicals (IOMC) was established following recommendations made by the 1992 UN Conference on Environment and Development. The participating organisations are the UN Environment (UNEP), the International Labour Organization (ILO), the Food and Agriculture Organization (FAO), the World Health Organization (WHO), the United Nations Industrial Development program (UNIDO), the United Nations Institute for Training and Research (UNITAR), the Organisation for Economic Cooperation and Development (OECD), the World Bank and the United Nations Development Program (UNDP). The purpose of the IOMC is to promote coordination of the policies and activities pursued by the participating organisations, jointly or separately, to achieve the sound management of chemicals in relation to human health and the environment. It is guided by a Memorandum of Understanding written in 1995 and signed by the executive heads of each of the participating organizations.

1998: Rotterdam Convention on the prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides – places a duty on those countries exporting banned or restricted hazardous chemicals and pesticides to fully inform the importing country about the trade and to provide full information about the hazardous chemicals/ pesticides.[13]

2001: Stockholm Convention on Persistent Organic Pollutants – regulates the prohibition, restriction, and reduction, in use and production of different categories of Persistent Organic Compounds (POPS).[14]

2002: World Summit on Sustainable Development – Johannesburg Plan of Implementation – defined the 2020 goal of 'aiming to achieve, by 2020, that chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment'. This goal is the overall objective of SAICM

2006: Strategic Approach to International Chemicals Management (SAICM)

2007: WHO International Health Regulations entered into force – aiming to help the international community prevent and respond to acute public health risks that have the potential to cross borders and threaten people worldwide.

2013: Minamata Convention on Mercury – bans the creation of new mercury mines and regulates the phase-out of existing ones; the phase out and phase down of mercury used in a range of products and processes; control measures on emissions to air and on releases to land and water; regulates the informal sector of artisanal and small-scale gold mining.[15]

2015: Sustainable Development Goals (SDGs) – Chemicals management is embedded throughout the SDGs and, are mainstreamed into the goals. A review of the targets associated with each SDG reveal the pervasiveness of the sound management and chemicals and waste in

[13] Rotterdam Convention (2018) Overview. Accessed at:
http://www.pic.int/TheConvention/Overview/tabid/1044/language/en-US/Default.aspx
[14] Stockholm Convention (2018) Overview. Accessed at:
http://chm.pops.int/TheConvention/Overview/tabid/3351/Default.aspx
[15] UN Environment (2018) Minamata Convention on Mercury. Accessed at:
http://www.mercuryconvention.org/Convention/tabid/3426/language/en-US/Default.aspx

the 2030 agenda as well as the centrality of ensuring vulnerable groups are 'not left behind'. Target 12.4 of the SDGs, reflects the Johannesburg Plan of Action goal (the SAICM goal)[16]

[16] It has been pointed out that a significant difference between the SAICM overall objective and target 12.4, is that the latter has broadened the scope from minimising significant adverse effects, to that of minimising all adverse impacts (Honkonen, T; Khan, SA (2017) Chemicals and Waste Governance Beyond 2020: Exploring Pathways for a Coherent Global Regime. Nordic Council of Ministers.

V. SCOPE, METHODS AND THEORY OF CHANGE APPROACH

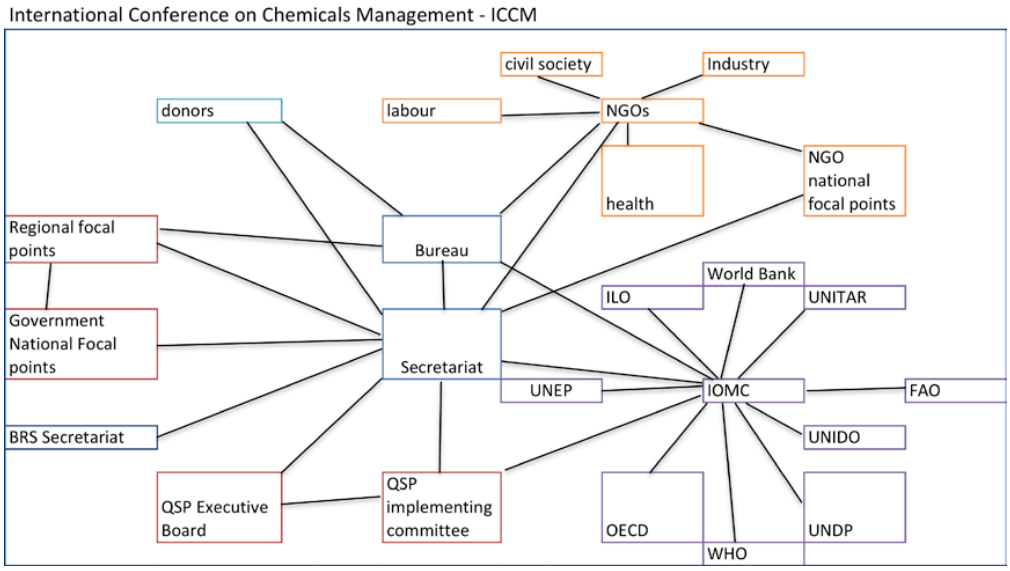
11. The terms of reference for the evaluation are set out in the Annex to ICCM resolution IV/4 (see Appendix 1).

12. SAICM is an international, multi-stakeholder voluntary (non-legally binding) agreement defined in the Dubai Declaration. Government delegates from 117 countries (plus observers from 27 countries) [17], together with representatives from Inter-Governmental Organisations (IGO), the chemical producing industry and civil society undertook to actively promote and further the sound management of chemicals through the adoption of the Overarching Policy Strategy (OPS). The OPS articulates the scope and objectives of SAICM together with financial considerations and the mechanism for implementation and monitoring progress.[18]

Institutional arrangements within the voluntary multi-sectoral approach of the Strategic Approach

13. The SAICM institutional structure and stakeholders are shown in Figure 1 below.

Figure 1: SAICM Institutional structure and stakeholders (2006-2015)



14. The International Conference on Chemicals Management (ICCM) convenes every three years and brings together all stakeholders. The Conference represents the decision-making body of SAICM.

15. The SAICM Bureau comprises five government representatives, one from each region (endorsed at each Conference): Africa, Asia-Pacific, Central and Eastern Europe, EU/JUSSCANNZ,

[17] SAICM/ICCM.1/7, paragraphs 16 & 17.
[18] See SAICM (2006) Strategic Approach to International Chemicals Management: SAICM texts and resolutions of the International Conference on Chemicals Management. UNEP, WHO.

Latin America and the Caribbean. The Bureau members are typically representatives from the ministries of environment and foreign affairs. One bureau member serves as President with the other five members serving as vice-presidents. In addition to these five Bureau members, an additional five government representatives are invited to participate in Bureau meetings – the regional focal points. The regional focal points role is set out in ICCM resolution ll/2 including: chairing regional meetings, disseminating information of interest to focal points within their region, collecting views from Strategic Approach national focal points on matters of interest to the region, and assisting in the flow of information and views from the region to its respective Bureau member.[19]

16. In light of the multi-stakeholder character of the Strategic Approach, the President of the Bureau invites four representatives of non-governmental participants and one representative of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) to participate in the discussions during the meetings of the Bureau for the purpose of advising and responding to the Bureau, unless the Bureau decides that part or all of its meeting shall be limited to governmental participants. The four non-government representatives represent the health sector, labour, public interest groups (represented by IPEN since ICCM1) and the chemical producing industry (represented by ICCA since ICCM1). Their role is to ensure that the views and perspectives of the stakeholders that they represent are incorporated into the SAICM processes.

17. All of the representatives – government and non-government alike – serve a three year term with nominations of new representatives for each stakeholder group endorsed at the ICCM.

18. The SAICM Secretariat serves the International Conference, Bureau meetings and interseesions meetings. It is responsible for stakeholder coordination and has reporting duties. The duties of the Secretariat are laid out in paragraph 28 of the Overarching Policy Strategy:

- To facilitate meetings and intersessional work of the Conference [ICCM], as well as regional meetings, with maximum multi-stakeholder participation, and to disseminate the reports and recommendations of the Conference;
- To report to the Conference on the implementation of the Strategic Approach by all participants;
- To promote the establishment and maintenance of a network of Strategic Approach stakeholders at the national, regional and, in the case of intergovernmental and non-governmental organisations, international levels;
- To facilitate the development and dissemination of guidance materials to support implementation of the Strategic Approach by stakeholders;
- To provide guidance to stakeholders in the initiation of project proposals;
- To provide information clearing-house services such as provision of advice to countries on implementation of the Strategic Approach, referral of requests for information to relevant sources and facilitation of access to information and expertise in support of specific national actions;
- To ensure that recommendations from the Conference are conveyed to relevant global and regional organisations and institutions;
- To promote the exchange of relevant scientific and technical information;
- To establish and maintain a working relationship with participating organisations of IOMC in order to draw upon their sectoral expertise.

19. In addition to the activities listed above, the Secretariat was also mandated to facilitate the operation of the SAICM Quick Start Program (QSP):[20]

[19] SAICM/ICCM.2/15, p. 32, paragraph 9
[20] SAICM Original Project Document (2006), p 12

- Provide administrative support to the QSP Trust Fund;
- Receive project proposals and screen them before submitting them to the QSP Trust Fund Implementation Committee;
- Facilitate meetings of the QSP Trust Fund Implementation Committee and the QSP Executive Board.

20. National government focal points from all five regions are the conduit by which SAICM is implemented at the national level. They are predominantly representatives from the ministries of environment (80%+), with the remaining representatives coming from ministries of health, agriculture and foreign affairs. The role of national focal points is set out in Annex IV of the ICCM2 meeting report. Their primary tasks are to:

- Establish a national desk for the Strategic Approach to International Chemicals Management;
- Act as an effective conduit for communications on the Strategic Approach at the national and regional levels, and ensure synergies with the focal points of chemicals and wastes-related multilateral environment agreements;
- Establish an inter-ministerial and inter-institutional committee for implementation of the Strategic Approach, including representatives of non-governmental organisations;
- Facilitate Strategic Approach implementation efforts at the national and local levels;
- Solicit and organize input from sectors and actors relevant to the Strategic Approach;
- Establish communication with sub-regional and regional focal points to facilitate coordination and cooperation in implementation of the Strategic Approach;
- Support the development of regional positions for presentation at sessions of the Conference;
- Facilitate the submission of progress reports to the regional focal point and the Conference on implementation of the Strategic Approach.[21]

21. In addition to being responsible for implementing SAICM at the national level, the stakeholders from the donors also provide financial support (cash and in-kind) to further the SAICM secretariat and the implementation of SAICM in the other four regions (see Table 2 and Table 3 below, for a list of donors for the period 2006-2015).

22. The IOMC, a co-convenor of the first international conference (ICCM1 in 2006), has played a key role in the implementation of SAICM through its capacity-strengthening programmes designed to support countries in the AFR, AP, CEE and LAC regions to implement SAICM. IOMC agencies delivered this support through their role as executing agencies on the QSP projects, supporting development of project proposals, and providing on line chemicals management tools.

23. The NGO national focal points support the implementation of SAICM at the national level. Civil society and health and labour sector NGOs play an important role in the implementation of SAICM through their work in: seeking reforms in national, state and provincial chemicals-related policies, laws and regulations; campaigning to end industrial polluting practices and to highlight the presence of toxic chemicals in children's toys; establishing national pollutant release and transfer registries (PRTRs); seeking to end the misuse and reliance on pesticides in agriculture; monitoring human blood for toxic chemicals and to publicise results; opposing waste dumps and incinerators, and promoting waste minimisation; advocating on behalf of workers, farmers and fishing communities to protect against chemical exposure and chemical hazards in the workplace.[22]

[21] SAICM/ICCM.2/15, Annex lV

[22] IPEN (2014) An NGO Guide to SAICM, pp. 39-41

24. The chemical producing industry plays an important role in supporting the implementation of SAICM through its promotion of the Responsible Care programme and GHS implementation. The crop protection industry also provides training and capacity-building for regulators and for farmers in pesticide management. Container management of pesticides and contributions to programmes to deal with obsolete stocks of pesticides are part of industry's support of SAICM. Industry works closely with IOMC members and supports them in chemicals management programmes, through the production of on-line chemical management tools. In support of SAICM, the pharmaceutical industry has developed an environmental management approach – Eco-Pharmaco-Stewardship – aimed at environmental risk assessments.[23]

25. The Basel, Rotterdam and Stockholm (BRS) Secretariat is responsible for preparing and servicing the meetings of the conferences of the parties and its subsidiary bodies, to receive and convey information, to assist or facilitate assistance to parties upon request and to coordinate with other international bodies.[24] The overarching goal of the three conventions, namely to protect human health and the environment for the promotion of sustainable development is complementary to that of SAICM. The BRS Secretariat collaborates with the SAICM Secretariat in their respective work through sharing information, hosting joint events, participating in each other's activities. The BRS Secretariat provides inputs to relevant SAICM processes in areas of common interest.[25]

26. The QSP was designed to fund projects that "support activities to enable initial capacity building and implementation in developing countries, least developed countries, and small island developing States and countries with economies in transition". The QSP Executive Board provided oversight and accountability for the QSP Trust Fund. The Board comprised government representative from each of the five regions; representatives from the donor/ EU/JUSSCANNZ stakeholder group), representatives from IOMC, one representative from industry and one from civil society.

27. The QSP Trust Fund Implementation Committee was the body responsible for reviewing and selecting proposals, and monitoring performance. The committee comprised of representatives from each of the IOMC organisations.

Management of the Strategic Approach

28. The stakeholders listed in Figure 1 have been collectively responsible for the successful delivery of SAICM over the 2006-2015 period. The SAICM Secretariat has played a central role in supporting and enabling stakeholders to deliver on their commitments to the SAICM project.

29. Figure 2 below shows the timeline of the SAICM process – the three-yearly conferences and the events that took place between them. The management and delivery of the SAICM process (i.e the events/ activities depicted in Figure 2) was primarily the responsibility of the SAICM Secretariat, located within the Chemicals and Waste Branch of UNEP.[26] The day-to-day administration of SAICM – organizing the conferences and meetings, disbursement of funds for events including

[23] SAICM/ICCM.5/Bureau.1/3

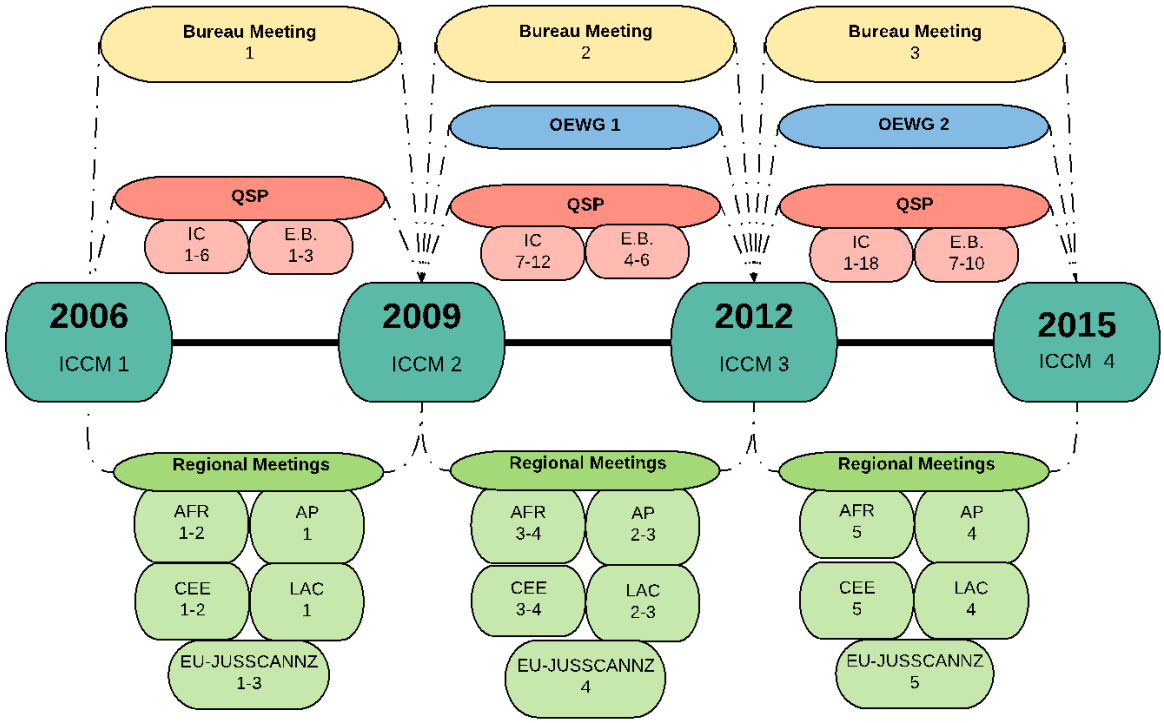
[24] see http://www.brsmeas.org/Secretariat/Overview/tabid/3609/language/en-US/Default.aspx

[25] Tuula Honkonen and Sabaa A. Khan (2017) Chemicals and Waste Governance beyond 2020: Exploring pathways for a coherent global regime. p. 71

[26] The overall objective of the Secretariat as stated in the original Secretariat project document was "… to maximise the number of countries and stakeholders participating in the implementation of SAICM by providing the necessary secretariat services called for in paragraph 28 of the Overarching Policy Strategy and ICCM Resolution l/4" (original project document, p.10).

participants' travel were managed through the Chemicals and Waste Branch's financial and administrative systems.[27]

Figure 2: Timeline of SAICM process (2006-2015)



30. At ICCM1 it was resolved that the Secretariat would be staffed by six full time staff – five professional and one general service staff.[28] At ICCM2, it was further resolved to increase this capacity to seven professional full-time staff, in order to provide sufficient capacity for the unanticipated workload arising from management of the QSP (given the large volume of applications), as well as providing the Secretariat with the capacity to fulfill its function in relation to the clearing house and development of guidance materials for national focal points.[29]

31. In the spirit of the collaborative arrangement between UNEP and WHO in supporting the Secretariat, as envisaged in the Dubai Declaration, the WHO contributed one of the eight full-time staff members of the Secretariat.

32. In practice, however, for the period 2006-2009, the full complement was only achieved for the last for 10 months of 2009; for 2010-2012 (seven FTE staff) the actual staff complement was 2.6

[27] At the request of ICCM1 (Resolution l/1, paragraph 11) the Executive Director of UNEP established and assumed overall administrative responsibility for the project and located it within the chemicals and waste cluster in Geneva for the period 2006 to 2015.
[28] ICCM1, Resolution l/1
[29] SAICM/ICCM.2/9*, paragraphs 19 & 20

FTE; for the period 2013-2015 the complement was 3.86 FTE.[30] The project has addressed this shortfall to some extent through the contracting of short-term consultants.[31] In part this shortfall in professional staff numbers was due to the withdrawal of the WHO-sponsored post in October 2012 because of financial considerations.[32]

33. The additional workload mandated to the Secretariat (facilitating the Open-Ended Working Group (OEWG) process; coordinating 'emerging policy issues'; developing an 'overall orientation and guidance'[33,34,35]) was not associated with an increase in staff complement.

34. The Secretariat's management represents a complex matrix management structure. Whilst the Secretariat reported to the Conference via the SAICM Bureau, it was also subject to the administrative and reporting requirements of the Chemicals and Waste Branch, with the Secretariat's coordinator accountable to the head of the branch. The Chemicals and Waste Branch was located within the Division of Technology, Industry and Economics (DTIE), one of seven divisions accountable to the Executive Office of UNEP.

35. In addition to the dual management and reporting structure outlined in the preceding paragraph, the management of the QSP represented an additional layer of burden to the project's management structure.

36. Funds for the Secretariat – staff costs, Secretariat activities and QSP Trust Fund contributions – were deposited in the Chemicals and Waste Branch finance department account and administered under the branch's internal financial systems.

37. Resolution l/1 of ICCM1 in 2006 invited the 'Executive Director of UNEP and the Director general of the World Health Organisation to provide appropriate staff and other resources ... to enable their organisations to take lead roles in the Secretariat in their respective areas of expertise'.[36] Further, the resolution invited governments, donors, NGOs and the private sector to make voluntary contributions to support the Secretariat to fulfil its functions.

38. In the event, UNEP, through the Environment Fund (EF), has provided funding each year to cover the staff costs of the Secretariat's Project Coordinator. The WHO seconded one its staff members (at P-5 level) to the Secretariat for the period 2007 up until 30 September 2012. The funding for the WHO-seconded post was reported to have come from Australia, Canada, Germany, Switzerland and the United Kingdom.[37,38]

39. The voluntary contributions, or extra-budgetary funds (XBF), have been provided year on year by a number of donors. However, the amount of funds secured has fallen short of the level of funds approved by ICCM every year. Table 1 below shows the agreed indicative budget, the actual funding forthcoming and the percentage shortfall between indicative and actual each year. The impacts of this persistent shortfall are discussed in section 'Factors affecting performance' below.

[30] Source: SAICM/ICCM.2/9*, paragraph 8; SAICM/ICCM.3/21/Rev.1, Table 1; SAICM/ICCM.4/14, Table 2.
[31] The reasons for the chronic shortfalls in project staff numbers is discussed further in the following section 'F. Project financing' and the impacts of this are discussed in 'Factors affecting performance'.
[32] SAICM/ICCM.3/24, paragraph 188
[33] Resolution ll/6
[34] Resolution ll/4 of ICCM2
[35] SAICM/ICCM.3/24, paragraph 27, p. 58
[36] ICCM1, Resolution l/1, paragraph 12.
[37] SAICM/ICCM.3/21/Rev.1, paragraph 26.
[38] It is not clear whether these funds to support the WHO position were in addition to, or part of, the XBF contributions recorded in Table 6. However, given that Canada is not listed as providing XBF contributions it is assumed that these funds are in addition to those listed in the table.

Table 1: Indicative and actual XBF secured each year (2006-2015)[39,40]

	Agreed budget	actual	shortfall	% shortfall
2006	$1,172,375	$632,376	-$539,999	46%
2007	$1,172,319	$670,131	-$502,188	43%
2008	$1,187,984	$1,015,678	-$172,306	15%
2009	$1,207,957	$535,487	-$672,470	56%
2010	$1,400,460	$749,130	-$651,330	47%
2011	$2,555,003	$1,793,918	-$761,085	30%
2012	$3,320,681	$1,857,606	$1,463,075	44%
2013	$1,555,784	$1,493,578	-$62,206	4%
2014	$2,410,125	$2,017,995	-$392,130	16%
2015	$3,093,891	$1,574,434	$1,519,457	49%

40. Table 2 shows the contributions of each donor to the extra-budgetary funds each year. Six donors were responsible for contributing 80% of the XBF over the 10 year period. They were: European Commission, USA, Sweden, Switzerland, Germany and Norway. Part of the European Commission voluntary contributions was earmarked for a professional post within the Secretariat responsible for managing the QSP.

41. The funding provided by UNEP in 2013, 2014 and 2015 amounting to $469,400 was unplanned, i.e. not part of the agreed XBF donor contributions. UNEP stepped in and provided this financing to avert a funding crisis. Without these funds the Secretariat would have been unable to fulfil its functions, specifically the Open-Ended Working Group 2 process would not have occurred.[41]

42. A further component of financing was those in-kind contributions that supported Secretariat activities. Such activities included meeting facilities and support for meeting activities or participant travel.[42]

[39] Source of data for 2006-2009: SAICM/ICCM.2/9*, Table 2, p.5; for 2010-2012: SAICM/ICCM.3/21/Rev.1, Table 2, p. 6; for 2013-2015: SAICM/ICCM.4/14, Table 3, p.12 and SAICM/ICCM.5/Bureau.2/INF/2.
[40] For the years 2006-2009 the figures include indicative amounts from EF and WHO contributions to project coordinator post and WHO sponsored post. For the period 2010-2015, these figures are (correctly) not included.
[41] Interviewee, *pers comm*
[42] For a list of countries and organisations that provided such in-kind support see: SAICM/ICCM.2/9*, paragraph 12; SAICM/ICCM.3/21/Rev.1, paragraph 27; SAICM/ICCM.4/14, paragraph 6.

Table 2: Contribution and share to XBF by donor by year (2006-2015)[43,44]

Contributor	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total	Share
European Commission	$187,760	$42,081	$320,000			$495,314	$655,000	$338,000		$544,662	$2,582,817	23%
USA		$100,000	$90,000		$300,000	$400,000	$400,000	$370,000	$370,000		$2,030,000	18%
Sweden	$100,000	$77,041	$62,860		$44,360	$137,619	$263,070	$207,468	$302,623	$41,143	$1,236,184	11%
Switzerland	$112,419	$12,419	$14,470	$14,689	$221,290	$175,103	$21,790	$12,070	$237,451	$345,830	$1,167,531	11%
Germany					$101,343	$188,547	$175,279	$120,960	$276,833	$216,775	$1,079,737	10%
Norway	$38,600	$45,640	$47,000		$78,088	$129,516	$120,291	$149,071	$112,410	$38,212	$758,828	7%
UNEP								$139,400	$280,000	$50,000	$469,400	4%
Denmark		$19,569				$36,089	$160,774	$44,823	$134,005	$62,792	$458,052	4%
ICCA						$28,909			$135,000	$135,000	$298,909	3%
Netherlands						$72,674		$67,843	$65,876	$54,466	$260,859	2%
Spain		$14,500		$165,000		$65,703					$245,203	2%
Finland						$46,666	$52,541	$13,587	$39,526	$40,305	$192,625	2%
Australia		$28,668	$56,776								$85,444	1%
Belgium								$26,525	$25,412	$21,786	$73,723	1%
Austria						$13,333			$27,210	$10,893	$51,436	0%
UK		$49,115									$49,115	0%
Slovenia	$3,755	$4,032	$4,716	$3,836	$4,048	$4,444	$3,861	$3,831	$4,149	$3,267	$39,939	0%
Kenya							$5,000		$5,000		$10,000	0%
Benin										$8,303	$8,303	0%
Pakistan									$2,000		$2,000	0%
Guyana									$500	$1,000	$1,500	0%
UNEP - EF	$189,842	$207,800	$209,878	$211,977								
WHO - in kind		$69,266	$209,978	$139,985								
Total	$632,376	$670,131	$1,015,678	$535,487	$749,129	$1,793,917	$1,857,606	$1,493,578	$2,017,995	$1,574,434	$12,340,331	

43. Funding for QSP projects, provided through the QSP Trust Fund, came from a number of donors. Table 3 provides details of the amounts from each donor for the period 2006-2015. Three donors – the European Commission, Sweden and Norway contributed 65% of the total funds.

44. In addition to the Trust Fund contributions, donors self-reported non-Trust Fund contributions – both cash and in-kind – to support the QSP. Table 4 provides the total amount of both cash and in-kind contributions each year. The donors contributing to the non-Trust Fund were the Governments of Canada, Japan, Switzerland, Sweden, the United Kingdom and the United States of America. Intergovernmental organizations were the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), the United Nations Institute for Training and Research (UNITAR), the World Health Organization (WHO), and the Organisation for Economic Cooperation and Development (OECD). Additional non-governmental donors have been Argentine Society of Doctors for the Environment (AAMMA), the BASF, the Dow Chemical Company (DOW), International Council of Chemical Associations (ICCA), the International POPs Elimination Network (IPEN), and the International Society of Doctors for the Environment (ISDE).[45]

[43] SAICM/ICCM.2/9*, Table 3; SAICM/ICCM.3/21/Rev.1, Table 2; SAICM/ICCM.4/14, Table 3; SAICM/ICCM.5/Bureau.2/INF/2.

[44] For period 2006-2009, UNEP EF and WHO contributions in kind for project coordinator post and WHO sponsored post are included. For period 2010-2015 they are (correctly) not included. Percentage share of each donor excludes these figures.

[45] Source: http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500

Table 3: Donor contribution to QSP Trust Fund by year (2006-2015)[46]

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total	Share
European Commission	$0	$3,108,808	$2,495,783	$0	$0	$3,293,173	$0	$0	$0	$2,098,010	$10,995,774	28%
Sweden	$3,649,000	$2,266,049	$0	$2,048,525	$2,189,000	$0	$0	$0	$0	$0	$10,152,574	26%
Norway	$485,564	$1,102,941	$848,506	$803,853	$846,597	$0	$0	$326,413	$129,737	$0	$4,543,611	12%
USA	$200,000	$300,000	$300,000	$300,000	$400,000	$400,000	$350,000	$290,000	$290,000	$0	$2,830,000	7%
France	$65,789	$0	$0	$80,753	$138,888	$266,666	$507,823	$407,608	$334,225	$0	$1,801,752	5%
Finland	$254,452	$273,597	$311,526	$280,898	$0	$286,123	$0	$275,862	$0	$0	$1,682,458	4%
Germany	$0	$0	$0	$217,687	$244,897	$256,410	$241,286	$234,681	$228,716	$203,400	$1,627,077	4%
Switzerland	$161,419	$133,496	$125,330	$190,043	$100,000	$117,233	$106,907	$163,702	$275,300	$0	$1,373,430	3%
Spain	$131,578	$65,597	$389,610	$389,610	$65,703	$0	$0	$0	$0	$0	$1,042,098	3%
Netherlands	$128,205	$136,798	$155,763	$69,992	$132,625	$72,674	$0	$0	$0	$0	$696,057	2%
Austria	$131,572	$160,400	$156,033	$73,964	$67,294	$13,333	$0	$0	$0	$0	$602,596	2%
Slovenia	$26,350	$29,213	$160,808	$25,830	$115,935	$103,703	$0	$0	$0	$0	$461,839	1%
UK	$375,476	$0	$0	$0	$0	$0	$0	$0	$0	$0	$375,476	1%
Australia	$0	$57,366	$236,639	$0	$0	$0	$0	$0	$0	$0	$294,005	1%
Republic of Korea	$0	$40,000	$0	$0	$50,000	$50,000	$50,000	$50,000	$50,000	$0	$290,000	1%
South Africa	$100,000	$0	$0	$50,000	$0	$0	$0	$100,000	$0	$0	$250,000	1%
India	$100,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$100,000	0%
Nigeria	$50,000	$0	$0	$50,000	$0	$0	$0	$0	$0	$0	$100,000	0%
Czech Republic	$0	$0	$66,715	$0	$12,330	$0	$0	$0	$0	$0	$79,045	0%
Belgium	$50,068	$0	$0	$14,430	$0	$0	$0	$0	$0	$0	$64,498	0%
Romania	$0	$0	$0	$13,605	$0	$0	$0	$0	$0	$0	$13,605	0%
Hungary	$0	$0	$12,936	$0	$0	$0	$0	$0	$0	$0	$12,936	0%
Madagascar	$0	$5,104	$4,541	$0	$0	$0	$0	$0	$0	$0	$9,645	0%
Pakistan	$0	$0	$0	$0	$2,009	$0	$1,974	$0	$0	$0	$3,983	0%
Total	$5,909,473	$7,679,369	$5,264,190	$4,609,190	$4,365,278	$4,859,315	$1,257,990	$1,848,266	$1,307,978	$2,301,410	$39,402,459	

Table 4: Contributions, both cash and in-kind, to the non-Trust Fund by year (2006-2015)[47]

Year	Declared Contribution
2006	$23,912,500
2007	$6,150,200
2008	$14,313,000
2009	$1,750,560
2010	$16,192,986
2011	$0
2012	$514,500
2013	$3,644,000
2014	$5,022,032
2015	$2,614,239
Total	$74,114,017

[46] Source: http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500

[47] Source: http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500

Theory of Change[48,49]

45. A theory of change seeks to map out the pathways by which a programme or project seeks to realise its impact. Identifying the pathways by which the project is expected to achieve its impact provides a framework to evaluate the success. Current good practice in project and programme design involves constructing a theory of change at the outset that can then be used to assist in shaping the scope and activities of the project/ programme. Such a theory of change supports on-going monitoring of the project/ programme and provides the framework for impact evaluation. In the case of the SAICM evaluation, no such Theory of Change was constructed at the onset of SAICM in 2006. Consequently, a Theory of Change has been constructed through interviews with stakeholders at the end of the independent evaluation timeframe.

46. Figure 3 provides a visual representation of the pathways to impact (the 2020 goal) and the factors or influences that facilitate stakeholders' contributions to realising the goal.

47. For SAICM stakeholders, the vision of the 2020 goal – that by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health – has the following two key components:

- Institutional strengthening of governments' ability to manage chemicals and waste
- Equality across countries

Pathways to impact

Institutional strengthening of governments' ability to manage chemicals and waste

48. Stakeholders' identified a number of pathways for achieving this impact:

Effective & enforceable legislation (OOG elements a, b, c)

Integration across sectors (elements d, f, g)

Adaptive management regime (elements h, j)

Open and transparent info sharing (elements e, f)

49. The following were stakeholders' perspectives on these pathways:

Effective & enforceable legislation means that chemicals and waste are a top priority in national development plans, and this priority is reflected in sectoral programmes and plans; legal framework in place such that the BRS conventions, the International Health Regulations, the ILO Conventions are successfully implemented; resulting in measureable exposure reduction/ elimination;

Integration across sectors will involve ensuring that chemicals and waste are addressed across all sectors and ministries, including health, agriculture, industry, energy, environment, labour and manufacturing

Adaptive management regime that is flexible and adaptive to new and emerging challenges as they arise, as the science and knowledge becomes apparent; comprehensive monitoring, traceability and enforcement mechanisms.

Open and transparent information sharing of all relevant information related to chemicals management; Access to unbiased scientific information and innovative technology including agroecological approaches to agriculture.

[48] This section will be revised in the light of the final round of engagement with stakeholders March to June 2018.
[49] The Theory of Change presented here is drawn from the results of the focus group discussions with stakeholders in Brasilia at the first intersessional meeting in February 2017.

Equality across countries

50. For SAICM stakeholders, this impact will be realised through the following two pathways:

Common standards (elements a, b, c)

Transfer of technologies (elements i, k)

51. Stakeholders' perspectives on these pathways were:

Common standards and a common agenda of a healthy environment being aligned with the priorities of all countries; an important pathway for closing the gap between higher income countries and the mid/ lower income countries. For many stakeholders common standards equated to legally binding international standards. The process of developing such international standards would need to ensure that the voices of vulnerable and marginalised groups were involved in the decision-making and addressed gender equality within the resulting standards.

Transfer of technologies includes the provision of technical infrastructure for low and middle-income countries, such as laboratories for monitoring and evaluating chemicals.

52. The Overall Orientation and Guidance document endorsed at ICCM4 identified 11 basic elements needed for the realisation of the 2020 goal. These 11 elements have been mapped onto the pathways above. The 11 basic elements are:[50]

a) Legal frameworks that address the life cycle of chemicals and waste;
b) Relevant enforcement and compliance mechanisms;
c) Implementation of chemicals and waste-related multilateral environmental agreements, as well as health, labour and other relevant conventions and voluntary mechanisms;
d) Strong institutional frameworks and coordination mechanisms among relevant stakeholders;
e) Collection and systems for the transparent sharing of relevant data and information among all relevant stakeholders using a life cycle approach, such as the implementation of the Globally Harmonized System of Classification and Labelling of Chemicals;
f) Industry participation and defined responsibility across the life cycle, including cost recovery policies and systems as well as the incorporation of sound chemicals engagement into corporate policies and practices;
g) Inclusion of the sound management of chemicals and waste in national health, labour, social, environment and economic budgeting processes and development plans;
h) Chemicals risk assessment and risk reduction through the use of best practices;
i) Strengthened capacity to deal with chemicals accidents, including institutional-strengthening for poison centers;
j) Monitoring and assessing the impacts of chemicals on health and the environment;
k) Development and promotion of environmentally sound and safer alternatives.

Factor influencing the pathways

53. Stakeholders identified a number of factors that influenced their ability to deliver on the pathways and ultimately the 2020 goal:

Finance and economy through internalization of costs into central government budgets; internalization of economic costs of chemical use. Levels of economic growth and the health of the economy as well as the degree of integration into global markets will influence

[50] Overall orientation and guidance for achieving the 2020 goal of sound management of chemicals. SAICM Document - 29 June 2015

implementation of SAICM. Accessing and mobilizing non-traditional funding sources (e.g. pension funds) will further support implementation of SAICM.

Political will on the part of governments and for all stakeholders to take on their responsibilities and commitments for protecting human health and the environment from adverse impacts of chemicals. Degree of political will influences the degree of integration across sectors, and the budgets available for chemicals management. Power dynamics influence implementation of SAICM.

Partnerships and cooperation with the chemical producing sector as well as those downstream industry users of chemicals. Ultimately, there is a need for a change in the pattern of production and use of chemicals in a way that prevents and minimizes adverse impacts on health and environment. There will be a greater emphasis on circular economy approaches, recycling of all waste and the introduction of extended producer responsibility policies. Partnerships depend on trust between stakeholders, particularly between civil society and the chemical industry/ business sector. Need for authentic communication with SAICM stakeholders through a dialogic process that builds trust and collaboration between them

Knowledge and capacity to identify those chemicals with greatest impact (positive and negative). Countries will need well-functioning laboratory capacity for evaluation of products and chemicals. Capacity to record demonstrable reductions in levels of pollution and reductions/ eradication of health impacts. Such capacity strengthening will involve transfers of technologies that are not obsolete. Access to information depends on having improved platforms for information sharing. Information and knowledge generated through independent science.

Stakeholder roles need clarification within and between organisations such that duplication and in-fighting is avoided. Stakeholders have a role to lead by example, providing time, expertise and resources, pro-actively sharing experience, information, methodologies and approaches to sound chemicals management. Government National Focal Points (NFP) have a role to raise awareness, collect information, coordinate and promote integration between ministries as well as to engage stakeholders; promoting synergies between SAICM, BRS and Minamata; facilitating dialogue between government, industry, NGOs and civil society; preparation of national action plans. NFPs are champions and advocates for SAICM. Strong civil society organisations that prioritise chemicals and waste management enhance the effectiveness of NFP roles, promoting transparency and engaging with end users and vulnerable groups.

International governance of the role and status of SAICM influences the progress towards the 2020 goal. Support and programmes by UN agencies including IOMC organisations influence the implementation of SAICM, as too, does access to international donor funds.

Media – print, radio, TV and social media – shapes public opinion and influencing consumer choice as well as the level of priority that governments attach to chemicals and waste management. Media has a role to raise awareness, inform the public and facilitate open debate and discussion, drawing in academia and sector experts.

Engagement with vulnerable groups for information sharing, data gathering and decision-making influences the implementation of SAICM. Recognition of rights and access to justice for exposure claims.

Peace and security is required for successful implementation of SAICM.

Intellectual property rights and patents together with concerns over business confidentiality influence governments' ability to innovate and transition to alternative technologies, and technology transfer to lower income countries.

Figure 3: Theory of Change: influences & pathways to the 2020 Goal

Vl. STRATEGIC APPROACH PERFORMANCE AND IMPACT

54. An online survey was designed to capture SAICM stakeholder views on the performance of SAICM. Over the period 14 November 2016 to 4 January 2017, 212 respondents completed, or partially completed, the survey. Of the 212 respondents, 195 indicated their affiliation and these are shown below. 64% were government representatives from across the five regions (see Table 5 below).

Table 5: Respondents by stakeholder group

	Total	Percentage
Africa	38	19
Asia Pacific	17	9
Central & Eastern Europe	12	6
Latin America & Caribbean	30	15
EU/JUSSCANNZ	28	14
UN agencies	17	9
Civil Society/ NGOs	28	14
Industry	25	13

55. The findings from the on-line survey are complemented by the findings from focus group discussions held with stakeholder groups at the first inter-sessional meeting held in Brasilia in February 2017 as well as at the Bureau meeting held in Berlin in April 2017 and at the BRS COPS in May 2017. The results of a second round of engagement with stakeholders through email held during November 2017 to February 2018 also complemented the on-line survey findings. In addition to the primary data collected, a review of reports has also informed the evaluation findings. A list of the reports and documents consulted will be developed for the final evaluation report.

Objectives for the sound management of chemicals and waste beyond 2020

56. Table 6 presents the findings from the on-line survey that asked how successful SAICM has been in achieving each of the five Overarching Policy Objectives. 112 respondents answered this question. The findings present a mixed picture.

57. Achievement of two objectives – ‘risk reduction’ and ‘knowledge and information sharing’ was considered as very successful or having had some success by at least 70% of respondents. The figure was less than 70% for the other three objectives, and in the case of ‘capacity-building and technical cooperation’ the figure was 60% and for ‘illegal international traffic’ the figure dropped to 34%.

58. The results for the ‘capacity-building and technical cooperation’ objective are of particular concern, given that the Quick Start Programme aimed to “support initial enabling capacity building

and implementation activities in developing countries, least developed countries, small island developing States and countries with economies in transition", with a budget of just under US $39.5m over the period 2006-2015.

59. An assessment of progress in meeting the 2020 goal conducted by the SAICM Secretariat in 2014 concluded that progress was such that there was little likelihood of achieving the 2020 goal and for some countries, in particular the Africa region progress was going backwards over the period 2010-2014.[51] Hence, the path to achieving the five overarching policy strategy objectives can be viewed as a work in progress, with further work required by Strategic Approach stakeholders in order to achieve the 2020 goal

Table 6: Stakeholder perceptions of degree of success in achieving the Strategic Approach overarching policy strategy objectives

	very successful	some success	little success	unsuccessful	don't know
risk reduction	15%	56%	16%	3%	11%
knowledge & information sharing	22%	54%	14%	2%	7%
governance	16%	47%	20%	5%	12%
capacity-building & technical cooperation	20%	40%	25%	4%	11%
illegal international traffic	7%	27%	18%	18%	31%

The following five sections review the progress made for each objective disaggregated by stakeholder group.[52]

Knowledge and information sharing

60. 76% of stakeholders viewed the success made in achieving the goal of 'knowledge and information sharing' either 'very successful' or with 'some success'. The Strategic Approach has had the most success in delivering on Knowledge and Information sharing, largely as a result of the efforts of the Strategic Approach secretariat in disseminating information on chemicals through publications in multiple languages, its website, the regional meetings, ICCM, support and guidance to country focal points, and the Quick Start Programme (QSP). The QSP was attributed by many across the stakeholder groups to have enabled multi-sectoral exchange of information through the establishment of inter-ministerial and inter-agency coordination committees.

61. In addition, other initiatives by IOMC organizations have supported this objective. For example, OECD Global portal to information on chemical substances (www.echemportal.org), UNITAR e-learning courses (funded through the QSP), the EU REACH regulation portal

[51] SAICM.OEWG.2/INF/4

[52] Of the 112 respondents: 21 from Africa region; 4 from AP; 7 from CEE; 23 from LAC; 16 from EU/JUSSCANNZ; 10 from UN; 17 from civil society; 14 from industry

(https://echa.europa.eu/regulations/reach).

62. However, while there has been success at the global, regional and national levels in sharing knowledge and information, gaps in achieving this objective remain. While stakeholders recognize the progress made in disseminating information at the national level, within countries information and knowledge flows to federal and local levels are weak.

63. Perceptions of stakeholders on the success of meeting this objective are broadly consistent (see Table 7 below). For EU/JUSSCANNZ stakeholders one view was that even without SAICM domestic mechanism for research and acquiring and analyzing information on chemicals management is good. Nevertheless, the 2020 goal provides a strong policy rationale for continued resources for research and assessment for EU/JUSSCANNZ stakeholders. Furthermore, as shared by one stakeholder, the widespread implementation of the GHS influenced Canada's decision to revise its existing legislation on chemicals and labeling to better align the domestic regime with the GHS.

65. For national government focal points in LAC and AP regions, there still remains insufficient knowledge and information sharing – data collection, dissemination and analysis – together with insufficient cooperation between authorities responsible for different sectors. For LAC stakeholders the production of information in English represents a challenge for sharing information with technicians, workers and the general public.

66. Whilst the flow of information and knowledge from SAICM to national focal points is good, the flow of information to end-users who directly handle chemicals is limited, particularly to those in the informal sectors.

67. For civil society, SAICM has provided well-needed funds to attend and participate in meetings and workshops enabling civil society to share experience and knowledge with other stakeholders. The information provided through SAICM website was highlighted as very useful for NGO focal points. Participating in SAICM has also raised awareness within this stakeholder group of the importance of open data.

68. Industry stakeholders recognize the unique role played by SAICM as a forum for knowledge and information exchange and highlighted the extensive work being done under the EPIs in collaboration with IOMC members. This stakeholder group values the exchange of views and experience with other SAICM stakeholders despite a lack of consensus among them on some issues.

69. The enormity of the challenge that remains in knowledge and information sharing was highlighted in the UN General Assembly Human Rights Council, thirtieth session Report of the Special Rapporteur on the implications for human rights of the environmentally sound management and disposal of hazardous substances and wastes – an important part of the management of chemicals throughout the lifecycle – which highlighted the significant information gaps that exist, particularly within non-OECD countries:

> Furthermore, there is no global system to generate or share missing information among all countries. This major shortcoming has resulted in a lack of available information; inability to access information; and not-so-useful information, particularly with respect to the dangers confronting those who are most at risk of harm from hazardous substances and wastes. There remain grave information gaps on numerous substances that are used, produced, released and disposed as waste by industrial and governmental activities[53].

[53] UN General Assembly Human Rights Council Thirtieth Session (2015), Report of the Special Rapporteur on the implications for human rights of the environmentally sound management and disposal of hazardous substances and wastes, p. 5

Table 7: Stakeholder perceptions of degree of success in achieving the 'knowledge and information sharing' objective by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	19%	62%	14%	0%	5%
Asia-Pacific	0%	50%	25%	0%	25%
Central & Eastern Europe	71%	14%	14%	0%	0%
Latin American & the Caribbean	17%	43%	22%	9%	9%
EU/JUSSCANNZ	25%	69%	0%	0%	6%
UN agencies	10%	70%	0%	0%	20%
Civil society	12%	59%	24%	0%	6%
Industry	36%	50%	14%	0%	0%

Risk reduction

70. 71% of stakeholders viewed the success made in achieving the goal of risk reduction either 'very successful' or with 'some success'. Stakeholders from OECD countries cite much progress in risk reduction strategies (e.g. EU REACH and Canada's Chemicals Management Plan). Complex regulatory frameworks have evolved in these countries such that all aspects of chemicals management are covered from their use in production of goods, exposure levels, and disposal. However, for some stakeholders, the complexity of the EU regulatory system makes it difficult to find out which rules apply and/or which items of information are available for a given substance.

71. Many non-OECD countries are at various stages of implementing the Globally Harmonized System for Classification and Labeling (GHS) – many of the preparatory tasks for implementation of GHS were funded by the Quick Start Programme. Other Quick Start Programme funded projects on disposal of obsolete pesticides and phasing out of lead in paint have all, it is asserted, contributed to reduction in risk.

72. Just under 20% of stakeholders indicated that little or no success has been achieved in addressing the risk reduction objective. The factors accounting for this include: the lack of effective management systems, including institutional structures, for chemicals at the national level and gaps in legislation; poor collaboration between different agencies with responsibility for chemical safety; insufficient training and capacity building of end-users of chemicals.

73. Whilst the EU/JUSSCANNZ and industry stakeholder groups were sanguine about the degree of success in achieving this objective, several were more circumspect, with just under 30% of Africa national government focal points and civil society stakeholders considering that little success had been achieved, with 10% of UN stakeholders considering that SAICM had been unsuccessful in meeting this objective (see Table 8 below).

74. EU/JUSSCANNZ stakeholders pointed to European legislation as the cause of risk reduction (rather than SAICM), although one respondent cited the example of the 2020 goal being a significant driver in the design of a national chemicals management plan.

75. UN agencies stakeholders highlighted steps made in several countries for implementing the GHS, as well as significant numbers of awareness raising and capacity building activities taking place. QSP funded projects were attributed to the success in building regulatory capacity. Not all were so optimistic, with one respondent asserting that there has not been much action on individual

chemicals and that basic legislation is not in place in many countries. Another considered that there was not a strong commitment at the national level to promote SAICM.

76. For some CEE stakeholders, the main driver for reducing risks arises from the requirements to meet the standards of EU regulations and their obligations under the BRS conventions. Other regional stakeholders highlighted the success in taking the SAICM agenda forward through establishing coordination committees, supporting development of a national framework for implementing GHS. For others SAICM is supporting countries to develop legislation, and plan for waste management.

77. Examples were provided by LAC national focal points of progress made in creating coordination secretariats bringing together focal points from the conventions, representatives from relevant ministries and non-government organisations. However, there is recognition that despite progress made reducing risk will take some time, with much work still needed conducting risk assessments of contaminated sites and health assessments of exposed people. For two LAC national focal points, the lack of success in achieving this objective was manifested through an absence of a chemicals management system and laboratories, together with a lack of awareness at the national level compounded by poor collaboration and cooperation between key agencies responsible for chemical safety.

78. For some national focal points from the Africa region. whilst national profiles, strategies and action plans have been produced, the lack of funding prevents implementation. Others are concerned that the adverse health impacts of chemicals exposure are increasing. This is within the context of low cooperation between supplies of hazardous chemicals and the competent authorities, and no regard to prior consent procedures. On the user side many of the groups that SAICM aims to reach are unaware of the dangers of exposure to chemicals with little capacity building for these target groups. The absence of poisons centres and regulations on management of electrical and electronic waste limit the progress towards the risk reduction objective.

79. For non-government stakeholders – civil society and industry – there was a high perception of success from industry reps, with a mixed view from civil society. For civil society stakeholder, whilst the provision of grants through QSP was welcomed, representatives pointed out the continuing dangers posed by stockpiles of obsolete pesticides and the high risk faced by workers, farmer and consumers from chemicals.

80. Industry representatives highlighted the evolution of legislation in the EU, Canada, Korea, Taiwan, USA resulting in a complex and comprehensive regulatory framework that effectively manages risk, with non-OECD countries being at various stages of developing regulation and implementing the GHS. However, industry reps did call for greater coordination between SAICM stakeholders observing that some larger IGO stakeholders face challenges in cooperating on some EPIs.

Table 8: Stakeholder perceptions of degree of success in achieving the 'risk reduction' objective by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	24%	43%	29%	0%	5%
Asia-Pacific	0%	75%	0%	0%	25%
Central & Eastern Europe	43%	43%	14%	0%	0%
Latin American & the Caribbean	9%	57%	13%	9%	13%
EU/JUSSCANNZ	13%	63%	6%	0%	19%
UN agencies	10%	50%	10%	10%	20%
Civil society	12%	53%	29%	0%	6%
Industry	21%	71%	7%	0%	0%

Governance

81. 63% of stakeholders rated success on this objective as either 'very successful' or achieving 'some success'. As with the preceding objectives, OECD country stakeholders considered that regulations were already in line with the Strategic Approach, and that inter-agency and inter-departmental coordination and collaboration was strong. It is worth noting that there was recognition that governance of chemicals management had been strengthened due to the Strategic Approach, particularly in being influential in supporting broader and more integrated engagement on chemicals management.

82. For UN agency representatives, the QSP was flagged as the conduit whereby progress has been made on establishing and strengthening national chemicals management governance, although one respondent pointed our that many countries remain to put in place basic legislation that would enable them to manage the risks of chemicals, with another citing the lack of (SAICM) binding mechanisms and a lack of commitment for the failure to achieve this objective.

83. For non-OECD countries, evidence of this success was the creation of multi-stakeholder national coordination committees comprising both public and private sector representatives. However, the effectiveness of such committees had in some cases been limited due to the capacity constraints of members to participate.

84. Challenges remain as many non-OECD countries do not have laws governing chemicals management, and for those that do, enforcement mechanisms for implementation remain weak. Furthermore, some respondents noted that the process of law making and establishment of regulations for chemicals management may not be considered a national priority by some, and resisted by others.

85. CEE stakeholders were unanimous that they have been very successful or have had some success in achieving this objective (see Table 8).

86. For LAC national focal points, however, the assessment was mixed. For one, governance has been significantly strengthened through maintaining and involving communities affected by pollution in decision-making. Whilst there was recognition that progress towards enhancing governance would not have been so deep without SAICM, for others governance was limited primarily due to a lack of capacity to participate in multi-sector national, regional and international mechanisms. The issue of mercury, despite being banned, continued to be used in artisan gold mining was cited as evidence of

governance failure. The fragmented regulatory structure was attributed to the low priority assigned to enforcement, codes of conduct, policy development and illegal traffic.

87. For national focal points from the Africa region 81% were of the view that there had been success in achieving this objective, reflected in the commitments made by government to ratify the chemicals conventions, although also a recognition that further efforts were needed to fully integrate and implement chemicals management a the national level.

88. Views of civil society stakeholders were also mixed. SAICM helps to elevate national chemicals management on the political agenda and to stimulate inter-ministerial coordination and cooperation in support of chemical safety objectives. However, the lack of tangible coordination persists and progress is slow. For some civil society representatives a challenge in achieving the governance objectives stems from the pressure government experiences from industry advocating for delays or elimination of chemicals management regulation.

89. Industry stakeholders were mixed in their views on the success in achieving the governance objective, with some concerned that the sound management of chemicals is not yet at a sufficient level on the political agenda.

Table 8: Stakeholder perceptions of degree of success in achieving the 'governance' objective by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	24%	57%	14%	0%	5%
Asia-Pacific	0%	25%	50%	0%	25%
Central & Eastern Europe	43%	57%	0%	0%	0%
Latin American & the Caribbean	13%	48%	17%	9%	13%
EU/JUSSCANNZ	13%	56%	13%	6%	13%
UN agencies	10%	50%	10%	10%	20%
Civil society	18%	35%	35%	6%	6%
Industry	14%	29%	29%	0%	29%

Capacity-building and technical cooperation

90. 60% of stakeholders viewed the success made in achieving the goal of 'capacity-building and technical cooperation' either 'very successful' or with 'some success'. Much of this success was attributed to the Strategic Approach Quick Start Programme. Other UN agencies, NGOs and the chemical industry have delivered capacity-building programmes in chemicals management. Those efforts were also recognised as have contributed to strengthened capacity at the national level.

91. Despite the successes of the range of different capacity-building programmes, the extent and reach of these programmes has not been sufficient to address the capacity constraints within developing countries. This has been attributed to a number of factors including the lack of priority given, as well as the ad hoc nature of the approach to capacity-building rather than a more strategic multi-stakeholder approach that includes government, NGOs and industry, as well as the organizations of the IOMC.

92. Although the QSP was cited across all stakeholder groups as accounting for the success in achieving this objective, national focal points from Africa, CEE, AP and LAC all commented that the level of technical capability to manage chemicals remains too low, including infrastructure capacity such as laboratories. Some LAC respondents attributed these shortcomings to little access to training for end-users of chemicals and information shared in English. These observations resonated with civil society respondents who highlighted the low level of technical knowledge of some government technicians compounded with a lack of capacity to act to deal with complexity of chemical safety.

Table 9: Stakeholder perceptions of degree of success in achieving the 'capacity-building and technical cooperation' objective by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	19%	52%	19%	5%	5%
Asia-Pacific	0%	25%	50%	0%	25%
Central & Eastern Europe	43%	29%	29%	0%	0%
Latin American & the Caribbean	9%	39%	30%	13%	9%
EU/JUSSCANNZ	19%	50%	13%	0%	19%
UN agencies	30%	40%	10%	0%	20%
Civil society	24%	24%	35%	0%	18%
Industry	29%	43%	29%	0%	0%

International illegal traffic

93. Progress to achieving this objective has been the least successful in the eyes of the stakeholders surveyed, with 34% of respondents who answered, indicating that achieving this goal was 'very successful' or met with 'some success'. Some respondents highlight the success that the crop protection industry has had in addressing illegal traffic, although this view has not been shared within the Strategic Approach network. Some countries with comprehensive regimes for addressing illegal traffic and that have implemented the relevant multilateral environmental agreements, have taken steps to share information with developing countries. There are examples in developing countries of training for customs officers and greater regular monitoring of borders.

94. Nevertheless, illegal international traffic remains a serious threat to developing countries. Counterfeit pesticides, trade in mercury (for artisanal and small-scale gold mining), e-waste dumping, smuggling of prohibited chemicals and a lack of public awareness and a lack of capacity of customs service were cited as some of the challenges faced in dealing with this issue.

95. A large number of respondents, from all but the Africa region, stated that they didn't know the degree of success in achieving this objective (see Table 10). For those that did, the broad consensus was that there was mainly little or no success in achieving this objective.

96. The extent of the challenge in dealing with illegal trafficking is well articulated by a civil society representative:

> Internal production of counterfeit pesticides is on the rise (use of false labels; use of false packaging or empty original packaging; small-scale production, including mixing and reducing concentrations of active ingredients; sale of chemicals in small quantities). …

Pesticides that were banned for import may be imported under other names, while banned substances may be declared as mere components.

97. Industry representatives expressed frustration that the success of the crop protection industry to prevent this kind of traffic and the information arising from this has not been widely shared with SAICM stakeholders.

Table 10: Stakeholder perceptions of degree of success in achieving the 'illegal international traffic' objective by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	19%	43%	10%	24%	5%
Asia-Pacific	0%	25%	50%	0%	25%
Central & Eastern Europe	14%	14%	29%	14%	29%
Latin American & the Caribbean	0%	30%	22%	4%	43%
EU/JUSSCANNZ	6%	38%	13%	19%	25%
UN agencies	0%	0%	20%	20%	60%
Civil society	12%	12%	12%	35%	29%
Industry	7%	36%	21%	7%	29%

Identifying and taking action on new or emerging issues

98. At ICCM2, the following EPIs were agreed: lead in paint, chemicals in products, hazardous substances within the life cycle of electrical and electronic products and nanotechnologies and manufactured nanomaterials.[54] A process for identifying further EPIs was also agreed at ICCM2. At ICCM3, endocrine-disrupting chemicals was added to this list, and at ICCM4, 'environmentally persistent pharmaceutical pollutants' were added and 'highly hazardous pesticides' were identified as an issue of concern.

99. IOMC agencies agreed to take the lead on the different EPIs with responsibility to progressing them and reporting on progress to Conference. The chair/ co-chairs of each EPI are given in Table 11:

[54] **SAICM**/ICCM.2/15, p.34

Table 11: Chairs/ co-chairs of EPIs

Lead in Paint	UNEP/ WHO	ICCM2
Chemicals in Products	UNEP	ICCM2
Hazardous substance within the life cycle of electrical and electronic products (HSLEEP)	UNIDO	ICCM2
Nanotechnology and manufactured nanomaterials	UNITAR/ OECD	ICCM2
Perfluorinated chemicals and the transition to safer alternatives	OECD/ UNEP	ICCM2
Endocrine-disrupting chemicals	OECD/ UNEP/ WHO	ICCM3
Environmentally persistent pharmaceutical pollutants	UNEP/ WHO	ICCM4
Highly hazardous pesticides	FAO/ UNEP/ WHO	ICCM4

100. Table 12 presents the degree of success respondents considered they had had in incorporating EPIs into their activities.[55] An important finding revealed by the table is the high numbers of respondents who were not able to make an assessment, with at least 40% of respondents unable to assess their success in regard to three EPIs. Only two EPIs – 'lead in paint' and 'chemicals in products' had just over 50% of respondents indicating that they had had success in incorporating these issues into their activities. The following sections looks at the success of SAICM stakeholders in addressing each of the EPIs.

Table 12: degree of success in incorporating the SAICM emerging policy issues and other issues of concern in your activities

	very successful	some success	little success	unsuccessful	don't know
lead in paint	27%	29%	5%	6%	34%
chemicals in products	14%	38%	13%	7%	28%
nanotechnology	18%	19%	14%	10%	38%
HSLEEP	12%	20%	15%	11%	41%
Endocrine disrupting chemicals	24%	22%	12%	9%	32%
Environmentally persistent pharmaceutical pollutants	8%	22%	13%	10%	46%
Perflorinated chemcials and the tranistion to safer alternatives	11%	27%	10%	8%	44%
Highly hazardous pesticides	22%	26%	10%	6%	36%

[55] A total of 93 respondents answered the question: 15 from Africa region; 4 from AP; 7 from CEE; 19 from LAC; 15 from EU/JUSSCANNZ; 9 from UN; 12 from civil society; 12 from industry

Lead in paint

101. 56% of respondents from across the stakeholder groups considered that they had been very successful or had had some success in incorporating this issue in their activities.

102. For stakeholders from EU/JUSSCANNZ region, the lead in paint issue had been addressed before it was identified as an emerging policy issue for the Strategic Approach (53% of respondents from this region stated that they didn't know the degree of success. This is assumed to relate to their knowledge about progress in the other four regions rather than their own – see Table 13.)

103. For stakeholders from developing and economy-in-transition countries, the degree of success was mixed. National focal points from the Africa region were the least positive about the degree of success they had had, with focal points from the CEE region, the most positive. For several respondents the emphasis was on promoting voluntary activities among paint manufacturers, with CEE respondents citing regulations to address this issue. Civil society stakeholders referred to IPEN's Global Lead in Paint Campaign as evidence of success, with UN agencies leading on the Global Lead Paint Alliance campaign.

Table 13: degree of success in incorporating 'Lead in Paint' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	13%	40%	7%	20%	20%
Asia-Pacific	0%	75%	0%	25%	0%
Central & Eastern Europe	29%	57%	0%	0%	14%
Latin American & the Caribbean	21%	32%	0%	11%	37%
EU/JUSSCANNZ	40%	7%	0%	0%	53%
UN agencies	22%	22%	0%	0%	56%
Civil society	50%	0%	17%	0%	33%
Industry	17%	33%	8%	0%	42%

Chemicals in products

104. Stakeholders have mixed views on the success of addressing this emerging policy issue. 52% considered they had had some success or were very successful in addressing this issue. The assessment by national focal points from the Africa and LAC regions was lower than with the figure less than 37% (see Table 10).

105. Developing country stakeholders highlighted the lack of capacity and resources to address this issue observing that most products are imported and authorities are not able to monitor for chemical composition. Civil society stakeholders expressed concern on the relationship between confidential business information and health and safety information, as expressed in the SAICM CiP programme:

According to the CiP Programme, governments are responsible for CBI [confidential business information] protection, but the Programme encourages only *"voluntary sharing of relevant information with governments."* In other words, industry does not need to provide governments with full access to information on chemicals in products but requires CBI protection instead.[56]

106. Industry stakeholders played an active role in the Steering Group for this EPI, and cited a multitude of industry-led initiatives relating to this EPI.[57]

Table 10: degree of success in incorporating 'Chemicals in Products' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	13%	20%	20%	20%	27%
Asia-Pacific	0%	75%	0%	25%	0%
Central & Eastern Europe	29%	57%	14%	0%	0%
Latin American & the Caribbean	0%	37%	11%	11%	42%
EU/JUSSCANNZ	20%	40%	13%	0%	27%
UN agencies	0%	33%	11%	0%	56%
Civil society	33%	25%	17%	8%	17%
Industry	8%	58%	8%	0%	25%

Nanotechnology and manufactured nanomaterials

107. 37% of stakeholders expressed the view that they were either very successful or had some success in addressing this issue. The indicator of success relates to progress in: developing guidelines on use; research on immunotoxicology of nanomaterials; developing nanotechnology testing tools; scoping reports on potential use and health, environmental and safety implications; workshops on awareness raising and e-learning courses; stakeholder dialogues.

108. For EU/JUSSCANNZ stakeholders the creation of this EPI has had little impact on work in this region as activities to address this EPI were well underway before the establishment of this SAICM initiative.

109. National focal points from Africa, CEE and LAC regions indicated fairly low success rates in this EPI (see Table 11). For the Africa and LAC regions this issue has not been addressed to date and there is a need for awareness-raising among the general public. Countries lack information and expertise on this issue.

110. For UN agencies – OECD in particular – the focus is on developing risk assessment methodologies for nanomaterials. Industry stakeholders have been involved in OECD's Working Party on Nanomaterials. In addition industry research projects on nanomaterials were undertaken under the Long Range Research initiative – funded by the ICCA.

[56] IPEN (2015) Citizens' Report 2012-2015: implementation of the Strategic Approach to International Chemicals Management (SAICM) by IPEN participating organizations. p. 19

[57] See http://www.uscib.org/uscib-content/uploads/2016/12/SAICM-OOG-Industry-Input-October-2016.pdf

Table 11: degree of success in incorporating 'Nanotechnology' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	13%	13%	20%	20%	33%
Asia-Pacific	0%	75%	0%	25%	0%
Central & Eastern Europe	0%	29%	43%	14%	14%
Latin American & the Caribbean	0%	21%	11%	16%	53%
EU/JUSSCANNZ	27%	27%	7%	0%	40%
UN agencies	22%	11%	22%	0%	44%
Civil society	25%	0%	17%	17%	42%
Industry	33%	17%	0%	0%	50%

Hazardous substances within the lifecycle of electrical and electronic products (HSLEEP)

111. As with the nanomaterials, this EPI also had low rating with 32% of respondents considering that they were very successful or had had some success in addressing this issue.

Amongst the EU/JUSSCANNZ countries and countries in Central and Eastern Europe, this success relates to: the creation of legislation that regulates electrical and electronic waste; the efforts of industry associations in raising awareness of this emerging policy issue amongst the electronics industry; development of guidelines for export of second hand electrical and electronic goods.

112. For those stakeholders (38%) who felt that little or no success was being achieved in this area (mainly in developing countries), they noted the increasing issue of electronic waste and the potential environmental and health impacts of this phenomenon. Factors accounting for the lack of success included a lack of public awareness of the issue, and the lack of legislation, capacity and resources to deal with this issue effectively.

Table 12: degree of success in incorporating 'HSLEEP' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	13%	13%	33%	27%	13%
Asia-Pacific	0%	50%	50%	0%	0%
Central & Eastern Europe	14%	29%	29%	0%	29%
Latin American & the Caribbean	0%	32%	16%	5%	47%
EU/JUSSCANNZ	27%	13%	7%	0%	53%
UN agencies	0%	33%	0%	11%	56%
Civil society	17%	25%	0%	25%	33%
Industry	8%	8%	8%	0%	75%

Endocrine disrupting chemicals

113. Just under half of respondents considered that they have been very successful or have had some success in addressing this issue. For EU/JUSSCANNZ countries EDCs are high on the political agenda, with the focus on research and awareness-raising of what are, and the potential dangers of EDCs, the identification of EDCs and the development of testing regimes for assessing impacts on health and wildlife. Work within the OECD is focused on developing methodologies for identifying endocrine disruptors. Activities across the regions to address this EPI are at the preliminary stages of work.

114. There is on-going debate between stakeholders as to the testing regime that is most appropriate for EDCs. Those that advocate a (linear) dose-response function approach for each chemical in isolation, are at odds with those that advocate a non-linear approach to risk assessment that also addresses the issue of synergistic effects of combinations of more than one EDCs. Furthermore, these advocates also argue for risk assessment that distinguishes between the different effects for different ages – from fetuses, to children, to reproductive adults, to older people. [58]

Table 13: degree of success in incorporating 'Endocrine disrupting chemicals' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	20%	20%	13%	20%	27%
Asia-Pacific	25%	25%	25%	25%	0%
Central & Eastern Europe	14%	29%	29%	14%	14%
Latin American & the Caribbean	0%	26%	11%	16%	47%
EU/JUSSCANNZ	20%	27%	7%	0%	47%
UN agencies	22%	11%	11%	11%	44%
Civil society	25%	33%	25%	0%	17%
Industry	42%	17%	8%	0%	33%

Environmentally persistent pharmaceutical pollutants

115. While this issue was only adopted as a Strategic Approach emerging policy issues at ICCM4 in 2015, awareness was raised about the issue at Strategic Approach regional meetings in 2013-2014. Few respondents (30%) considered that they had been very successful or had had some success in addressing this issue, with this EPI having the greatest number of respondents (46%) who were not able to make an assessment. These perspectives were common across the SAICM stakeholders (see Table 14).

116. EU/JUSSCANNZ stakeholders had success through their own research and environmental risk assessments. Industry stakeholder organisations have developed the Eco-Pharmaco-Stewardship

[58] See for example, WHO/UNEP (2012) State of the Science of Endocrine Disrupting Chemicals 2012: summary for decision makers, p. 19

(an environmental management approach involving multi-stakeholder collaboration) and raised awareness within the EU of appropriate medicine disposal through a social media campaign.[59] Similarly, GEF (UN agency stakeholder) has many threads of work on this issue, independent of the SAICM 'banner'. Some regional stakeholders have started to engage with the pharmaceutical companies and the Ministry of health.

Table 14: degree of success in incorporating 'Environmentally persistent pharmaceutical products'' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	13%	27%	20%	13%	27%
Asia-Pacific	0%	75%	0%	25%	0%
Central & Eastern Europe	0%	43%	14%	14%	29%
Latin American & the Caribbean	0%	16%	16%	16%	53%
EU/JUSSCANNZ	13%	33%	7%	0%	47%
UN agencies	0%	22%	11%	11%	56%
Civil society	8%	8%	8%	17%	58%
Industry	8%	0%	17%	0%	75%

Perfluorinated chemicals and the transition to safer alternatives

117. 38% of respondents considered that they were very successful or had had some success in addressing this issue. Much of this success was attributed to the regulatory regimes in the EU and EU/JUSSCANNZ countries (see Table 15). Within developing countries, stakeholders lacked the resources and capacity to monitor this group of chemicals. UN agencies -- OECD and UNEP – have made progress in raising awareness of these compounds but the actual transition to safer alternatives is very slow. Transitioning to safer alternatives will not take place in the short term.

Table 15: degree of success in incorporating 'Perfluorinated chemicals' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	20%	13%	13%	20%	33%
Asia-Pacific	0%	75%	25%	0%	0%
Central & Eastern Europe	14%	29%	29%	0%	29%
Latin American & the Caribbean	0%	16%	5%	21%	58%
EU/JUSSCANNZ	20%	33%	0%	0%	47%
UN agencies	0%	22%	11%	0%	67%
Civil society	17%	25%	8%	8%	42%
Industry	0%	33%	8%	0%	58%

[59] SAICM (2016) Supporting implementation of the Overall Orientation and Guidance for achieving the 2020 goal. Industry input. SAICM/ICCM.5/Bureau.1/3 p. 19

Highly hazardous pesticides

118. Highly hazardous pesticides (HHPs) were formally taken up by Strategic Approach stakeholders at ICCM4 in 2015 as an issue of concern. At the same time, awareness was raised through discussions at Strategic Approach regional meetings in 2013-2014. 48% of respondents considered that they were very successful or had had some success in addressing this issue. Much of this success was attributable to national legislation banning the production and use of a number of such pesticides. Whilst this EPI was not seen to be relevant for the regulatory regime in EU/JUSSCANNZ and countries, where effective regulation is in place, the other regions continue to face challenges of illegally imported HHPs and lack of engagement of the private sector.

119. In developing countries, civil society organisations have done much to raise awareness among farmers, national governments and regional bodies of the dangers of using such pesticides and supporting transition to alternative farming systems.[60] Representatives of the crop protection industry (producers of pesticides) have also committed to a voluntary review of their pesticide portfolio to identify those that meet the HHP criteria, and have committed to adopt appropriate measure to manage risk which could include the withdrawal of specific pesticides.[61]

Table 16: degree of success in incorporating 'HHPs' EPI in activities by stakeholder group

	very successful	some success	little success	unsuccessful	don't know
Africa	20%	33%	13%	13%	20%
Asia-Pacific	25%	75%	0%	0%	0%
Central & Eastern Europe	29%	43%	14%	14%	0%
Latin American & the Caribbean	11%	32%	16%	5%	37%
EU/JUSSCANNZ	33%	20%	7%	0%	40%
UN agencies	11%	0%	22%	0%	67%
Civil society	33%	25%	0%	17%	25%
Industry	17%	8%	0%	0%	75%

[60] WHO/UNEP (2012) State of the Science of Endocrine Disrupting Chemicals 2012: summary for decision makers, p. 25
[61] SAICM (2016) Supporting implementation of the Overall Orientation and Guidance for achieving the 2020 goal. Industry input. SAICM/ICCM.5/Bureau.1/3 p. 7

Coordination and cooperation with relevant multilateral environmental agreements and organizations of the Inter-Organization Programme for the Sound Management of Chemicals

Coordination and cooperation with the Basel, Rotterdam and Stockholm conventions

120. In 2013, the secretariats of the Basel, Rotterdam and Stockholm conventions were requested by the Conference of the Parties to further enhance cooperation and coordination with SAICM.[62]

121. In response to this request, over the period 2013-2015[63] the secretariats of the three conventions established an internal taskforce to assess the possible areas for cooperation and collaboration. Following the taskforce's assessment the following activities were conducted[64]:

- HSLEEP EPI: Provision of inputs relevant to the Basel and Stockholm conventions to the work led by UNIDO
- Perfluorinated chemicals (PFCs) and the transition to safer alternatives EPI: participated in meetings of the Global PFC Group and exchanged information about the perfluorinated chemicals listed in the annexes to the Stockholm Convention
- Organisation of a joint side event on the links between POPS and EDCs. This event was a collaboration with UNEP, WHO and the BRS Secretariat, with support from the Government of Norway.
- Provision of inputs into the production of the Overall Orientation and Guidance document
- Collaborated with the SAICM Secretariat, UNEP Chemicals and others to ensure issues related to chemicals and waste management were integrated into the post-2015 development agenda and SDGs
- Sraed information with the SAICM Secretariat on projects focused on technical assistance and capacity-building activities
- Supported the SAICM Secretariat in organizing online meetings of the Bureau, for regional and sectoral consultations in preparation of OEWG2 and ICCM4 and webinar briefings on the OEWG2 of SAICM.

Coordination and cooperation with the IOMC

122. For the IOMC agencies, coordination and cooperation were in the areas of the SAICM international and regional meetings, the QSP (both as member of the implementing committee and as executing agencies for many of the projects themselves), and in their role as chairs/ co-chairs of the EPIs.

[62] CHW.12/19-UNEP/FAO/RC/COP.7/15-UNEP/POPS/COP.7/31, paragraph 3
[63] The final report (due on 30 June 2018) will include a review of cooperation and collaboration between the three conventions and SAICM for the period 2006-2013.
[64] The following is a summary of SAICM//ICCM.4/INF/24

Quick Start Programme

123. The IOMC participating organisations (with the exception of the World Bank) had high attendance rates at the 17 QSP Implementing Committee meetings over the 2006-2015 period with all attending at least 15 meetings. The World Bank attended less than half of the meetings held after that agency became a member of the IOMC in 2010 (attending four out of nine meetings).

124. IOMC participating organisations also played a major role in providing technical support in developing the QSP project proposals, as well as playing a role as executing agencies for many of the approved QSP projects. As of 3 August 2015, a total of US$33.95 million had been allocated to 152 projects, of which 113 had IOMC agencies as executing agencies. UNITAR played the greatest role, acting as executing agency for 69 (of the 113) projects.[65] The role of UNITAR in such a large number of single country studies creates the potential for significant exchange of knowledge between developing countries through this agency.

125. The IOMC participating organisations faced a number of challenges in their role as executing agencies for the QSP projects reflected in the delays in completion. By August 2015, IOMC agencies were executing agencies for 59 of the 64 projects that were running, on average two years late. Twelve of the IOMC executed projects were three or more years late. Of the 64 projects running late, the majority of them had completed their activities but had failed to submit final narrative reports, M&E reports and/ or financial reports.[66]

Emerging Policy Issues and other issues of concern[67]

126. IOMC agencies have also played a key role in supporting the EPI process. Table 11 above gives the IOMC agency lead/ co-lead for each EPI. The success of the IOMC leads in taking forward their respective EPI agendas has been mixed.

Lead in paint

127. Progress made in taking forward the 'Lead in Paint' EPI agenda has been particularly successful. Reports on progress made over the period 2009-2012 presented at ICCM3, highlighted the work of the Global Alliance for the Elimination of Lead in Paint – and the development of a business plan. An important component of the Business Plan was the establishment of baseline data that could be used to monitor progress in attaining the Global Alliance's overall goal and specific objectives. [68] Furthermore, the Global Alliance was successful in securing funding from the governments of the USA, Germany, Norway and Sweden to fund a 0.8FTE post, to cover costs of meetings and start-up funds.[69]

128. At ICCM4, tangible results were reported to Conference of the work of the lead in paint EPI that included: 57 governments had put legally binding restrictions in place regarding lead paint, with a further 14 stating that they were in the process of putting such measures in place. These figures related to the targets set in the business plan - 30 countries by 2013; 70 or more countries by 2015;

[65] SAICM/EB.10/4, Annex 1
[66] SAICM/EB.10/4 Annex 1
[67] The intention of this section is to reflect on the successes of the leads / co-leads of the emerging policy issues rather than the assessment of the performance of the EPIs which is the focus of the proceeding section.
[68] SAICM/ICCM.3/14, Annex, paragraph 4
[69] SAICM/ICCM.3/14, paragraph 23

and all countries by 2020.[70] Furthermore, a list of additional actions for the period 2014-2020, together with targets and indicators was presented to Conference.[71]

Chemicals in products

129. The Chemicals in Products EPI has had some success in progressing this issue. Over the period from ICCM2 to ICCM3 (2009-2012) a scoping and stakeholder mapping exercise was conducted, as well as the completion of four sector-specific case studies – building products, electronics, toys and textiles.[72]

130. At ICCM3, Conference further resolved that this EPI should develop a proposal for a voluntary international programme for information on chemicals in products along the supply chain and throughout their life cycles. During the inter-sessional period (2012-2015), this EPI lead convened the development of the requested proposal. In addition, continued engagement and the inclusion of the four sector representatives on the Chemicals in Products steering group. Piloting of the voluntary international programme in the textiles sector in China commenced (with funding from the GEF).[73]

131. Progress in regard to the Hazardous substance within the life cycle of electrical and electronic products (HSLEEP) EPI has been slow. During the period 2009-2012 an international workshop was convened, made possible through the funding received from Ministry of Environment of Japan, the Ministry of the Environment of Sweden, the United States Environmental Protection Agency and the United Nations Industrial Development Organization (UNIDO).[74] The workshop resulted in a number of recommendations for the sound management of hazardous substances within the lifecycle of products.

132. At ICCM3 Conference decided to continue to work to identify, compile and create an international set of best practice resources for the management of hazardous substances within the lifecycle of electrical and electronic products, drawing on existing initiatives and opportunities for collaboration.[75] Conference further agreed to endorse 13 additional GPAs relating to the HSLEEP EPI.[76]

133. During the period 2012 to 2015, progress on this EPI centred on downstream activities providing support to developing countries for the development of sustainable e-waste management schemes; development of private-public partnerships; establishment of an informal network for work on e-waste, including a pilot study looking at heavy metals in children living and studying near an e-waste site in Thailand; organisation of side events by UN entities to highlight importance of tackling HSLEEP; a survey of HSLEEP to map existing tools for management of HSLEEP; adoption of technical guidelines by t he Basel Convention; development and endorsement by 200 public interest NGOs of "A challenge to the global electronics industry to adopt safer and more sustainable products and practices, and eliminate hazardous chemicals, exposures and discharges".[77]

134. A proposed work plan for the period 2016-2020 was produced, based on the 13 GPAs endorsed at ICCM3. However, no report was made at ICCM4 on progress made towards the 13 GPA activities for the period 2012 to 2015.[78]

[70] SAICM/ICCM.4/9, paragraph 8
[71] SAICM/ICCM.4/INF/14, Table 1
[72] SAICM//ICCM.3/13, paragraphs 16-19
[73] SAICM/ICCM.4/9, paragraphs 21-25
[74] SAICM/ICCM.3/INF/24, p.3
[75] Resolution lll/2, paragraph D.3
[76] SAICM/ICCM.3/24 paragraph 153
[77] SAICM/ICCM.4/9 paragraph 29-37
[78] SAICM/ICCM.4/INF/18, Section V

135. Three areas of work were conducted under the Nanotechnology and manufactured nanomaterials EPI for period 2009-2012: UNITAR held a series of awareness-raising workshops in association with Strategic Approach regional meetings; pilot activities with support from the Government of Switzerland, were undertaken in Colombia, Nigeria and Thailand to explore the development of national nanotechnology-related policies; a report on nanotechnologies and manufactured nanomaterials, including issues of relevance to developing countries and countries with economies in transition, has been coordinated by the Strategic Approach secretariat.[79]

136. At ICCM3 several representatives expressed concern over the lack of available information on the benefits and risks posed by manufactured nanomaterials and the ethical and social issues they raised. They supported technical, institutional and legal information sharing, technology transfer and capacity-building activities, especially in relation to health and environmental protection. Conference endorsed the addition of 13 GPAs specific to this EPI.[80]

137. During the period 2012-2015, UNITAR, with funding from the Government of Switzerland, embarked on a second phase of pilot projects at the national level, in Armenia, Jordan and Viet Nam, building on the first pilot projects; UNITAR produced a guidance document and e-learning course 'An introduction to nanomaterial safety' that was delivered twice in 2014; UNITAR and OECD hosted regional meetings on capacity-building on nanosafety in the LAC, AFR and AP regions. OECD continued to develop freely available on-line tools for assessing nanotechnologies and nanomaterials for regulatory purposes; WHO convened and expert meeting in 2015 to begin the preparation of a new WHO International Programme on Chemical Safety environmental health criteria document on principles and methods for assessing the risk of immunotoxicity associated with exposure to nanomaterials.[81]

138. OECD and UNITAR prepared a report for ICCM4 that provided an assessment of progress made in the activities in the GPA specific to this EPI (endorsed at ICCM3).[82]

Perfluorinated chemicals and the transition to safer alternatives

139. During the period 2009-2012, the following activities under the 'Perfluorinated chemicals and the transition to safer alternatives' EPI were conducted:

- Establishment of a web-based portal on perfluorinated chemicals (www.oecd.org/ehs/pfc);
- Release of a 2009 OECD survey on perfluorinated chemicals;
- Web-based seminars;
- Workshop on perfluorinated chemicals held on 5 September 2011, immediately preceding the third Strategic Approach regional meeting for Asia and the Pacific;
- Establishment of a global perfluorinated chemicals group that developed a draft programme of work.[83]

140. Resolution lll/3 at ICCM3 noted that a significant need remained for additional work to support the implementation of resolution ll/5, and invited the Global PFC Group to broaden out participation in the work on perfluorinated chemicals beyond the member countries of the

[79] SAICM//ICCM.3/13, paragraph 22
[80] SAICM//ICCM.3/24 paragraphs 124 & 129
[81] SAICM/ICCM.4/9 paragraphs 40-49
[82] SAICM//ICCM.4/INF/19, Section lll
[83] SAICM//ICCM.3/13, paragraph 23

Organization for Economic Cooperation and Development as an important mechanism for achieving further progress in this area and to report on progress to the Conference at its fourth session.[84]

141. Over the period 2012-2015, the activities carried out under this EPI were:

- Production of two reports: a *Synthesis paper on per- and polyfluorinated chemicals (PFCs);* A report on risk reduction approaches for per- and polyfluoroalkyl substances (PFASs)
- Implementation of a revised structure to the web portal
- Efforts made to engage a wider group of stakeholders to participate in the work of the Global PFC Group

Endocrine-disrupting chemicals

142. The EPI 'Endocrine-disrupting chemicals" was agreed by Conference at ICCM3 in 2012. Over the period 2012-2015, the co-leads produced a report *State of the Science of Endocrine Disrupting Chemicals – 2012*. A workplan was developed by the co-leads, resulting in awareness-raising workshops held on the back of regional meetings in Africa, CEE, Asia-Pacific and Latin America and the Caribbean. In addition, WHO convened an expert meeting in Bonn; OECD continued to develop and update existing test guidelines.[85]

International meetings

143. Whilst the IOMC participating organisations attendance rates at the international meetings – ICCM1, ICCM2, ICCM3, ICCM4, OEWG1 and OEWG2, were high, participation at the regional meetings was low. Table 17 below shows the numbers of regional meetings attended by each IOMC participating organisations. With the exception of UNITAR (100%), WHO (91%) and UNEP (87%) all attendance rates were less than 50%,

Table 17: IOMC agency attendance at regional meetings (2006-2015)[86]

Agency	Percentage of regional meetings attended
FAO	43
UNIDO	26
UNDP	39
WHO	91
OECD	43
UNEP	87
UNITAR	100
ILO	17
World Bank[87]	9

[84] SAICM/ICCM.3/24, p.40
[85] SAICM/ICCM.4/9, paragraphs 51 to 56.
[86] There were a total of 22 regional meetings (see Figure 2): five in Africa region; four in AP; five in CEE; four in LAC; five in EU/JUSSCANNZ.

Maintenance and development of indicators of progress

144. In 2009 the 20 indicators of progress were agreed at ICCM2 as a means to monitor the performance of countries in making progress to each of the five overarching policy strategy objectives.[88] The 20 indicators of progress are listed in Table 18 below.

Table 18: Indicators of Progress

Objective	Indicator of progress
Risk reduction	1. Number of countries (and organizations) implementing agreed chemicals management tools 2. Number of countries (and organizations) with mechanisms to address key categories of chemicals 3. Number of countries (and organizations) with hazardous waste management arrangements 4. Number of countries (and organizations) engaged in activities that result in monitoring data on selected environmental and human health priority substances 5. Number of countries (and organizations) having mechanisms in place for setting priorities for risk reduction
Knowledge & information sharing	6. Number of countries (and organizations) providing information according to internationally harmonized standards 7. Number of countries (and organizations) that have specific strategies in place for communicating information on the risks associated with chemicals to vulnerable groups 8. Number of countries (and organizations) with research programmes 9. Number of countries (and organizations) with websites that provide information to stakeholders
Governance	10. Number of countries (and organizations) that have committed themselves to implementation of the Strategic Approach 11. Number of countries (and organizations) with multi-stakeholder coordinating mechanism 12. Number of countries (and organizations) with mechanisms to implement key international chemicals priorities
Capacity-building & technical cooperation	13. Number of countries (and organizations) providing resources (financial and in kind) to assist capacity-building and technical

[87] World Bank became a member of IOMC in 2010 and attended no meetings as an IOMC member. However, the World Bank did attend two regional meetings – one in 2006, the other in 2007.
[88] SAICM/ICCM.3/INF/5 paragraph 15

	cooperation with other countries 14. Number of countries (and organizations) that have identified and prioritized their capacity-building needs for the sound management of chemicals 15. Number of countries (and organizations) engaged in regional cooperation on issues relating to the sound management of chemicals 16. Number of countries where development assistance programmes include the sound management of chemicals 17. Number of countries (and organizations) with projects supported by the Strategic Approach's Quick Start Programme Trust Fund 18. Number of countries (and organizations) with sound management of chemicals projects supported by other sources of funding (not Quick Start Programme funding)
Illegal international traffic	19. Number of countries having mechanisms to prevent illegal traffic in toxic, hazardous and severely restricted chemicals individually 20. Number of countries having mechanisms to prevent illegal traffic in hazardous waste

145. A baseline report covering the period 2006-2008, and two progress reports (2009-2010; 2011-2013) have been produced, reviewing countries' performance in making progress towards the five overarching policy objectives, as reflected by the 20 indicators.[89]

146. Whilst the baseline data collected in 2006-2009 was voluminous, it did not lend itself to translation of the data into a form that could be used to populate the 20 indicators. Consequently, the data collection exercise did not allow for the development of a comprehensive baseline for all 20 indicators. In the event, baseline estimates were only possible for seven of the indicators.[90] An on-line questionnaire was developed to generate relevant data for the first progress report. This questionnaire was also used to collect data for the second progress report, resulting in comparable data to assess progress made for each of the 20 indicators over the two reporting periods (2009-2012 and 2011-2013). Data collection for the 2014-2016 progress report is underway, using the same methodology as the previous two surveys.

147. The response rate for government representatives was 40% in the first round of data collection [91] , and for the second round a similar response rate of 43% (that included all stakeholders).[92]

148. The common approach to data collection across the two reporting periods enabled a comparative analysis to be conducted that resulted in the following notable conclusions[93]:

[89] See SAICM/ICCM.3/INF/5 for the baseline report; SAICM/ICCM.3/INF/6 for the first progress report; SAICM/OEWG.2/INF/4 for the second baseline report. An on-line survey is currently open (until 31 March 2018) to seek feedback on the progress for the period 2014-2016.
[90] SAICM/ICCM.3/INF/5, paragraphs 107-109
[91] SAICM/ICCM.3/INF/6, paragraph 22
[92] SAICM/OEWG.2/INF/4, paragraph 103
[93] SAICM/OEWG.2/INF/4, paragraphs 106, 107, 108f, 113

- The gap between countries in different development categories (DAC status) seems to be widening rather than narrowing with the increases in levels of activity reported by developed (non-DAC) and upper middle income countries contrasting with reductions or no change in the least developed countries.
- International chemicals management remains at a low level, such that the current rate of progress will be insufficient to have most of the activities (indicators) underway in the majority of countries by 2020.
- NGO respondents were generally more effective in targeting more vulnerable groups than government respondents, reporting communications with 65% more specific groups than their government counterparts.
- Of the non-legally binding aspects of SAICM, establishment and participation in national committees was in the top 10 of activities reported, suggesting a comparative advantage of SAICM in this area.
- The second progress report provided reflections on the efficacy of the 20 indicators.[94] There were challenges in integrating the contributions of non-government stakeholders due to stakeholders' own surveys and reports that were not fully reflected in the on-line submissions. These challenges raises the question as to whether the on-line survey should be restricted to government national focal points with non-government stakeholders' information presented as complementary information.
- The subjective nature of the indicators is problematic. What is missing is objectively verifiable results-based indicators that reflect progress (or otherwise) to minimizing health and environment affects of chemicals production use and disposal.

149. Nevertheless, the indicators are 'user friendly', simple and straightforward. The data generated from monitoring of the 20 indicators has been used to report on progress made towards the 2020 goal at ICCM3 and ICCM4. The regular reporting on these 20 indicators has allowed for an assessment of the progress made over time and highlight areas of success and areas of concern, as well as areas of action that are required.[95]

150. Results from the on-line survey designed for this evaluation revealed that 59% of respondents considered that indicators of progress had been very effective or had had some effect in assessing progress towards the sound management of chemicals and waste (see table 19).

[94] SAICM/OEWG.2/INF/4, paragraphs 114-119
[95] SAICM (2015) Summary report on progress in the implementation of the Strategic Approach for the period 2011–2013. SAICM/ICCM.4/3

Table 19: Stakeholder perceptions on effectiveness of indicators of progress in measuring progress towards the 2020 goal

very effective	some effect	little effect	ineffective	don't know
8%	51%	19%	4%	18%

151. Industry and UN agency stakeholders were the least sanguine in regard to the effectiveness of the indicators in measuring progress (see Table 20). Reasons for stakeholder skepticism included the subjective nature of self-reporting, under-reporting, the lack of a results-based framework and the lack of applicability to non-government stakeholders.

152. A shared view cross stakeholder groups was the need to continue to monitor these indicators. Two rounds of data common data collection with a third round currently underway has produced a dataset that stakeholders consider useful and relevant for assessing progress made to achieving the 2020 goal. The indicators are 'user friendly', simple and straightforward. However, equally shared was the recognition of the limitations of the indicators, particularly that they are not able to monitor the effectiveness or impact of the activities that they are measuring. This was also the conclusion of the comparative analysis presented at OEWG2 (see above).

153. Respondents also cautioned that further application of the indicators to the emerging policy issues may be causing further challenges. Other challenges include, inconsistent reporting across all countries and under-reporting.

154. Nevertheless, retaining the existing 20 indicators of progress to 2020 is appropriate given the baseline that has been developed and useful insights are gained when comparing results over different time periods.[96] Some regions have produced detailed reports on progress made towards the 20 indicators.[97]

Table 20: Stakeholder group perceptions on effectiveness of indicators of progress in measuring progress towards the 2020 goal

	very effective	some effect	little effect	ineffective	don't know
EU/JUSSCANNZ	6%	63%	19%	0%	13%
un	0%	20%	30%	20%	30%
cee	29%	57%	0%	0%	14%
afr	21%	58%	16%	0%	5%
ap	0%	75%	25%	0%	0%
lac	8%	42%	4%	4%	42%
civil	0%	67%	27%	7%	0%
industry	0%	38%	46%	0%	15%

AICM (2015) Summary report on progress in the implementation of the Strategic Approach for the period 2011–2013. SAICM/ICCM.4/3

AICM/OEWG.2/INF/4, paragraph 103

155. With the introduction of the 11 basic elements towards the sound management of chemicals. In 2015 the Overall Orientation and Guidance, which describes eleven basic elements of chemicals management, was welcomed by the ICCM and consideration was given to considering the 20 indicators of progress in-line with the eleven basic elements. Whilst, this alignment fits up to a point, the challenge of integrating the basic elements with the existing 20 indicators of progress has been acknowledged:

> While there is some coherence in this relationship, stakeholders may wish to further examine the indicators with a view to improving their coverage of the basic elements for future reporting.[98]

Identifying and taking action on regional and subregional needs for advancing sound management of chemicals and waste

156. A summary of regional progress towards the 2020 goal was developed and presented to the fourth session of the International Conference on Chemicals Management in Information Document SAICM/ICCM4/INF/1. This document includes a compilation of the summaries of chemicals challenges provided by the regional focal points for Africa, Central and Eastern Europe, Latin America and the Caribbean, and Asia-Pacific. The regional summaries were prepared as an outcome of the Strategic Approach regional meetings held in 2013-2014, reflecting on the successes of the Strategic Approach in the regions and identifying specific challenges in advancing efforts towards the implementation of the Strategic Approach.

157. The information presented within this section of the interim report compiles initial findings from the online survey, reflecting on the implementation of activities within the Global Plan of Action (GPA), building on the findings of the regional meetings reflected in the referred Information Document.

African Region

158. The most pressing needs in the region were identified as the sound management of agrochemicals, mercury (particularly for use in artisanal and small-scale gold mining) and persistent organic pollutants. Stockpiles of chemicals and obsolete pesticides, as well as electronic waste and petroleum waste are becoming increasingly problematic in many countries in the region.[99]

159. To put the extent of the problem of agrochemicals in perspective, it has been estimated that the costs of injury to pesticide users in 37 sub-Saharan countries (conservatively defined as lost work days, outpatient medical treatment and inpatient hospitalization) was USD 4.4 billion in 2005, exceeding the total annual overseas development aid given to the region for basic health services, excluding HIV/AIDS in 2013. A conservative estimate (assuming 2013 (inadequate) capacity levels) puts the predicted cost at USD 97 billion by 2020 – a twenty-twofold increase.[100]

160. Table 21 provides Africa national focal point perspectives on the success in implementing activities identified in the Global Plan of Action that address the five overarching policy objectives. Despite the challenges flagged in the preceding paragraphs, at least 50% of respondents were of the

[98] SAICM (2015) Summary report on progress in the implementation of the Strategic Approach for the period 2011–2013. SAICM/ICCM.4/3 p.15
[99] SAICM/ICCM.4/INF/1, paragraph 3
[100] SAICM/ICCM.4/INF/1, paragraph 4

view that countries had been successful in implementing such activities. In the case of 'Knowledge and information sharing' and 'Governance' the figures were as high as 64% and 74% respectively.

161. The continued lack of funds was highlighted as a factor reducing the success of implementing activities that addressed the five objectives.

Table 21 Degree of success in implementing activities identified in the Global Plan of Action that address the OPS objectives – Africa Region

	very successful	some success	little success	unsuccessful	don't know
risk reduction	16%	47%	26%	0%	11%
knowledge & information sharing	16%	58%	11%	11%	5%
governance	26%	58%	11%	0%	5%
capacity-building & technical cooperation	16%	53%	16%	5%	11%
illegal international traffic	16%	37%	11%	26%	11%

Risk reduction

162. Success was reflected in the establishment of partnerships with stakeholders on committees and other groups mandated to reduce risks; Quick Start Programme (QSP) funded projects focusing on the agricultural sector as well as chemical inventories and national chemicals profiling, leading to information and dissemination activities; development of national strategies and action plans for chemicals and waste management; GEF funded project addressing health care without harm initiatives focusing on dioxins and mercury pollution[101,102].

163. An identified priority area to address risk reduction was the development of poison control centres. The 'Summary of regional progress towards the 2020 goal' report in 2015 flagged that there were only 14 centres located in nine countries in the region. Approximately, 770 million people living in 45 countries were without a single pesticide control centre.[103] Although a QSP project conducted a feasibility study for a regional poison centre for the East Africa sub-region, a regional poison is yet to be established. The total number of poisons centres in the region was 15 in ten countries by September 2017.[104]

[101] See gefmedwaste.org for further information on the health care without harm projects in Senegal
[102] See http://www.ipen.org/sites/default/files/documents/ipen-2015-citizens-report-saicm-v2_5-web.pdf, pp. 39-42 for a list of GPA activities in Anglophone Africa, and pp. 72-75 for Francophone Africa, addressing risk reduction
[103] SAICM/ICCM.4/INF/1, paragraph 12.
[104] http://www.who.int/gho/phe/chemical_safety/poisons_centres/en/

Morocco has had success in decontaminating old storage sites of DDT with 50 tonnes being sent to France for specialized treatment, with the funds being secured form the national budget.[105]

Knowledge and information

164. Success was reflected in the establishment of information exchange mechanisms. There was recognition that at the national and sub-national levels, the means of communication and information sharing are not the same in different sectors; access to the internet is inconsistent. It was noted that the QSP enabled much of this work to get started. As a result there are examples of workplaces in Africa that are now aware of chemical safety issues, with many having designed workplace health and safety policies in which chemicals safety is prioritized. There has also been information sharing on the chemicals conventions that have been ratified, as well as information and awareness-raising of the Minamata Convention on Mercury.[106]

Governance

165. Success was reflected through examples of multi-sectoral coordination operating through national coordinating committees and submission of draft laws on chemicals and waste. Other examples of success included establishment of health and safety committees, workplace policies and codes of conduct, together with workplace audits. The appointment of national focal points for SAICM, Rotterdam, Stockholm, Basel together with national programmes for management of chemicals and waste, with associated action plans, were all cited as successful activities.[107]

166. By 2015, 49 of the 54 countries within the region had nominated SAICM National Focal Points, with 51 countries having ratified the Basel Convention, 45 to Rotterdam Convention and 52 the Stockholm Convention, reflecting the high level of commitment across the region to the major international chemicals conventions. This commitment is further demonstrated by the Libreville Declaration – a call for action to address health and environment issues among the 52 signatories, with the establishment of a Health and Environment Strategic Alliance.[108]

167. Zambia has been particularly successful in mainstreaming chemicals and wastes into national financing as a result of a QSP mainstreaming project. The Zambian Environment Management Authority (EMA) retains fees raised through licensing of chemicals manufacture and registration, importation and export, and uses them for monitoring and enforcement.[109]

Capacity building and technical cooperation

168. Success was reflected in the exchange and information sharing workshops that have taken place. Technical expertise was provided during QSP funded projects for the preliminary work on setting up the GHS. Other training workshops included those for workplace supervisors on sound management of chemicals; training workshops for those national actors responsible for implementation of chemicals and waste related conventions.[110]

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[105] online survey respondent

[106] See http://www.ipen.org/sites/default/files/documents/ipen-2015-citizens-report-saicm-v2_5-web.pdf, pp. 42-45 for a list of GPA activities in Anglophone Africa, and pp. 75-77 for Francophone Africa, addressing knowledge and information sharing.

[107] See http://www.ipen.org/sites/default/files/documents/ipen-2015-citizens-report-saicm-v2_5-web.pdf, pp. 45-46 for a list of GPA activities in Anglophone Africa, and p. 77 for Francophone Africa, addressing governance.

[108] SAICM/ICCM.4/INF/1, paragraphs 24-27

[109] SAICM/ICCM.4/INF/1, paragraph 29

[110] See http://www.ipen.org/sites/default/files/documents/ipen-2015-citizens-report-saicm-v2_5-web.pdf, pp. 46-47 for a list of GPA activities in Anglophone Africa, and p. 77 for Francophone Africa, addressing capacity building.

169. A QSP project in Mali aimed at reducing use of mercury in artisanal and small-scale gold mining (in cooperation with UNIDO) laid the ground-work for the coordination and collaboration required for project formulation to establish a broader regional project in this area in Francophone West Africa (Burkina Faso, Mali and Senegal), securing approximately 2.2 million USD in financing (from the GEF and the French Global Environment Facility) as well as additional in-kind contributions from other partners.[111]

Illegal international traffic

170. Success in implementing activities to address this objective was limited. Activities conducted included capacity building and training for customs officers and magistrates; inclusion of actors responsible for the control of illicit traffic in all meetings on the management of chemicals and waste; surveys identifying illegal products at the community level.

171. A lack of technical capacity for detecting illegal international traffic of dangerous chemicals was reported, as was the challenge of a general lack of awareness and poverty in the region that leads to the importation of hazardous chemicals and waste.

Asia Pacific Region[112,113]

172. This region of 53 countries spans a wide geographical area that includes the ASEAN countries, south Asian countries, central Asian countries bordering on eastern Europe as well as the Pacific Island states, all with diverse economies and political systems. Consequently, the challenges in chemicals management are varied across the region, arising from population growth, urbanisation and industrialisation and intensive agriculture. For the Pacific Island states, their dependence on fish as a dietary source of protein, makes them particularly vulnerable to toxic chemical and metal contamination of fish stocks. [114]

173. Countries' performance in the implementation of SAICM in this region had been uneven and was still evolving (up to 2015), with reporting compliance on SAICM implementation improving for some countries over the period 2009-2013, with remaining countries continuing to work towards completion.[115]

Central and Eastern Europe Region

174. At least 58% of respondents (seven) from the Central and Eastern Europe (CEE) region considered that they were very successful or had had some success in implementing Global Plan of Action activities that contributed to all objectives, apart from illegal international traffic (see Table 22).

[111] SAICM/ICCM.4/INF/1, paragraph 33
[112] Four respondents completed the questions on activities within Global Action Plan. Given the low number, the summary table is not produced here.
[113] See footnote 2, pp. 103-116 for a list of GPA activities in the Asia-Pacific region addressing all five objectives.
[114] IPEN (2015) Citizens Report pp. 99-100
[115] SAICM/ICCM.4/INF/1, paragraph 3; IPEN (2015) Citizen's report, p. 100.

Table 22 degree of success in implementing activities identified in the Global Plan of Action that address the OPS objectives – CEE Region

	very successful	some success	little success	unsuccessful
risk reduction	43%	29%	14%	0%
knowledge & information sharing	57%	29%	0%	0%
governance	43%	29%	14%	0%
capacity-building & technical cooperation	29%	29%	29%	0%
illegal international traffic	14%	14%	14%	14%

Risk reduction

175. For countries that are members of the European Union, some respondents considered that all risk reduction measures were in place and there were limited possibilities for improvement.[116] Other respondents highlighted the success in reducing risk from banned and obsolete pesticides, a joint UNDP-GEF funded project.[117]

Knowledge and information

176. Global Plan of Action activities to address this objective included awareness-raising of: issues of endocrine disrupting chemicals in breast milk; alternative and ecological agriculture methods, including non-chemical alternatives, as part of sustainable community development strategies; mercury and lead in paints.[118]

Governance

177. Global Plan of Action activities that address this objective included: creation of multisectoral and multi-stakeholder mechanisms to develop national profiles and action plans; development of comprehensive national profiles; development of national chemicals safety information exchange systems; establishment of SAICM inter-ministerial working group to advise on proposed legislation; enhancing coordination at the national level.

[116] This perspective was also reflected with regard to knowledge and information sharing, and illegal international traffic.
[117] See footnote 2, pp. 50-51, for a list of GPA activities in the CEE region addressing risk reduction.
[118] See footnote 2, pp. 51-52 for a list of GPA activities in the CEE region addressing knowledge and information sharing.

Capacity building and technical cooperation

178. Global Plan of Action activities included: training workshops for project addressing toxic metals in toys; working with all stakeholders to develop comprehensive capacity-building plans; provision of training for development of national chemicals profiles; ensuring capacity-building component for representatives from across different government departments for all chemicals and waste management activities.

Illegal international traffic

179. Activities included involvement of customs authorities in development of legal frameworks for the management of chemicals and waste.

Latin America and the Caribbean Region

180. At least 50% of respondents from the Latin America and the Caribbean Region (LAC) region considered that they were very successful or had had some success in implementing GPA activities that contributed to all objectives, apart from illegal international traffic (see Table 23).

Table 23 Degree of success in implementing activities identified in the GPA that address the OPS objectives – LAC Region

	very successful	some success	little success	unsuccessful	don't know
risk reduction	8%	50%	8%	4%	29%
knowledge & information sharing	8%	54%	8%	4%	25%
governance	8%	46%	13%	8%	25%
capacity-building & technical cooperation	8%	42%	17%	4%	29%
illegal international traffic	4%	25%	4%	21%	46%

Risk reduction:

181. Activities included updating national profile of chemicals management; increased laboratory capacity to test for persistent organic pollutants; establishment of technical coordination committees; strengthening regulations on lead and asbestos; prohibiting use of lead paint in homes, schools and offices; removal of authorization for highly hazardous pesticides, such as lindane, chlordane and

endosulfan, and changes in regulations to promote use of non-toxic pesticides; introduction of risk analysis methodologies for decision-making.[119]

Knowledge and information

182. Activities included: publication of reports, books and magazines; the use of the web (e.g. pesticide catalogue highlighting the dangers associated with exposure to pesticides) and radio to share information; integration of chemicals and waste issues into curricula; developing an implementation strategy for GHS; multi-stakeholder seminars and workshops on topics such as SAICM emerging issues and pesticides. For other stakeholders, work in this area has just started with national chemicals management programmes being developed.[120]

Governance

183. For some countries in the region activities included: ratification of the chemicals related conventions – Basel, Stockholm, Rotterdam. While legal frameworks are limited for some countries, they are in the process of developing national chemical management programmes in order to fulfill their obligations under SAICM, and creating coordination committees to implement these programmes. Other activities included establishing fora for national and local government, non-government organisations, and community associations to coordinate actions on chemicals and waste management. Success in negotiating with the chemical industry to prevent several highly hazardous pesticides from being registered, was reported.[121]

Capacity building and technical cooperation

184. Activities included: training programmes in hazardous substances disaster preparedness; enhanced capacity of lab technicians enabling them to control and monitor environmental pollution; training for pesticide users in risks, management and the law, as well as training in alternatives to pesticides.

185. Whilst capacity building programmes have been funded through the Quick Start Programme, lack of resources has limited progress in this area.

Illegal international traffic

186. Activities have been limited in this area. Some training of customs officials and the establishment of tariff codes, and some monitoring of export in chemicals were reported.

EU/JUSSCANNZ Region

187. At least 69% of respondents from the Western Europe and Others Group (EU/JUSSCANNZ) region considered that they were very successful or had had some success in implementing GPA activities that contributed to all objectives (see Table 24).

[119] See footnote 2, pp. 82-83 for a list of GPA activities in the LAC region, for addressing risk reduction.
[120] See footnote 2, pp. 83-85 for a list of GPA activities in the LAC region, for addressing knowledge and information sharing.
[121] See footnote 2, p. 85 for a list of GPA activities in Mexico, for addressing governance.

Table 24 Degree of success in implementing activities identified in the GPA that address the OPS objectives – EU/JUSSCANNZ Region

	very successful	some success	little success	unsuccessful	don't know
risk reduction	38%	44%	0%	0%	19%
knowledge & information sharing	44%	38%	0%	0%	19%
governance	44%	31%	6%	0%	19%
capacity-building & technical cooperation	31%	38%	6%	0%	25%
illegal international traffic	19%	38%	6%	0%	38%

Risk reduction

188. The European Union (EU) has a comprehensive regulation for classification, labeling and packaging of chemicals that aligns the EU system to the GHS. In addition, the EU REACH regulation regulates the production and use of chemicals in the EU. In addition, most of the countries in this group have ratified the three chemical conventions and ratification of the Mimamata Convention is on-going. OECD country activities included: methods for risk assessment; promotion of integrated pest management; promotion of chemical alternatives (e.g. for perfluorinated chemicals); prevention of chemical accidents.[122]

Knowledge and information

189. Activities included: information sharing on the European Chemicals Agency open website (information on about 120,000 hazardous chemicals); similarly OECD knowledge databases and online tools.

190. OECD activities include initiatives on data collection on use patters; knowledge generation on endocrine disrupting chemicals and nanomaterials; hazard data generation, and dissemination; harmonizing data formats and hazard information; creation and operationalizing Pollutant Release and Transfer Registers (PRTRs); harmonization of methods of risk assessment.[123]

[122] For examples of Canada's risk reduction activities see http://www.chemicalsubstanceschimiques.gc.ca/approach-approche/index-eng.php Occupational Health/GHS see: http://www.hc-sc.gc.ca/ewh-semt/occup-travail/index-eng.php Pesticides see: http://hc-sc.gc.ca/ahc-asc/branch-dirgen/pmra-arla/index-eng.php Contaminated sites see: https://www.ec.gc.ca/default.asp?lang=En&n=F3F42150-1&offset=3&toc=show Waste http://www.ec.gc.ca/gdd-mw/ Environmental Emergencies see: https://www.ec.gc.ca/ee-ue/ Vulnerable populations see: http://www.hc-sc.gc.ca/ewh-semt/contaminants/vulnerable/index-eng.php

[123] For examples of Canada's information and knowledge sharing activities see: https://www.ec.gc.ca/scitech/default.asp?lang=En&n=EE731FE6-1 Research and Monitoring (health) see: http://www.hc-sc.gc.ca/ewh-semt/contaminants/human-humaine/index-eng.php National Pollutant Release Inventory see: https://www.ec.gc.ca/inrp-npri/ Awareness raising see: http://www.healthycanadians.gc.ca/healthy-living-vie-

Governance

191. Comprehensive regulations are in place in the EU/JUSSCANNZ region (see 'risk reduction' and 'knowledge and information sharing' above). The EU legislative requirements for the designation of nationally competent authorities with clearly defined roles, accountable to ministers, results in an effective enforcement regime.[124]

Capacity building and technical cooperation

192. Respondents highlighted the role of EU/JUSSCANNZ countries in providing funds and support for capacity building activities in developing countries. For example, the provision of funds for participants to attend meetings of the multilateral environmental agreements, SAICM and Minamata Convention. In addition, funds and support was provided for building capacities for managing perfluorinated chemicals, endocrine disruptors and manufactured nanomaterials.

193. Industry stakeholders' Responsible Care initiative is intended to facilitate the transfer of standards of the EU/JUSSCANNZ region to the other regions.

Illegal international traffic

194. EU countries have designated competent authorities responsible for traffic in chemicals. For OECD countries the current focus is on pesticides and the development of a best practice guide is on-going.[125]

saine/environment-environnement/home-maison/hazard-risque-eng.php?_ga=1.247577095.12371273.1480527990 http://chemicalsubstanceschimiques.gc.ca/individuals-individus-eng.php

[124] For further information on Canada's governance regime, the role of stakeholders within this, the socio-economic impact assessment regulations, and risk management measures see: http://www.chemicalsubstanceschimiques.gc.ca/plan/council-conseil/index-eng.php http://www.chemicalsubstanceschimiques.gc.ca/plan/sc-cs/index-eng.php http://www.tbs-sct.gc.ca/hgw-cgf/priorities-priorites/rtrap-parfa/about-ausujet-eng.asp https://www.ec.gc.ca/alef-ewe/default.asp?lang=En&n=C3039403-1

[125] For further information on Canada's regulations in support of its commitments under the Stockholm and Rotterdam conventions, see: https://www.ec.gc.ca/gdd-mw/default.asp?lang=En&n=39D0D04A-1 https://www.ec.gc.ca/lcpe-cepa/default.asp?lang=En&n=15AD7A69-1&offset=5 https://www.ec.gc.ca/lcpe-cepa/default.asp?lang=En&n=E0F02793-1

Non-government stakeholders – UN agencies, civil society and industry

Table 25: Degree of success in implementing activities identified in the GPA that address the OPS objectives: UN Agencies

	very successful	some success	little success	unsuccessful	don't know
risk reduction	10%	40%	10%	0%	40%
knowledge & information sharing	20%	50%	0%	0%	30%
governance	10%	50%	10%	0%	30%
capacity-building & technical cooperation	20%	30%	20%	0%	30%
illegal international traffic	0%	10%	20%	10%	60%

Table 26: Degree of success in implementing activities identified in the GPA that address the OPS objectives: Civil Society

	very successful	some success	little success	unsuccessful	don't know
risk reduction	29%	43%	21%	0%	7%
knowledge & information sharing	36%	43%	14%	0%	7%
governance	29%	29%	29%	0%	14%
capacity-building & technical cooperation	14%	50%	14%	7%	14%
illegal international traffic	7%	7%	21%	21%	43%

Table 27: Degree of success in implementing activities identified in the GPA that address the OPS objectives: Industry

	very successful	some success	little success	unsuccessful	don't know
risk reduction	23%	62%	8%	0%	8%
knowledge & information sharing	46%	38%	15%	0%	0%
governance	15%	46%	15%	0%	23%
capacity-building & technical cooperation	31%	54%	15%	0%	0%
illegal international traffic	15%	8%	15%	8%	54%

195. For one non-government stakeholder, the GPA was regarded as a non-negotiated menu of potential options and approaches for advancing the sound management of chemicals. As such the GPA was not viewed as a prescription - some elements of the GPA would be relevant in specific situations and some would not. This perspective was shared by another who highlighted the problem with the GPA as being one of a huge list of actions and undertakings, with a risk in some cases of missing the main SAICM policy priorities and objectives.

196. The participating organisations of the IOMC have funded and supported a wide range of activities that address the five OPS objectives. Based on the organisations' experience, and in consultation with the Secretariat of the Basel, Rotterdam and Stockholm Conventions and the Interim Secretariat of the Minamata Convention, the IOMC have proposed a concise set of quantitative indicators to monitor progress towards the GPA.[126]

197. The organisations representing the chemicals industry have also been active in funding and supporting activities that address the five OPS objectives. These activities have included the training of farmers, waste management programmes, risk assessment capacity building with pesticide regulators from lower income countries, and the promotion of integrated pest management.[127] These industries reported to be continuing to increase their openness in communication and sharing of information about products previously considered to be private.

198. Members of the IPEN network of public interest groups have implemented a wide range of activities to address the five OPS objectives across eight regions.[128]

[126] For a description and explanation of the set of indicators see SAICM (2015) Analysis by the Inter-Organization Programme for the Sound Management of Chemicals of the Global Plan of Action and Proposal for Simple Indicators of Progress. SAICM/ICCM.4/INF/7.

[127] See SAICM (2016) Supporting implementation of the Overall Orientation and Guidance for achieving the 2020 goal. Industry submission. SAICM/ICCM.5/Bureau.1/3 for details of planned initiatives and available resource tools for addressing the action points in the OOG.

[128] See footnote 2 for a comprehensive detail of these activities for each objective in each region.

199. Through its Chemicals Programme the Global Environment Facility (GEF) has funded several implementing agencies to deliver activities that have addressed the OPS objectives.[129]

200. Industry's Responsible Care Programme aims to improve safety and protect health and the environment, resulting in emissions reductions, and improvements in occupational health and safety. The Global Product Strategy of the ICCA is also intended to support capacity building to improve product safety in, not only the EU/JUSSCANNZ, but also the other regions.

VII. EVALUATION RESULTS AND LESSONS LEARNT

Impact of the Strategic Approach: strengths, weaknesses and gaps

Strengths

201. The Strategic Approach is unique in its ambition as an inclusive multi-stakeholder, multi-sector voluntary global policy framework on sound chemicals management. It has provided the space and opportunity for government and non-government actors alike, to discuss and deliberate on the management of chemicals throughout their life cycle in an atmosphere of trust and cooperation. The achievement of the level of cooperation, coordination and trust was reflected by all stakeholder groups, below represented by both civil society and industry stakeholders:

> *The most significant impact of SAICM was the understanding of chemicals as an integrated issue that requires the active engagement of many different stakeholders at many levels and sectors – civil society stakeholder*.
>
> *A recognition among stakeholders that we are all in this together, and all have important roles to play in ensuring the sound management of chemicals around the world. SAICM has built trust among stakeholders, facilitated open dialogue, and encouraged stakeholders to join forces – industry stakeholder.*

202. The nature of SAICM has enabled participation of non-government stakeholders in the decision-making bodies, allowing for their perspectives and priorities to be heard and considered as resolutions are framed and agreed. This was articulated as:

> *Greater political recognition of the participation of NGOs and the expansion of cooperation – civil society stakeholder.*

203. As one national focal point from the African region put it:

*[Without SAICM] it was difficult to bring on board other stakeholders, but SAICM has made it possible and there is a general understanding on the need for the sound management of chemicals – SAICM national focal point.*204. The voluntary nature of SAICM has enabled government and non-government stakeholders alike to deliberate in a more inclusive and open manner, sharing ideas and perspectives that would have been more challenging or not possible under the existing governing bodies of the conventions or individual IOMC organiaztions. This has been particularly beneficial to the non-government stakeholders:

[129] See SAICM (2013) Report of the Global Environmental Facility (GEF) Activities Supporting the Implementation of SAICM. SAICM/RM/Afr.5/INF/5/Rev.1, Tables 1 & 2.

SAICM stimulates and enables multi-stakeholder collaboration at the international and the country level. It provides a framework that stimulates and enables government officials, public interest NGOs, UN agencies, the private sector, the health sector, trade unions, and other relevant actors to interact and collaborate with one another in support of sound chemicals management objectives. In the absence of the SAICM framework, such collaboration would often be difficult and would sometimes not even be feasible. In the context of SAICM, public interest NGOs and other stakeholders can align their own chemical safety initiatives with internationally approved policies and frameworks that their governments acknowledge and support – civil society stakeholder.

205. These civil society perspectives were reiterated by industry stakeholders, as aptly put:

The voluntary and multi-stakeholder approach under SAICM has not only boosted trust and partnerships among stakeholders, but the flexibility that is inherent in this SAICM structure has allowed for governments and stakeholders to collaboration on topics and issues that were not foreseen at the inception of this approach. Legally-binding treaties are bound by specific mandates and actions, whereas, the SAICM approach allows for more fluidity in both subject matter work, process and engagement. SAICM has led to the development of partnerships that would not have been possible under a more legally-binding format. It has also facilitated the sharing of best practices, and enabled a focus on practical needs on the ground – industry stakeholder.

206. The positive views of the voluntary approach were not limited to non-government stakeholders, as asserted by one national focal point from the Asia-Pacific region:

We consider the most significant strength of SAICM is the voluntary approaches because it enables all stakeholders to mobilize and address in a flexible and timely action. We hope this kind of the framework will keep going beyond 2020 – SAICM national focal point.

207. And, from the LAC region:

[SAICM's voluntary nature] addresses the management of a number of chemicals and classes of chemicals, which are not controlled under other multi-lateral environmental agreements… it promotes stakeholder involvement, which ensures that initiatives that are developed and implemented address a range of concerns and has buy-in from stakeholders – SAICM national focal point.

208. The success of SAICM in creating a collaborative space for different stakeholders and sectors is directly attributable to the significant success of SAICM in meeting its overarching strategic objective of knowledge and information sharing. The work of the SAICM Secretariat has resulted in dissemination of information to national SAICM focal points. QSP projects supported establishment of inter-ministerial and inter-agency coordination committees at national level. This impact was illustrated by one Latin American national SAICM focal point:

Without SAICM we would not have the Technical Coordination Secretariat for the Management of Chemical Substances – SAICM national focal point.

209. In the Africa region, the QSP was credited for enabling much of the work sharing knowledge and information to get started, resulting in workplace health and safety policies prioritising chemicals safety.

210. In Central and Eastern Europe, SAICM activities included awareness-raising on endocrine disrupting chemicals in breast milk; alternative and ecological agriculture methods, including non-chemical alternatives, as part of sustainable community development strategies; mercury and lead in paints.

211. For both civil society and industry stakeholders, SAICM has enabled them to share and access information and knowledge, raising their awareness and allowing them to engage with other

stakeholders in the pursuit of the sound chemicals management. An industry stakeholder captured the views of many:

> *SAICM has played a unique role as a forum for different stakeholders to share knowledge and information about sound chemicals management. This began right from the start, with the Global Plan of Action being a compilation of possible approaches for advancing chemicals management. Regular reporting by SAICM stakeholders, including materials prepared for ICCMs, has also promoted knowledge and information sharing – industry stakeholder.*

212. SAICM has gone further than enabling stakeholders to work together to raise awareness and increase knowledge and understanding of chemicals management. SAICM has made inroads in reducing the risks (another of the overarching policy objectives) associated with chemicals and chemicals management. The planning and implementation of GHS in several countries (much of this funded through the QSP), phasing out of lead in paint and the disposal of obsolete pesticides were some examples of progress in achieving this objective.

213. The importance of SAICM in facilitating risk reduction was highlighted by one national focal point from the Latin America and Caribbean region:

> *The process of implementing the GHS would not have been achieved without SAICM. The availability of grant funding and technical support under SAICM enabled the process to occur – SAICM national focal point.*

214. The systems of governance (one of the overarching policy strategy objectives) at the national level play a crucial factor in the ability of countries to manage chemicals effectively. SAICM has had some success in this area. Countries have ratified or have committed to ratify chemicals conventions, developed draft laws on chemicals and waste; some have created multi-stakeholder national coordination committees comprising both public and private sector representatives; others have involved communities affected by pollution in decision-making through the establishment of forums to coordinate action between government and non-government organisations and community associations.

215. For one EU/JUSSCANNZ stakeholder, the importance of SAICM in promoting the governance objective was articulated such:

> *[Our] chemicals management program is multistakeholder, multi sectorial and very transparent. There is strong interdepartmental coordination, collaboration with international institutions, coherence between health, environmental and trade policy and engagement of industry to take appropriate action. Some of this would have occurred without SAICM and the OPS but our approach has been further strengthened by SAICM – government stakeholder.*

216. The importance of the SAICM governance platform in promoting the EPIs was highlighted by one UN stakeholder:

> *The Emerging Policy Issues have come forward through the SAICM governance platform. The platform provides a unique area for engagement in these areas – UN stakeholder.*

217. For two national focal points from the LAC region:

> *Our steps to enhance governance would not be so deep without SAICM implementation – SAICM national focal point - SAICM national focal point.*
>
> *It has allowed [us] to maintain and involve the communities in decision-making and establishment of alternatives to improve the quality of life of populations affected by pollution – SAICM national focal point.*

218. Underlying the success of SAICM has been the capacity building and technical cooperation that has enabled countries to increase knowledge and level of information, and strengthen the governance regimes for chemicals management. The QSP was central to contributing to the

achievement of this overarching policy objective. The IOMC and civil society have also played an important role in providing capacity-building and technical cooperation to government agencies as well as end-users of chemicals in agriculture, construction, manufacturing and health sectors. Industry stakeholders have also provided capacity building support through its Responsible Care programme and workshops with industry and end-users.

219. Across all stakeholders, there was a consensus that a major strength and uniqueness of SAICM has been the identification and actions taken on the emerging policy issues. 'Lead in paint' is regarded as having had the greatest impact on health and environment of all the EPIs. As a result of the work under this EPI under the lead of UNEP and WHO, by 2015, a significant amount of governments had put legally binding restrictions in place or committed to do so regarding lead in paint.

220. Success in other EPI initiatives centred on: stakeholder mapping exercises and sector-specific case studies; awareness-raising workshops and expert meetings; development of on-line tools and web-based portals; establishment of stakeholder groups and informal networks; report production.

221. SAICM has had some success in monitoring the impact of SAICM activities through the 20 indicators of progress. These are user friendly and straightforward. The development of an on-line tool to collect data for each indicator has allowed comparable data to be collected over the period 2009-2013.

222. Successes of SAICM revealed by the indicator data analysis were: NGOs are particularly effective at reaching more vulnerable groups; establishment and multi-sectoral and multi-stakeholder participation in national committees is an area of comparative advantage for SAICM.

Weaknesses and gaps

223. Underlying many of the weaknesses of the SAICM process was the under-capacity of the SAICM Secretariat in delivering on its mandated functions. As one UN stakeholder expressed:

> *[Whilst] managing the process has always been a strongpoint of…[the] secretariat, it has been hampered by funding issues, with funds often less than required fully to deliver the mandate and funds arriving out of synch with the planned programme – UN stakeholder.*

224. The implications of this under-capacity are no better evidenced than the inability to establish and make operational an information-clearing house (one of the mandated functions of the Secretariat). Whilst information has been shared at the international level the information has not flowed down at the national level to the extent intended. This is partly due to the lack of resources within the SAICM Secretariat but also due to capacity constraints of the government national focal points.

225. Much of the implementation of SAICM at the national level rests with the national focal points. They are expected to facilitate multi-sectoral engagement in SAICM. However, the SAICM model rests on one government national focal point per country, with at least 80% of them based within the ministries of environment, with few within ministries of health, agriculture and foreign affairs.

226. The capacity and structural constraints of the national focal point model has limited the potential for information and knowledge sharing within countries, to federal/ provincial and local levels. This is reflected in a continued lack of co-operation between authorities responsible for different sectors, as well as limitations in the flow of information to end-users who directly handle chemicals. This constraint is particularly acute in the informal sectors. This weakness is well-illustrated by one civil society representative:

Although there is knowledge about the cycle of chemical products, the information that must reach users is scarce. There is a good flow from SAICM to the country, but it is necessary that this information flows from the focal points to the people who directly handle the chemical substances – civil society stakeholder.

227. Whilst the QSP was credited for significant progress made in establishing and strengthening national chemicals management governance, many countries remain to put in place basic legislation that would enable them to manage the risks of chemicals. For those that have the legislation in place, enforcement mechanisms for implementation remain weak. Furthermore, laws and regulations for chemicals management may not be considered a national priority by some, and resisted by others. There remains a lack of capacity in many countries to participate in multi-sector national, regional and international mechanisms. National focal points from Africa, CEE, AP and LAC regions all commented that the level of technical capability to manage chemicals remains too low. One civil society stakeholder observed:

There was too little funding available for SAICM to substantially improve capacities in developing countries. There was some effect due to the convening power of SAICM from global to national level, and some QSP projects did improve things on the ground. But by and large, the overall effectiveness remains limited – civil society stakeholder.

228. SAICM has made little progress in addressing the issue of illegal international traffic (the fifth overarching policy objective). Illegal international traffic remains a serious threat to developing countries. Counterfeit pesticides, trade in mercury, e-waste dumping, smuggling of prohibited chemicals and a lack of public awareness together with a lack of capacity of customs service are some of the challenges faced in dealing with this issue. The challenges facing SAICM in addressing illegal international traffic are captured by two stakeholders:

SAICM has done little to reduce illegal international traffic. No EPI has a real focus on this issue, there is very little funding to improve control measures, and issues that do play a role for illegal traffic like e-waste are not tackled decisively – civil society stakeholder.

This has been the hardest area for SAICM to make progress against. It has been difficult to get an accurate grasp on how big a problem illegal international traffic is today – industry stakeholder.

229. Whilst the identification of EPIs are generally regarded as a major success of SAICM, it is apparent that the degree of progress made was not uniform across the EPIs with no common means to measure progress. With the notable exception of 'Lead in Paint', the extent of progress made over the six year period 2009 to 2015 (2012-2015 in the case of the Endocrine disrupting chemicals EPI) was modest at best.

230. The frustration felt by one UN stakeholder is evident by the comments relating to the two EPIs endorsed at ICCM4 in 2015:

[They were] adopted, so this could be considered progress. Nothing has moved ... a year following ICCM4 – UN stakeholder.

231. The slow progress in taking forward the EPIs is, in part, due to institutional constraints facing the IOMC organisations mandated at ICCM2 and ICCM3. This constraint was articulated by one UN stakeholder:

A weakness is that the IOMC organizations cannot take mandates from SAICM because ICCM is not their governing body. Hence if SAICM is not mainstreamed into the POWs [programme of work] of the IOMCs then there are no obligations/mandates for the IOMC organizations to implement SAICM ICCM resolutions – UN stakeholder.

232. The success of SAICM depends on the active engagement and effective participation of the IOMC and the BRS. Indicator of progress #15 relates to the 'Number of countries (and organisations)

engaged in regional cooperation on issues relating to the sound management of chemicals'. Whilst attendance at regional meetings is not the sole proxy of this indicator, it can be considered one of its components. For some of the IOMC participating organisations and the BRS secretariat, attendance at the SAICM regional meetings over the 2006-2015 period was relatively low.

233. The indicators of progress are necessary but are not sufficient for assessing the progress in achieving the 2020 goal. Indicators that measure the impacts on health and environment from SAICM-related activities are absent. The weaknesses of the current indicators of progress were clearly identified by one EU/JUSSCANNZ national focal point:

> *The challenge with the usefulness of the indicators is two fold: 1) there has historically been lack of reporting and therefore it is a significant challenge in doing any trend analysis and 2) simply measuring the number of countries (for example engaged in regional activities in chemicals or that have made a commitment to SAICM) does not demonstrate the effectiveness of the actions undertaken – SAICM national focal point.*

234. Despite the weaknesses inherent in the indicators of progress, analysis of the data collected for each over the period 2009-2013, revealed that the gap in implementation of SAICM between DAC and non-DAC countries actually widened, with international chemicals management remaining at a low level. The conclusions drawn from this analysis highlighted that that the current rate of progress will be insufficient to have most of the activities (indicators) underway in the majority of countries by 2020.

Lessons Learnt

235. Six distinct pathways to achieving the 2020 goal and the factors that influence each pathway were identified by SAICM stakeholders (see Figure 3).

236. Ultimately, the success of SAICM rests on national governments having the political will to legislate for the sound management of chemicals and to ensure that such legislation is fully implemented. SAICM stakeholders play several roles in pushing chemicals management higher up the political agenda: governments signing up to international conventions and forums (i.e. SAICM) and developing regulatory frameworks that supports and guides industry and business to manage chemicals throughout the lifecycle in a sound manner; engaged and responsive UN agencies supporting national and regional implementation; a strong and independent civil society advocating for sound chemicals management. An active media that can inform debates and draw in different sections of society into the discussions. SAICM stakeholders continue to support governments in these efforts.

237. The common standards across countries, called for by SAICM stakeholders, are supported by the sustainable development agenda and the SDGs agreed upon in 2015; the sound management of chemicals is mainstreamed throughout these goals. Reducing inequality within and between countries in regard to chemicals management will require further efforts by SAICM stakeholders to reduce vulnerable and marginalised groups to chemicals exposure at work, in the home and in the environment. Improving nutrition with sustainable agricultural practices requires SAICM stakeholders to increase efforts to work in partnership to find innovative and alternative forms of agriculture that minimize the adverse impacts on health and environment of chemical inputs whilst increasing production. Continued efforts by SAICM stakeholders to reduce gender inequality and the high incidence of adverse health impacts experienced by women and girls from exposure to chemicals will support the 'common standards' pathway.

238. Adaptive management regimes depend on access to knowledge and science. Continuing the progress made in building national technical capacity as well as supporting the provision of

technical infrastructure (such as poisons centres) will further this pathway. Effective monitoring and evaluation systems, together with sound science, will provide the information and assessments needed to shape future management regimes.

239. SAICM was conceived as a multi-sectoral and multi-stakeholder approach. Integration across sectors is a key pathway to achieving the 2020 goal. The progress made to date in support of the 2020 goal will be further enhanced with greater efforts to broaden out sector and stakeholder engagement beyond 2020 in line with the 2030 Agenda for Sustainable Development. Increased representation of the health, agriculture, finance and industrial sectors within government national and regional focal points will support efforts to mainstream the sound management of chemicals across government departments. Within non-government stakeholders, continued efforts to communicate with and reach out to downstream businesses and industries as well as civil society more broadly will further support this pathway.

240. Transfer of technologies is an important pathway to achieving the 2020 goal. Continued efforts of EU/JUSSCANNZ stakeholders in supporting this transfer, as too, the work of the UN agency stakeholders in this regard. Industry and business plays an important role in facilitating technology transfer in support of this pathway.

241. The success of SAICM in building trust and collaborative relationships between stakeholders is evidenced by the degree of open and transparent sharing of information that exists between them. Building on this trust and collaboration will further strengthen the open and transparent sharing of information pathway.

242. Much of the success of SAICM and the pathways to the 2020 goal depend on sufficient levels of financing and resources. The main source of funding for SAICM over the 2006-2015 period has come from a limited set of government donor contributions – in cash and in-kind. Non-government stakeholders have also contributed relatively modest cash and in-kind support for SAICM-related activities at the international and national levels. SDG 17 provides a framework for future deliberations by SAICM stakeholders on financing; Target 17.1: strengthening domestic resource mobilization, for inclusion of SAICM-related expenditure in national budgets; Target 17.2: developed countries to fully implement their Official Development Assistance (ODA) commitments, the main source of funding for SAICM to date; Target 17.3: mobilise additional financial resources, for example through Foreign Direct Investment (FDI) by business and industry in support of the SAICM pathways and the 2020 goal.

APPENDIX 1: TERMS OF REFERENCE FOR THE EVALUATION

Annex to ICCM Resolution IV/4

The Strategic Approach and sound management of chemicals and waste beyond 2020 – Terms of reference for the evaluation of the Strategic Approach to International Chemicals Management

I. Objective

1. The present document outlines the terms of reference for the independent evaluation of the Strategic Approach to International Chemicals Management called for by the International Conference on Chemicals Management in its resolution IV/4.

2. The aim of the evaluation is to provide information to enable the intersessional process referred to in paragraph 2 of resolution IV/4 to develop recommendations and to enable the International Conference on Chemicals Management at its fifth session to take an informed decision on future arrangements for the Strategic Approach and the sound management of chemicals and waste beyond 2020.

II. Methodology

3. The secretariat is requested to engage an independent evaluator to produce an evaluation consistent with the present terms of reference.

4. The evaluation is to cover the period from the adoption of the Strategic Approach in 2006 to 2015. It may also cover any insights gained in the period from 2015 to the finalization of the evaluation.

5. The evaluation should take into account, among other things, the available evaluation of progress in implementing the Strategic Approach, the evaluation of the Quick Start Programme, the relevant reports and resolutions from the International Conference on Chemicals Management, the Open-ended Working Group and regional meetings, the overall orientation and guidance, and national implementation plans of the Strategic Approach. The evaluator may also collect information from stakeholders on their experiences implementing the Strategic Approach, and may use various methods of qualitative and quantitative information collection, including questionnaires and interviews, taking into account regional, gender and stakeholder balance.

III. Report on the evaluation

6. An interim report on the evaluation will be made available to all stakeholders at least one month ahead of the first meeting of the intersessional process. A draft of the final report will be made available to all stakeholders at least one month ahead of the second meeting of the intersessional process. The final report, taking into account, as appropriate, the additional comments on the draft final report from stakeholders, will be made available to all stakeholders at least two months before the meeting of the Open-ended Working Group that will precede the fifth session of the International Conference on Chemicals Management.

7. The reports will contain an introduction, an executive summary and a brief history of the Strategic Approach, and will present information in support of conclusions and, where appropriate, lessons drawn in respect of the implementation of the Strategic Approach, including, in particular:

(a) Impact of the Strategic Approach;

(b) Strengths, weaknesses and gaps in implementing the Strategic Approach, taking into account the eleven basic elements identified in the overall orientation and guidance;

(c) Progress towards targets;

(d) Institutional arrangements within the voluntary multisectoral and multi-stakeholder approach of the Strategic Approach.

8. The independent evaluator will present information, as appropriate, on the following elements in the report, on the understanding that the information provided is intended to inform rather than prejudge intersessional discussions on the subject:

(a) Objectives for the sound management of chemicals and waste beyond 2020;

(b) Identifying and taking action on new or emerging issues;

(c) Coordination and cooperation with relevant multilateral environmental agreements and organizations of the Inter-Organization Programme for the Sound Management of Chemicals;

(d) Relevance of impacts to the 2030 Agenda for Sustainable Development;

(e) Maintenance and development of indicators of progress;

(f) Identifying and taking action on regional and subregional needs for advancing sound management of chemicals and waste.

9. The evaluation should be focused and succinct and its executive summary should be made available in the six official languages of the United Nations.